



New York State
Office of Alcoholism & Substance Abuse Services
Addiction Services for Prevention, Treatment, Recovery

David A. Paterson, Governor
Karen M. Carpenter-Palumbo, Commissioner

Request for Proposals

Recovery Community Center Initiative
October 2008

**New York State Office of Alcoholism and Substance Abuse Services
Recovery Community Center Initiative
Request for Proposals**

Part I

A. Background

The New York State Office of Alcoholism and Substance Abuse Services (OASAS) is issuing this Request for Proposals (RFP) to invite eligible organizations to submit proposals to operate Recovery Community Centers. These Centers would offer a diverse range of recovery support services which are responsive to the local community and which demonstrate key values and essential characteristics as described in this solicitation document.

The Recovery Community Services Program (RCSP) has been a successful Federal program that has been competitively funded through the United States Department of Health and Human Services, Substance Abuse and Mental Health Services Administration's Center for Substance Abuse Treatment (SAMHSA-CSAT) since 2000. Centers funded by the RCSP utilize peer-to-peer recovery support services to help people initiate and sustain recovery from alcohol and drug-related problems. These centers have been associated with measurable improvement in treatment and post-treatment outcomes for participants. In recognition of the strong treatment outcomes and the benefits of offering enhanced resources for peer-based community supports, OASAS has developed an initiative to develop additional Recovery Community Centers in New York State.

B. RFP Summary

The target population: Recovery Community Centers are specific sites intended to provide recovery support services for individuals with a history of alcohol and/or drug and/or gambling problems who are in or seeking recovery, along with their family members and significant others. These individuals may be both peer providers and recipients of recovery support services. For purposes of this document, the term *peer* means people who share the experience of addiction and recovery, either directly or as family members/significant others. OASAS is seeking proposals to effectively implement a Recovery Community Center in targeted locations which are capable of delivering Recovery Support Services.

All proposals should include special attention to cultural considerations while keeping within operational expectations. Innovative program design and/or interventions that build upon essential core program elements are encouraged. To support the effective implementation of a Recovery Community Center, applicants are required to utilize "stages of implementation" and "core implementation components," two concepts taken from a review of implementation research literature, to describe their implementation plans. Additional information on the Recovery Community Center Initiative, its core program elements, implementation, cultural considerations, and operational expectations are included in Part II of this RFP.

C. Contract Terms

1. Estimated Funding/Number of Awards

OASAS will issue up to four (4) awards based on the following schedule:

- One (1) Downstate Urban Recovery Community Center sited in Bronx, Kings, New York, Queens, Richmond, Nassau, Suffolk, Rockland, or Westchester County in an amount not to exceed \$250,000 annually, excluding start-up costs.
- One (1) Upstate Urban Recovery Community Center sited in Albany, Dutchess, Erie, Monroe, Niagara, Oneida, Onondaga, Orange, or Saratoga County in an amount not to exceed \$200,000 annually, excluding start-up costs.
- Two (2) Rural Recovery Community Centers sited in two of the remaining counties not specified above in an amount not to exceed \$60,000 each annually, excluding start-up costs.

Note: OASAS reserves the right to award grants to ensure appropriate geographic representation.

2. Contract Period

The contracts are expected to be effective after March 1, 2009 for a period of up to five years. The annual funding cycle of the awards will be based on the local fiscal period for the county in which the provider will operate the proposed Recovery Center (for the City of New York, the fiscal period is July to June and for the rest of the State the fiscal period is January to December). Funding for each annual period of the contract is subject to availability of State appropriations and program performance.

D. General RFP Information/Requirements

1. Format

This RFP is comprised of five (5) parts, including attachments.

Part I contains general information about the RFP.

Part II describes the subject matter of the requirements of this RFP.

Part III presents those questions to which applicants are required to respond and identifies requirements for formatting their responses to the RFP.

Part IV describes the process for evaluating and scoring applicants' proposals.

Part V includes attachments of pertinent materials related to the RFP.

2. Designated Contact Agent

OASAS has designated a Contact Agent who shall be the exclusive OASAS contact from the time of issuance of the RFP until the issuance of the Notice of Award (restricted time period). Applicants may not communicate with any other personnel of OASAS regarding this RFP during the restricted time period.

The designated contact agent is:

Veronica Fernandez
New York State Office of Alcoholism
and Substance Abuse Services
1450 Western Avenue, Room 205
Albany, New York 12203-3526
veronicafernandez@oasas.state.ny.us
Phone: (518) 485-1495
Fax: (518) 485-1332

3. RFP Schedule

Milestone	Date
RFP Release	October 27, 2008
Bidders Conference	November 12, 2008
Question Submissions	November 19, 2008
Q &A Posted on OASAS Website	November 26, 2008
Proposal Due Date	December 19, 2008
Notice of Awards	January 7, 2009
Contracts Issued to Providers	January 21, 2009
Estimated Contract Effective Date	March 1, 2009

4. Bidder's Conference

OASAS will conduct a Bidder's Conference on the date indicated in the RFP schedule. The conference will be held from 10:00 a.m. to 12 Noon at the Offices of OASAS, 1450 Western Avenue, Albany, NY 12203, 4th Floor main conference room. Attendance is not mandatory, however, potential applicants are strongly encouraged to attend in person or make arrangements to participate via teleconference. To confirm your attendance and/or participation, please contact the designated contact referenced above by November 10, 2008

5. Inquiries Related to the RFP

Any questions or requests for clarification about the Recovery Community Center Initiative must be submitted in writing by 5 p.m. of the date referenced in the RFP schedule and must be directed to the designated contact agent.

All inquiries must be typed and include your name, organization, mailing address, email address, and fax number. Please reference the Recovery Community Center Initiative RFP. To the degree possible, each inquiry should cite the RFP section and paragraph to which it refers. Inquiries may be submitted at any time prior to the deadline noted in the RFP schedule. Inquiries may be submitted only by mail, e-mail or facsimile. OASAS will not entertain inquiries via telephone, made to anyone other than the designated contact agent or received after the deadline date.

Inquiries will not be answered on an individual basis. Written responses to inquiries submitted by the deadline date will be posted on the OASAS website

(www.oasas.state.ny.us) on or about the date referenced in the RFP schedule. Organizations may also request that a hard copy of the questions and answers be mailed to them at the time they submit their questions to OASAS.

6. Addenda to the Request for Proposals

In the event that it becomes necessary to revise any part of the RFP an addendum will be posted on the OASAS website.

7. Proposal Submission

Proposals for the Recovery Community Center Initiative shall be submitted in accordance with Part III of the RFP. Each proposal must include two (2) originals and shall be accompanied by four (4) additional copies.

The due date for receipt of proposals is stated in the RFP Schedule above; the address for submissions is noted in PART III.C. Applicants submitting their proposals by mail or other delivery service must allow sufficient time for delivery. Proposals will be accepted until 4 p.m. on the due date stated in the RFP Schedule. Proposals not received by the deadline may not be opened at the sole discretion of the Office of Alcoholism and Substance Abuse Services.

8. Acceptance of Terms and Conditions

A bid, to be responsive to this solicitation, must satisfy the specifications set forth in the RFP. A detailed description of the format and content requirements is presented in Part III of this RFP. Submission of a proposal in response to this RFP indicates the applicant's acceptance of all terms and conditions contained in this RFP.

9. Disposition of Proposals

All proposals received become the property of OASAS and shall not be returned. The successful proposals will be incorporated into the resulting contract and will be part of the public record. Prior to the issuance of contracts, proposals will only be shared with individuals directly involved with the scoring, ranking, and selection of successful proposals.

10. State's Reserved Rights

OASAS reserves the right to:

- Reject any and/or all proposals received in response to this RFP.
- Award all or parts of the proposal scope of services or elect not to award a contract under this RFP.
- Negotiate with applicants responding to this RFP within the requirements to serve the best interests of the State.
- Eliminate mandatory requirements unmet by all applicants.

11. Proposal Evaluation

A review team will evaluate all proposals pursuant to scoring criteria developed by OASAS and more fully set forth in Part IV of this RFP. The review team will include persons knowledgeable about the intended goals and objectives of the initiative. Scoring will not be shared with entities not directly involved with the scoring, ranking, and selection of successful proposals.

12. Cost of Proposal Preparation

All costs associated with preparation and submission of a response to this RFP are entirely the responsibility of the applicant and shall not be reimbursed by OASAS or the State. No claim will be made against OASAS or the State for any costs incurred by the applicant for proposal preparation and submission.

Part II: Statement of Work

Recovery Community Centers are specific sites intended to provide recovery support services for people with a history of alcohol and/or drug and/or gambling problems who are in or seeking recovery, along with their family members and significant others. Proposals will address the effective implementation of a Recovery Community Center, with special attention to cultural considerations and directly responsive to the needs identified by the recovering community they propose to serve, and in keeping with operational expectations included in this Statement of Work.

A. Overview of the Recovery Community Center Initiative

Each Recovery Community Center is expected to provide a combination of “stage-appropriate” emotional, informational, instrumental and social supports (see Part II.C.) designed to be responsive to a range of needs experienced by people from early recovery through long-term sustained recovery.

It is essential that the services developed in each center grow out of the identified needs and interests of each of the local recovering communities being served. Similarly, it is recognized that there are a variety of ways that people have succeeded in establishing and sustaining recovery. The OASAS initiative anticipates that Recovery Community Centers will serve the broader recovering community rather than be linked or apparently affiliated with a single approach to recovery or type of service provider. It is essential that the Centers are welcoming and culturally sensitive to all people being served, the initiative is not intended to support services designed for a specific target population other than those described in Part I.B. above.

Recovery Community Centers will promote a sense of “expertise” built upon collective wisdom and common experience and which emphasize community building.

Key values associated with supporting recovery, are identified in SAMHSA’s *Blueprint for Change*. <http://download.ncadi.samhsa.gov/ken/pdf/SMA04-3870/SMA04-3870.pdf> They include:

- **Choice** – services must be tailored to meet individual needs, and be flexible and open to modification as the person moves forward in his/her recovery.
- **Voice** – as articulated by the mental health consumer movement, “nothing about us without us”, direct involvement by recovering individuals and family members in planning and carrying out programs and services is a critical component for success.
- **Empowerment** – services must not simply “do” for individuals and families. These interventions must educate and empower people to make their own informed choices in matters affecting their lives and to accept responsibility for those choices.
- **Dignity and Respect** – all services and all communications should be built on tangible evidence of dignity and respect for all persons involved.
- **Hope** – recovery of hope is essential for recovery from addiction and co-occurring psychiatric disorders, and life trauma. Recovery from these life problems is an achievable goal that in turn makes all other quality of life goals possible.

The Recovery Community Centers are expected to include the following essential characteristics:

- **Building “Recovery Capital”** (the internal and external resources necessary to initiate and sustain recovery) – for individuals, families and communities
- **Demonstrating Hope** – have a physical location serving as a full time resource representing the commitment of the recovering community
- **Responding to the Recovering Community** - Have an operating board that is representative of the recovering community being served
- **Focusing on Recovery** - Demonstrate through Mission and Vision, a commitment to principles of operation consistent with CSAT 2005 Summit for Recovery - Guiding Principles - http://pfr.samhsa.gov/docs/Summit_Rpt.pdf
- **Inviting All to Participate** – Centers are accessible to the entire recovering community and do not hold an apparent organizational affiliation/identification with prevention, treatment or other service providers, religious organizations or particular approaches to recovery
- **Promoting Volunteerism** - Rely primarily on volunteers for operations and offering recovering individuals a chance to help those who are “coming up behind them”
- **Creating Public Awareness** – Centers exist to put a positive face on addiction recovery

For the purpose of this RFP, the Recovery Community Center Initiative has five core program elements that must be in place in order to be effective:

A program site – It is essential to have a site capable of supporting the proposed staff, volunteers and support services described. The site should not be linked nor apparently affiliated with a single approach to recovery or service provider while providing a safe, welcoming, and sustainable environment.

Responsive To Local Needs - The effectiveness of Recovery Community Centers depends on its perceived responsiveness to the needs of the local recovery community it serves. Recovery Support Services, primarily offered by peers, must deal with the real issues experienced in each community and offer solutions and resources derived from the strength, hope and experience of that community.

Recruitment and Training of Staff and Volunteers – It is important to target community organizations and mutual assistance groups offering broad and comfortable interaction with diverse recovering communities. An effective recruitment strategy for the Recovery Community Center Initiative is essential for successful implementation.

Referral System – It is critical that a formalized referral system be established prior to or during the Program Installation phase. The program must have in place trained staff and volunteers familiar with established policies and procedures for handling referrals.

Community Response System – Of equal importance is gathering the community support of stakeholders and systems that promote resilience and optimal physical and mental health, such as mutual assistance groups, chemical dependency and gambling prevention and treatment providers, health, mental health, housing and employment services. Applicants must demonstrate capacity to establish a broad network assuring timely access by participants to needed services and supports in the community.

B. Eligible Services

Peer-to-peer recovery support services are the essential resource offered by Recovery Community Centers. Recovery Community Centers are to serve as a welcoming community of support for everyone (adults, teens, children, family members and significant others) interested in pursuing recovery. Successful peer recovery support services initiatives will network and build strong and mutually supportive relationships with formal and informal systems in their communities (i.e., treatment programs, mental health, housing, transportation, justice, education etc.). However, these peer services are designed and delivered primarily by individuals in recovery to meet the targeted community's recovery support needs, as each local community defines them. Therefore, although supportive of formal treatment, peer recovery support services are not treatment in the commonly understood clinical sense of the term. Most importantly, recovery support services should be designed to build resiliency and support individuals' integration or reintegration within their communities. Centers must simultaneously take care not to foster a substitute dependency in participants. Recovery Community Centers are expected to be both a resource for recovery coordination services and, in some cases may be a provider of such services.

At the same time, peer recovery support services are expected to support and enhance the full continuum of addiction services. Centers may provide primary and secondary prevention activities, as well as services designed to prevent relapse and promote long-term recovery. Moreover, when individuals do experience relapse, recovery support services can help minimize the negative effects through early intervention and, when appropriate, timely linkage to treatment resources.

Abstinence (which includes abstinence attained in conjunction with medication assisted treatments, such as methadone or buprenorphine) is an important part of sustained recovery from addiction. However, recovery is a larger construct than sobriety or abstinence and it embraces an engagement or reengagement with the community based on resilience, health, and hope. Therefore, peer recovery support services are expected to focus less on the pathology of substance use and gambling disorders and more on maximizing the opportunities to create a lifetime of recovery and wellness for the individual, family, and community.

The OASAS Recovery Community Center Initiative is not designed to support the provision of professional treatment services of any kind, including aftercare, by any type of provider. Peer support services cannot replace acute treatment, and it would be unethical to utilize peer leaders from the recovery community to provide services, such as treatment, counseling, or psychotherapy, that should be provided by a professional. Peer leaders providing recovery support services under this program will offer supportive services that differ from, but should complement those provided by alcohol/drug and problem gambling counselors, psychotherapists, or other professionals. However, Recovery Community Centers should maintain appropriate links to clinical services which can match the needs of their participants.

In addition, the initiative is not designed to support counselors, psychotherapists, other treatment providers, or other professionals of any kind in the provision of recovery support services. Individuals who self-identify as both a professional and a person in recovery may provide recovery support services in their capacity as a peer, but may not provide professional services with funding awarded through this initiative.

Note: As appropriate and allowed by the Recovery Center's budget, classes and workshops may be provided through consultants/trainers (not necessarily recovery peers).

C. Recovery Support Services

Proposals should demonstrate that the array of services proposed is responsive to community need and complements existing community resources. The goal is to add to the existing resources in the community with peer-to-peer recovery support services that can meet the appropriate level of care needs of people who are seeking to initiate recovery or working to sustain it. Successful peer-to-peer recovery support services will include ongoing assessment of participants' support needs and a menu of supportive services or linkages to community resources to meet these needs at various stages in recovery.

Because peer recovery support services operationalize the construct of social supports, it may be helpful for you to consider four types of social supports cited in the literature (Cobb, 1976; Salser, 2002), and to design a mix of services that includes activities in the following categories (See TABLE A for examples):

- **Emotional support** refers to demonstrations of empathy, caring, and concern that bolster self-esteem and confidence, and build resiliency.
- **Informational support** involves assistance with knowledge, information, and skills. This type of support can include providing information on where to go for resources or might involve teaching a specific skill.
- **Instrumental support** refers to concrete assistance in helping others do things or get things done, especially stressful or unpleasant tasks.
- **Affiliational support** offers the opportunity to establish positive social connections with other recovering people. It is important for people in recovery to learn social and recreational skills in an alcohol/drug and gambling-free environment. Especially in early recovery, when there may be little that is reinforcing about abstaining from alcohol or drugs or gambling, alcohol and drug-free socialization may help prevent relapse [Meyers & Squires, 2001; Miller, Meyers & Hiller-Sturmhofel, 1999]. In addition, community and cultural connections can be important in helping the recovering person establish a new identity around health and wellness as opposed to an identity formed in relation to the cultures of alcohol and drugs (Coyhis and White, 2002).

TABLE A

Type of Supports	Service Categories and Examples
Emotional Support	Peer-led Support Groups Recovery Support for the whole family - Examples: “all recovery” support groups; relationships, cultural and gender recovering people living with HIV, Hepatitis C, PTSD, and other co-occurring disorders with alcohol, drugs and gambling problems.
	Peer-led Recovery Mentoring (coaching) projects One-on-one guidance and direction. Help with identifying and accessing community resources that match interests and self-identified needs.
	Peer to Peer Telephone Recovery Support Services, accompanying people with visits to health care providers.
Informational Support	Peer-led Resource Connector programs Examples: linkage to and assistance with: housing, employment, public assistance, emergency relief, benefits and entitlements, legal services, citizen restoration, educational applications and financial aid, vocational rehabilitation and training.
	Life Skills classes and workshops Examples: financial management, nutrition and meal planning, parenting, relationship skills, home management, time management, citizen restoration and how to access to these resources.
	Health and Wellness classes and workshops Examples: relapse prevention, stress management, personal growth, anger management, reproductive health, HIV and Hepatitis C prevention and management, nutrition, smoking cessation, dance, yoga, and other exercise, mental health strategies, self care, selecting and working with health care providers, accessing health care.
	Education and Career Planning classes and workshops Examples: ESL, GED,

	reading and study skills, career aptitude, workforce preparation and readiness, computer skills and resume writing.
	Leadership Development classes and workshops Examples: advocacy, workforce skills, personal development and building resiliency, communication and conflict resolution, peer ethics, cultural competency, facilitation and group process, burnout prevention, supervision.
Instrumental Support	Direct Instrumental Examples: child care, transportation, clothing services, food banks, emergency services.
Affiliational Support	AOD-Free Social/Recreational activities Substitution of addiction-oriented social networks with pro-recovery networks and communities of affiliation. Examples: family-centered events, leisure interest development, dances, speaker events, educational forums, community and cultural involvement, sport team events, health and wellness information fairs/activities, Recovery Month events and conferences.

D. Implementation¹

Implementation is a specified set of activities designed to put into practice a program of known dimensions, such as the Recovery Community Center Initiative described above.

1. Stages of Implementation

Stages of implementation, for the purpose of this RFP, include a planning stage with exploration/adoption and program installation activities and an active implementation stage which starts with initial implementation, proceeds to full implementation, and concludes with sustainability.

a. Planning Stage

Exploration activities assess the potential match between community needs, program needs, and community resources. When the outcome is a decision to adopt the program, a clear implementation work plan with tasks and timelines is developed to facilitate its installation and subsequent implementation. This may include recruiting and establishing a board of directors or new members of the board to develop mission and vision statements consistent with recovery principles. *Program installation* activities focus on tasks that need to be accomplished before the first participant is seen. Typical activities include developing human resource strategies, policy structures, referral and linkage mechanisms, and reporting frameworks; identifying outcome expectations, aligning or realigning current staff/volunteers, hiring new staff/volunteers to meet program qualifications requirements, and purchasing needed technology.

b. Active Implementation Stage

Initial implementation is the point at which the program begins to function. Staff/volunteers are in place, referrals are received, organizational supports and functions begin to operate, external partners and collaborators honor their

¹ This section is based on the work of Dean L. Fixen and his colleagues in Fixen, D.L., Naoom, S.F., Blasé, K.A., Friedman, R.M., & Wallace, F. (2005) *Implementation Research: A Synthesis of the Literature* Tampa, FL: University of Southern Florida, Louis de la Parte Florida Mental Health Institute, The National Implementation Research Network (FMHI Publication #231)

commitments, and participants begin to receive services. This is often a critical period of time for implementation given the difficulty of starting anything new. Overcoming inertia, fear of the unknown, and lack of confidence can stall efforts. A means of obtaining continuous stakeholder/participant feedback and a process to use that feedback to guide program modifications and improvements are also necessary.

Full implementation occurs when the new learning becomes integrated into staff/volunteers, organizational, and community practices, policies, and procedures. The implemented program becomes fully operational with full staffing/volunteer complements, full service participation, and all the realities of “doing business.” Anticipated benefits for participants as a result of the recovery supports offered should be realized.

Sustainability or long-term survival and continued effectiveness of a fully implemented program in the context of staff/volunteer turnover; leadership, funding, and external systems changes; and new social problems is the goal of this phase of active implementation.

2. Core Implementation Components

Different from the core elements of recovery support services such as those anticipated in the Recovery Community Center Initiative, core implementation components are the most essential components of actual program implementation. Core implementation components, for the purpose of this RFP, are staff/volunteer selection, pre-service and in-service training, consultation and coaching, staff/volunteer supervision and evaluation, program evaluation, facilitative administrative supports, and systems interventions.

a. Staff/Volunteer Selection

Staff/volunteer selection includes descriptions or measures of activities related to the redeployment of current staff/volunteers or the recruitment, interviewing, and selection or hiring of new staff/volunteers. What qualifications are required for staff, what kind(s) of training are necessary? What is the interview process like? Staff/volunteer selection applies to organizational staff such as administrators, trainers, coaches, and evaluators as well as program staff and volunteers. Consider what kind and level of supervision will be available.

b. Pre-service and In-service Training

Pre-service and in-service training are efficient ways to provide knowledge of background information, theory, philosophy, and values; to introduce the core elements and rationales of program practices; and to provide opportunities to practice new skills and receive feedback in a safe training environment. When coupled with coaching, training can contribute to important learning outcomes.

c. Consultation and Coaching

Combined with training, consultation and coaching are the principal ways in which behavior change is brought about for carefully selected staff/volunteers at the outset and

throughout the life of the program. To teach and reinforce skill development, adaptation skills, and craft knowledge to fit the personal styles of practitioners, the main roles of a coach have been described as supervision, teaching while engaged in practice activities, assessment and feedback, and the provision of emotional support.

d. Staff/Volunteer Supervision/Evaluation

Staff/volunteer evaluation is utilized to assess the use and outcomes of skills reflected in the selection criteria, taught in training, and reinforced and expanded in consultation and coaching. Staff evaluation and fidelity, i.e., practice in keeping with the intent of the program, typically consist of a combination of measures of context (prerequisites that must be in place for the program to operate), compliance (extent to which a practitioner uses the program's core elements), and competence (level of skill that a practitioner shows in using the program's core elements to deliver services).

e. Program Evaluation

Linked to key aspects of organizational performance that are related to program goals and objectives, program evaluation utilizes measures of organizational fidelity, process, and outcome to help assure continuing implementation of the core intervention components over time and provide regular feedback to improve services. Measuring and assessing important aspects of organizational performance and incorporating the results in an organized, continuous, quality improvement process also enables a program to know to what extent it is achieving its goals and provides a solid way to consider what it wants to do next.

f. Facilitative Administrative Supports

Facilitative administrative supports refers to organization and program administration that provides leadership, makes use of a range of data inputs to inform decision making, supports the overall process, and keeps staff/volunteers organized and focused on the desired outcomes.

g. Systems Interventions

Systems interventions are strategies to work with external systems to ensure the availability of the financial, organizational, and human resources required to support the work of the staff/volunteers.

E. Cultural Considerations

Knowledge, information, and data from and about individuals, families, communities, and groups in the geographic area to be served should be used to address issues of age, race, ethnicity, culture, language, sexual orientation, disability, literacy, and gender in the target population. The information should be utilized to adapt standards and practices, skills, services approaches, techniques, and outreach to support the beliefs, values, preferences, and life circumstances of diverse cultural communities represented by those individuals who are expected to receive services.

F. Operational Expectations

In the area of program operations, the applicant will be required to collect, manage, analyze, interpret, and report performance data and outcomes to OASAS. Sufficient allocation of time and resources for this purpose is necessary; applicants should maximize the use of existing resources to augment or supplement State funding where possible. Applicants are encouraged to establish a mechanism to assure advice and guidance on their services with representation of all significant stakeholders.

Note: All data produced by the successful applicant in connection with its responsibilities under this initiative shall belong to OASAS, but may be used by the grantee for outcomes management, educational or research purposes, as long as all other legal requirements for the use of such data have been satisfied, and with the permission of OASAS.

PART III: Project Specifications

The following specifications are mandatory requirements. Applicant must meet the following to be considered:

- **Meet the Eligibility Requirements (Part IIIA),**
- **Specifically respond to each of the Required Proposal Components (Part IIIB, Sections 1-6), or**
- **Submit a proposal in accordance with the Application Due Date (Part IIIC)**

A. Eligible Applicants

Eligible Applicants must be corporations organized or existing pursuant to the not-for-profit laws of New York State and legally permitted to provide the services described herein as recovery services, or organizations that have filed a Certificate of Incorporation with the Department of State for this purpose prior to the submission date established for this Request For Proposals. An award under this solicitation may only be made to established not-for-profit organizations.

B. Required Proposal Components

1. Cover Page

Include the organization's name and address; name and title and original signature of the authorized signatory; telephone and fax numbers, and e-mail address.

2. Summary (no longer than 1 page)

Describe the proposed program concisely, including its goals, objectives, overall approach (including target population and key partnerships), anticipated outcomes, and deliverables. Key partners are defined in Part III.B.3.b below.

3. Project Narrative

a. Statement of Need (No more than 2 pages)

This section should be used to describe the need for developing a Recovery Community Center in the geographical area(s) proposed to be served, including the needs that the proposal intends to address by implementing the Recovery Community Center. The description should include, but not be limited to the following:

- Appropriate demographic and epidemiological information for the geographical area(s) to be served;
- The demographic and recovery supports needs of the individuals who will participate in the services; and
- Issues of age, race, ethnicity, culture, language, sexual orientation, disability, literacy and gender in the target population that will need to be addressed.

b. Proposed Program/Approach

This section should provide a clear and concise description of how the proposed program will address the problems described in the Statement of Need. The description should include, but not be limited to, the following:

- Capability and experience of the eligible applicant organization(s) and key partners with recovery support services and with the provision of culturally competent services (key partners are contractual or collaborative agencies, organizations, funding entities, and/or citizens groups with a significant role in carrying out the program);
- Involvement of key partners and the nature of their roles in carrying out the recovery support services (letters of commitment are required from all key partners and will be utilized in scoring this section);
- The process that will be utilized to engage the community, including providers across service systems and all stakeholders, to establish consensus and working relationships;
- Core Recovery Support Services to be offered (see Part II.C);
- Innovative program design and/or interventions that build upon core program elements;
- Adaptation of standards and practices, including safety considerations, skills, services approaches, techniques, and outreach to support the beliefs, values, preferences, and life circumstances of cultural communities represented by individuals who will receive services; and
- Number of individuals anticipated to be served through each of Core Recovery Support Services for each year of contract duration.

c. Organization and Staffing

This section should describe and demonstrate organizational capability to implement and operate the proposed program. Information provided should clearly delineate the roles and responsibilities of both applicant organizations and key partners and include, but not be limited to, the following:

- An organizational chart and description of organizational structure, lines of supervision, and management oversight for the proposed program, including oversight and evaluation of consultants and contractors;
- Day-to-day responsibility for key tasks such as leadership, monitoring ongoing progress, preparing reports, and communicating with other partners;
- The roles, qualifications, expertise, and auspices of key personnel; and
- Staffing pattern that reflects an adequate number and appropriate mix of staff and volunteers which includes bilingual individuals appropriate to the cultural communities represented by individuals who will receive services.

d. Proposed Implementation

This section should provide a substantial description of the proposed services that are expected to be provided in response to identified local need. For each service proposed, include a detailed Implementation Plan and carefully describe the activities designed to effectively implement the proposed Recovery Support Services offered by each Recovery Community Center. See Part II.D. for additional information on the implementation terms used here.

- Describe *exploration* activities conducted or to be conducted in the planning stage of implementation to assess the potential match between community needs, program needs, and community resources.
- Outline and describe a clear work plan with tasks and timelines to establish and implement each service designed to offering Emotional, Informational, Instrumental and Affiliational Supports.
- Describe *program installation* activities and tasks to be accomplished before initial implementation, using core implementation components (see Section II.D.2. a-g) to organize the description and to group the identified activities and tasks.
- For each staff/volunteer group to be involved in the program, describe the plans to provide relevant in-service training coupled with consultation and coaching during each phase of the active state of implementation, i.e., *initial implementation, full implementation, and sustainability*.
- Describe the *staff/volunteer evaluation* process and measures of context, compliance, and competency you plan to utilize to assess the use and outcomes of skills during initial implementation, full implementation, and sustainability. Explain the proposal to utilize results to improve staff/volunteer and program performance.
- Describe the *program evaluation* process and outcomes to be measured and assessed during *initial implementation, full implementation, and sustainability*. Also describe the organized process for continuously improving quality.

- Describe the facilitative administrative supports and system interventions to support program implementation and ensure required resource availability during *initial implementation, full implementation, and sustainability phases.*

4. Budget

Complete Exhibit 1, an Operational Funding Request and Budget Narrative detailing all expense components that make up total operating expenses. Include supporting documentation for the budgeted value of each category.

5. Letters of Commitment/Support

Letters of commitment are required from all key partners and will be utilized in scoring Part III.B.3.b. Letters of commitment or support from other involved agencies and stakeholders should also be provided. All letters of commitment or support must be submitted as a part of the proposal. Any letters submitted outside of the proposal will not be considered in scoring the proposal.

6. Integration with Local Services

Recovery Community Centers are intended to become a vital service within the existing chemical dependency and problem gambling service delivery system in the communities where they are located. The County/Local Governmental Unit (LGU) Letter of Support (Appendix F) for the applicants' proposal(s) for the area(s) proposed to be served by the Recovery Community Service is required. The first two sections must be filled out by the applicant entity submitting a proposal. The remainder of the document must be completed by the applicant entity's LGU. A listing for a contact person for each county can be found in Appendix H.

C. Application Due Date

Completed proposals must be received by OASAS by 4:00 p.m. on the date indicated in the RFP Schedule. Proposals not received by the deadline may not be opened at the sole discretion of the Office of Alcoholism and Substance Abuse Services. Two original proposals and four (4) copies must be mailed in an envelope marked "Recovery Community Center Initiative RFP" to:

James Carroll
Contract Management Specialist II
Bureau of Financial Management
New York State Office of Alcoholism
And Substance Abuse Services
1450 Western Avenue, 4th Floor
Albany, New York 12203-3526

Part IV: Evaluation Process

A. Pre-Qualification Review

Proposals must be submitted by eligible applicants (Part III.A), include all required proposal components (Part III.B), and be received by the application due date (Part III.C).

B. Comprehensive Evaluation

Proposals that meet the eligible applicant criteria will be reviewed comprehensively to assess the organization's ability to meet the requirements of this RFP to effectively implement a Recovery Community Center, with special attention to cultural considerations, and in keeping with operational expectations. A review panel of program and fiscal specialists from OASAS will rate each of the submitted proposals based on a detailed assessment of information provided in response to the RFP.

C. Scoring

Proposals will be scored as indicated below.

1. Cover Page
2. Summary
3. Project Narrative
 - a. Statement of Need 0 - 5
 - b. Proposed Program/Approach 0 - 15
 - c. Organization and Staffing 0 - 5
 - d. Program Implementation 0 - 40
4. Budget and Budget Narrative 0 - 20
5. Letters of Commitment/Support 0 - 5
6. Integration with Local Services 0 - 10

D. Notification of Award

OASAS will notify all successful applicants through issuance of a Notification of Award Letter. Unsuccessful applicants will be notified through issuance of a Notification of Non-Award letter. Awards will be granted for the highest ranked proposals for each area to be served. OASAS reserves the right to award grants to ensure appropriate geographic representation.

E. Debriefing

All unsuccessful applicants will be offered the opportunity for a debriefing in their notification of non-award letter. Any request for a debriefing must be made within five (5) business days of receipt of the notification letter. Debriefing discussions will be limited to the evaluation results as they apply to the unsuccessful applicant.

F. Special Terms and Conditions

OASAS reserves the right to specify special terms and conditions for individual applicants when making awards. The applicant must accept such terms and conditions for the award to take effect.

G. Contract Approval and Provisions

If award(s) are made pursuant to this RFP, only the acceptance in writing by the OASAS Associate Commissioner, Division of Fiscal Administration or a designated duly authorized representative, with the approval of the Attorney General and the Office of the State Comptroller, shall constitute a contract between a successful applicant and the State of New York

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

H. Vendor Responsibility

Pursuant to New York State Finance Law section 163(3) (a) (ii), State agencies are required to ensure that contracts are awarded to responsible vendors. A determination of responsibility includes, but is not limited to, an affirmative review of an applicant's qualifications, legal authority, financial stability, integrity and past contract performance. A vendor responsibility review, including completion of a vendor responsibility questionnaire, will be required of all successful applicants. OASAS requires a successful applicant to formally communicate any changes in its responsibility disclosure. Failure to disclose any changes provides OASAS with the right to terminate the contract for cause. For more information on vendor responsibility determinations and questionnaires, applicants may contact the Office of the State Comptroller or view its website at <http://www.osc.state.ny.us/vendrep/index.htm> .

I. Funding

All provisions of this RFP and the resulting contract awards are contingent upon the availability of New York State funds. Delay in authorization of funds for the initiative being solicited herein may result in a change in the effective date of the contract.

J. Termination

The State and the Bidder agrees and stipulates that OASAS shall have the sole right, in its discretion, at any time to terminate a resulting contract, or any unit reporting thereof with cause, by giving written Notice of Termination to the successful bidder, and that such Notice of Termination shall in no event constitute or be deemed a breach of this Agreement and no liability shall be incurred by or arise against the State, its agents and employees there from.

The State shall have the right to terminate the contract early for:

- A. unavailability of funds;
- B. cause; or
- C. convenience.

The State may only invoke its right to terminate for convenience on each anniversary date of the contract (except for the contract expiration date), provided that the State has given written notice to the Contractor no later than 30 days or more prior to the date of termination, except with respect to contracts that gives the State a general right to terminate at any time.

Violation of Procurement Lobbying Restrictions. OASAS reserves the right to terminate this contract in the event it is found that the certification filed by the Bidder in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, OASAS may exercise its termination right by providing written notification to the Bidder in accordance with the written notification terms of this contract.

Non-responsibility Determinations. By signing the Proposal, the offerer certifies that all information provided as a result of this RFP is complete, accurate and true with regard to prior non-responsibility determinations within the past four years based on (i) impermissible contacts or other violations of SFL §139-j, or (ii) the intentional provision of false or incomplete information to a government entity. In the event it is determined after award that the certification provided was intentionally false or intentionally incomplete the contract may be terminated without notice by OASAS.

Part V: Attachments and Appendices

The following appendices will be incorporated into any contract(s) resulting from this Request for Proposals:

Appendix A – Standard Clauses for New York State Contracts

Appendix B - Minority and Women-Owned Business Enterprises

Appendix C - Minority and Women Owned Business Utilization Report

Appendix D - Non-Collusive Bidding Certification Required

Appendix E - Corporate Acknowledgement

Appendix F - County/Local Governmental Unit Letter of Support

Appendix G - References Cited

Appendix H - Directors of Community Services (9/26/08)

Appendix A

Standard Clauses for NYS Contracts

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, “the contract” or “this Contract”) agree to be bound by the following clauses which are hereby made a part of the contract (the word “Contractor” herein refers to any party other than the State, whether a contractor, licensor, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State’s written consent are null and void. The Contractor may, however, assign its right to receive payment without the State’s prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER’S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller’s approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

4. WORKERS’ COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers’ Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor’s employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor’s behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of setoff any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION. (a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.** (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 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. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. PURCHASES OF APPAREL. In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder.

Revised June 2006

Appendix B

Minority and Women-Owned Business Enterprises

I. DEFINITIONS. The following terms shall be defined in accordance with Section 312 of the Executive Law:

STATE CONTRACT herein referred to as “**State Contract**”, shall mean (i) a written agreement or purchase order instrument providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project. For purposes of this agreement, the term "services" shall not include banking relationships, the issuance of insurance policies and contracts, or contracts with a contracting agency for the sale of bonds, notes or other securities.

SUBCONTRACT herein referred to as “**Subcontract**”, shall mean any agreement providing for a total expenditure in excess of \$25,000 for construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon between a contractor and any individual, partnership, corporation, or not-for-profit corporation, in which a portion of a contractor's obligation under a State Contract is undertaken or assumed, but shall not include any construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon for the beneficial use of contractor.

WOMEN-OWNED BUSINESS ENTERPRISE herein referred to “**WBE**”, shall mean a business enterprise, including a sole proprietorship, partnership, or corporation that is: (a) at least fifty-one percent owned by one or more United States citizens or permanent resident aliens who are women; (b) an enterprise in which the ownership interest of such women is real, substantial and continuing; (c) an enterprise in which such women ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; and (d) an enterprise authorized to do business in this State and independently owned and operated.

MINORITY-OWNED BUSINESS ENTERPRISE herein referred to as “**MBE**”, shall mean a business enterprise, including a sole proprietorship, partnership, or corporation that is: (a) at least fifty-one percent owned by one or more minority group members; (b) an enterprise in which such minority ownership interest is real, substantial and continuing; (c) an enterprise in which such minority ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; and (d) an enterprise authorized to do business in this State and independently owned and operated.

MINORITY GROUP MEMBER shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups: (a) Black persons having origins in any of the Black African racial groups; (b) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race; (c) Native American or Alaskan native persons having origins in any of the original peoples of North America; (d) Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or Pacific Islands.

CERTIFIED BUSINESS shall mean a business verified as a minority or women-owned business enterprise pursuant to section 314 of the Executive Law.

II. TERMS. The parties of the attached State Contract agree to be bound by the following provisions which are made a part hereof (the word "contractor" herein refers to any party other than the Office of Alcoholism and Substance Abuse Services [OASAS]):

1. As a pre-condition for the award of any State Contract, Contractor agrees to submit an Equal Employment Opportunity (EEO) Policy Statement which conforms to the following provisions:

(a) **Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and raises of pay or other forms of compensation.**

(b) At the request of OASAS, Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of Contractor's obligations therein.

(c) Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of State Contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

(d) Contractor will include the provisions of "a", "b", "c", above, in every Subcontract over \$25,000.00.

2. Contractor shall indicate whether it is able to separate out from its entire work force that portion of its work force which will be utilized in the performance of this State Contract.

3. For State Contracts which provide labor, services, supplies, equipment or materials, as defined above, contractor must provide a Staffing Plan of the anticipated work force to be utilized on the State Contract broken down by specified ethnic background, gender, and Federal Occupational Categories, or other appropriate categories which the agency (OASAS) may specify.

4. For contractors who are unable to separate the portion of their work force which will be utilized for the performance of this State Contract, contractor shall provide reports describing its entire work force by the specified ethnic background, gender, and Federal Occupational Categories, or other appropriate categories which the agency may specify.

5. If contractor fails to provide a Staffing Plan, or in the alternative, a description of its entire work force, OASAS may reject contractor's bid, unless contractor either commits to provide such information at a later date or provides a reasonable justification in writing for its failure to provide the same.

6. After the State Contract has been awarded, contractor shall provide a Utilization Report which breaks down and describes contractor's and every subcontractor's work force by specified ethnic background, gender, and Federal Occupational Categories. The prime contractor shall be responsible for collecting reports from its subcontractors and providing such reports to OASAS. For State Contracts for construction, the Utilization Report shall be completed using the number of hours worked for each relevant job title within the Federal Occupational Categories. During the term of State Contract construction contractors must provide a Utilization Report on a monthly basis; contractors providing labor, services, supplies, equipment or materials, who are unable to separate out their work force must provide Utilization reports on a semi-annual basis; all other contractors must provide Utilization Reports every three months.

7. Contractor shall provide OASAS reports of its compliance with the terms of Article 15-A of the Executive Law as may be required by OASAS.

8. PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN, OASAS shall determine whether contractor has made conscientious and active efforts to employ and utilize minority group members and women to perform this State Contract based upon an analysis of the following factors:

(a) Whether contractor established and maintain a current list of recruitment sources for minority group members and women, and whether contractor provided written notification to such recruitment sources that contractor had employment opportunities at the time such opportunities became available.

(b) Whether contractor sent letters to recruiting sources, labor unions, or authorized representatives of workers with which contractor has a collective bargaining or other agreement or understanding requesting assistance in locating minority group members and women for employment.

(c) Whether contractor disseminated its EEO policy by including it in any advertising in the news media, and in particular, in minority and women news media.

(d) Whether contractor has attempted to provide information concerning its EEO policy to subcontractors with which it does business or had anticipated doing business.

(e) Whether internal procedures exist for, at a minimum, annual dissemination of the EEO policy to employees, specifically to employees having any responsibility for hiring, assignment, layoff, termination, or other employment decisions. Such dissemination may occur through distribution of employee policy manuals and handbooks, annual reports, staff meetings and public postings.

(f) Whether contractor encourages and utilizes minority group members and women employees to assist in recruiting other employees.

(g) Whether contractor has apprentice training programs approved by the N.Y.S. Department of Labor which provides for training and hiring of minority group members and women.

(h) Whether the terms of this section have been incorporated into each Subcontract which is entered into by the prime contractor.

9. PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES. Based upon an analysis of the following factors, OASAS shall determine whether contractor has made conscientious and active efforts to provide for meaningful participation by minority-owned and women-owned business enterprises which have been certified by DMWBD:

(a) Whether Contractor has actively solicited bids for subcontracts from qualified MWBEs, including those firms listed on the Directory of Certified Minority and Women-Owned Business Enterprises, and has documented its efforts, including names and addresses of firms contacted, and the reasons why any such firm was not selected to participate on the project.

(b) Whether contractor has attempted to make project plans and specifications available to firms who are not members of associations with plan rooms and reduce fees for firms who are disadvantaged.

(c) Whether contractor has utilized the services of organizations which provide technical assistance in connection with MWBE participation.

(d) Whether prime contractor has structured its subcontracts so that opportunities exist to complete smaller portions of work.

(e) Whether contractor has encouraged the formation of joint ventures, partnership, or other similar arrangements among subcontractors.

(f) Whether contractor has made progress payments promptly to its subcontractors.

(g) Whether the terms of this section have been incorporated into each Subcontract which is entered into by the prime contractor.

It shall be the responsibility of prime contractor to ensure compliance by every subcontractor with these provisions.

10. GOALS.

(a) GOALS FOR MINORITY AND WOMEN WORK FORCE PARTICIPATION.

(i) Contractor shall exert good faith efforts to achieve such goals for minority and women's participation. To successfully achieve such goals, the employment of minority group members and women by contractor must be substantially uniform during the entire term of this State Contract. In addition, contractor should not participate in the transfer of employees from one employer or project to another for the sole purpose of achieving goals for minority and women's participation.

(b) GOALS FOR MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES PARTICIPATION. For all State Contracts in excess of \$100,000.00 whereby OASAS is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon, Contractor shall exert good faith efforts to achieve a participation goal of two-percent (2%) for Certified Minority-Owned Business Enterprises and three-percent (3%) for Certified Women-Owned Business Enterprises.

11. ENFORCEMENT. OASAS will be responsible for enforcement of each contractor's compliance with these provisions. Contractor, and each subcontractor, shall permit OASAS access to its books, records and accounts for the purpose of investigating and determine whether contractor or subcontractor is in compliance with the requirements of Article 15-A of the Executive Law. If OASAS determines that a contractor or subcontractor may not be in compliance with these provisions, OASAS may make every reasonable effort to resolve the issue and assist the contractor or subcontractor in its efforts to comply with these provisions. If OASAS is unable to resolve the issue of noncompliance, OASAS may file a complaint with the Division of Minority and Women's Business Development (DMWBD).

Appendix C

Minority and Women Owned Business Utilization Report

OASAS CONTACT
 OASAS TELEPHONE NO. ()

NEW YORK STATE OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES
UTILIZATION PLAN
- MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISE PROGRAM -

NOTE: This Plan is required pursuant to Executive Law.

Subcontractor/Supplier Name and Address	Subcontractor/Supplier Taxpayer/Federal ID No.	Check One	MBE (Check)	WBE (Check)	Certified (Check)	Description of Work	\$ Value of Contract
		<input type="checkbox"/> Sub <input type="checkbox"/> Supplier	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Sub <input type="checkbox"/> Supplier	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Sub <input type="checkbox"/> Supplier	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No		
		<input type="checkbox"/> Sub <input type="checkbox"/> Supplier	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No		

- (a) Total Contract Value: \$ _____ %
- (b) Total Subcontracts for Commodities and Services Assigned to MBEs: \$ _____ %
- (c) Total Subcontracts for Commodities and Services Assigned to WBEs: \$ _____ %
- (d) Subcontracts for Commodities and Services Unassigned: \$ _____ %

CONTRACTOR'S STATEMENT: My Firm proposes to use the MWBEs listed above.

Signature: _____ Name of Contractor (Print or Type) _____ Telephone { } _____ Date _____

AFFIRMATIVE ACTION OFFICER (If Applicable)
 Signature: _____

FOR OASAS USE ONLY

MWBE Certified: _____	Not Certified: _____
Reviewed By: _____	Date: _____

FMS-22 (5/93) Replaces MWBE-2 SS (01/91)

Appendix D

**Non-Collusive Bidding Certification Required
By Section 139-D of the State Finance Law**

By submission of this bid, bidder and each person signing on behalf of bidder certifies, and in the case of joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his/her knowledge and belief:

- [1] The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor;
- [2] Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other Bidder or to any competitor; and
- [3] No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A BID SHALL NOT BE CONSIDERED FOR AWARD NOR SHALL ANY AWARD BE MADE WHERE [1], [2], AND [3] ABOVE HAVE NOT BEEN COMPLIED WITH; PROVIDED HOWEVER, THAT IF IN ANY CASE THE BIDDER(S) CANNOT MAKE THE FOREGOING CERTIFICATION, THE BIDDER SHALL SO STATE AND SHALL FURNISH BELOW A SIGNED STATEMENT WHICH SETS FORTH IN DETAIL THE REASONS THEREFORE:

[AFFIX ADDENDUM TO THIS PAGE IF SPACE IS REQUIRED FOR STATEMENT.]

Subscribed to under penalty of perjury under the laws of the State of New York, this _____ day of _____, _____ as the act and deed of said corporation or partnership.

IF BIDDER(S) IS (ARE) A PARTNERSHIP, COMPLETE THE FOLLOWING:

NAMES OF PARTNERS/PRINCIPALS	LEGAL RESIDENCE

IF BIDDER(S) IS (ARE) A CORPORATION, COMPLETE THE FOLLOWING:

NAME	LEGAL ADDRESS/RESIDENCE
Corporate Name	
President	
Secretary	
Treasurer	
Corporate Name	
President	
Secretary	
Treasurer	

IDENTIFYING DATA

Potential Contractor

Title:

Street Address

City, State and Zip Code

Telephone

Fax

If applicable, Responsible Corporate Officer

Name

Title

Signature

Date

Joint or combined bids by companies or firms must be certified on behalf of each participant.

Legal name of person, firm or corporation

Legal name of person, firm or corporation

By _____
Name

By _____
Name

Title

Title

Street Address

Street Address

City, State, Zip Code

City, State, Zip Code

Appendix E

Corporate Acknowledgement

State of _____)

ss.:

County of _____)

On the _____ day of _____ in the year _____ before me personally came _____ to me known, who, being by me duly sworn, did depose and say that he/she resides at _____, that he/she is the _____ (list whether president or other officer or director) of the _____ (name of corporation), the corporation described in and which executed the within instrument; that he/she knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the board of directors of said corporation; and that he/she signed his/her name thereto by like order.

Notary Public

EXHIBIT 1

Operational Funding Request and Budget Narrative

Instructions for Completing the Initiative Funding Request Form (IFR) (Start-up and Annual Operating Budgets)

PROVIDER INFORMATION

1. **Printed Legal Name of Applicant Entity** – Print the incorporated or legal name of the agency submitting the Initiative Funding Request on the IFR and on any additional pages that are attached. **Do not enter the common name or acronym.**
2. **Printed Name of Local Governmental Unit, if Applicable** – Print the complete name of the County or City of New York Local Governmental Unit (LGU) that administers the Applicant Entity's local State Aid contract agreement. Applicants that do not currently receive State Aid from OASAS should list the county in which services will be performed. **Applicants that have a direct contract with OASAS for State Aid funding should leave this blank.**
3. **Applicant's OASAS Provider Number** – Enter the unique five-digit number that identifies the agency and that is used for reporting purposes to OASAS. If the agency is not currently required to submit Consolidated Fiscal Reports (CFR), leave blank. Otherwise, this number is the same as the *Agency Code* number used when submitting CFR documents.
- 4-6. **Applicant Address** – Enter the mailing address, including zip code, where the administrative office of the applicant entity is located.
7. **Date Prepared** – Enter the date the Initiative Funding Request Form (IFR) was prepared.
- 8-10. **Applicant Contact Person** – Enter the printed name and title, and the telephone number (including area code) of the person who can answer questions concerning the information provided on the IFR.

PART II – OPERATIONAL FUNDING REQUEST

1. **Date Initiative Expected to be Operational** – Enter the date, in the xx/xx/xxxx format, that the proposed initiative is expected to be operational and will require Aid to Localities funding from OASAS.

Requested Operating Budget for Proposal

Requested operating budget amounts must represent:

Column A - the **start-up, part year costs**, net deficit and OASAS State aid funding requested for one-time costs necessary to start the program effort. Start-up costs include, but are not limited to the following: equipment; office supplies; furniture; rental deposits/securities; and staff recruitment).

Column B – the **12-month, full annual costs**, revenues, net deficit and OASAS State aid funding requested.

ALL AMOUNTS REQUESTED FOR THE RECOVERY COMMUNITY CENTER INITIATIVE FUNDING MUST BE ROUNDED TO THE NEAREST HUNDRED DOLLARS.

2. **Gross Expense Budget** – Applicants should refer to the Consolidated Budget Reporting and Claiming (CBR) Manual for a more detailed general description of the following expense items which should be entered in Columns A and B:

- Personal Services
- Fringe Benefits
- Non-Personal Services (i.e. Other than Personal Services (OTPS))
- Equipment
- Property/Space
- Agency Administration

3. **Revenue Budget** – Applicants should refer to the CBR Manual for an explanation of each revenue category, and enter applicable start-up and annual projected amounts that they anticipate receiving to offset costs attributable to the initiative in Columns A and B.

If the applicant does not anticipate receiving any additional revenue to offset costs of its proposal it should so indicate by entering \$0 for each category in Columns A and B.

4. **Operating Budget Net Deficit** - Enter the amount obtained by subtracting **Total Revenue Budget** from **Total Gross Expense Budget in Column A and B**.
5. **OASAS State Aid Funding Requested** – Enter the amount of OASAS State aid funding being requested for the initiative in Columns A and B. This amount **should equal** the **Operating Budget Net Deficit** amount.
6. **Full-Time Equivalent (FTE) Staff Requested** – Enter the number of FTE’s requested as part of this initiative in Columns A and B.

Applicant Official – Enter the printed name and title of the applicant agency representative submitting the IFR proposal.

Signature and Date – Each original IFR must have original signature and date by the applicant agency representative.

[Consolidated Budget Reporting and Claiming Manual \(CBR\)](http://www.omh.state.ny.us/omhweb/cbr/) may be accessed at www.omh.state.ny.us/omhweb/cbr/ Refer to Sections 12 and 13 of the CBR Manual for some description of these expense and revenue categories.

INITIATIVE FUNDING REQUEST (IFR) FORM
(Start-up and Annual Operating Budgets)

1. Printed Legal Name of Applicant Entity:			
2. Printed Name of Local Governmental Unit, if Applicable:			
3. Applicant's OASAS Provider Number:		4. Applicant's Street Address/P.O. Box:	
5. Applicant's City/Town/Village:		6. Postal Zip Code:	7. Date Prepared:
8. Printed Name of Applicant Contact Person:		9. Printed Title of Contact:	
10. Contact Telephone #:			

PART II – OPERATIONAL FUNDING REQUEST

1. Date Initiative expected to be operational:		
	(Column A)	(Column B)
REQUESTED OPERATING BUDGET FOR PROPOSAL	PROPOSED START-UP OPERATING BUDGET	ANNUAL OPERATING BUDGET
2. Gross Expense Budget (see instructions for details): Round Amounts to the nearest \$100.		
Personal Services		
Fringe Benefits		
Non-Personal Services		
Equipment		
Property/Space		
Agency Administration		
TOTAL GROSS EXPENSE BUDGET		
3. Revenue Budget (see instructions for details): Round Amounts to the nearest \$100.		
Patient Fees		
SSI and SSA		
Public Assistance (Safety Net & TANF)		
Medicaid		
Medicare		
Third Party Insurance/Private Pay		
Food Stamps		
Closely Allied Entity Contributions		
Donations		
Other: Specify:		
Specify:		
Specify:		
TOTAL REVENUE BUDGET		
4. OPERATING BUDGET NET DEFICIT		
5. OASAS State Aid Funding Requested		
6. Full-Time Equivalent (FTE) Staff Requested:		
Applicant Official:		
Printed Name:	Printed Title:	
Signature:	Date:	

OASAS Recovery Community Center - INITIATIVE FUNDING REQUEST FORM

1. Legal Name of Applicant Entity:		
2. County Where Service Will Be Operated:		
2. Name of Applicant Contact Person:	3. Title of Contact:	4. Contact Telephone Number:

PART III- Budget Narrative

<p>Goals and Objectives – What is expected to happen, change, be in place etc. as a result of the sustained implementation of the proposed Recovery Community Center. What are the measurable achievements that indicate progress in attaining these goals. Interim Milestones indicating significant events or levels of operation may be included to demonstrate progress over time. (Attach an additional page, if necessary)</p>
<p>Budget Narrative – Provide a detailed description of the key and significant expenses that are included in the proposed FICA and Fringe costs, Other Than Personal Services expenses (including any consulting or contractual services), Equipment and Property/Space Costs. (Attach an additional page, if necessary)</p>
<p>3 Staffing Plan - Provide a listing of staff/positions to be employed by this program, including titles, salaries, and general responsibilities. Include both the total number of individuals and the FTE for each position. Also include number of individuals and range of activities to be carried out by volunteers. (Attach an additional page, if necessary)</p>

Appendix F
County/Local Governmental Unit Letter of Support

Legal Name of Applicant:

County where program will be located:

As a duly authorized official of the above named Local Governmental Unit, I attest to the following

I fully support the proposal submitted by the Applicant.

Comments:

I do not support the proposal submitted by the Applicant for the following reasons:

Name of Authorized LGU Official:

Title of Authorized LGU Official:

Signature of Authorized LGU Official:

Date:

Appendix G: References Cited

Coyhis, D. & White, W. (2002). Addiction and recovery in Native America, lost history, enduring lessons. *Counselor*, September/October, 35-44.

Meyers, R. & Squires, D. (2001). *The community reinforcement approach*. Retrieved May 3, 2005, from Behavioral Health Recovery Management Web site:
<http://www.bhrm.org/guidelines/CRAmanual.pdf>

Miller, W., Meyers, R. & Hiller-Sturmhofel, S. (1999). The community-reinforcement approach. *Alcohol Research & Health*, 23(2), 116-121.

Appendix H - Directors of Community Services (9/26/08)

LGU	Name	Title	Phone	Email	Street	City, State, Zip	Agency
Albany	Robin Siegal, Ph.D.	Executive Director	(518) 447-4537	Rsiegal@AlbanyCounty.com	175 Green Street, PO Box 678	Albany, NY 12202	Albany County Department of Mental Health
Allegany	Robert W. Anderson, Ph.D.	Director of Community Services	(585) 593-1991	andersonrobert_w@hotmail.com	45 North Broad Street	Wellsville, NY 14895	Allegany County Mental Health Dept.
Broome	Arthur R. Johnson, LCSW	Commissioner of Mental Health	(607) 778-2351	ajohnson@co.broome.ny.us	One Howard Street	Binghamton, NY 13091	Broome County Mental Health Dept.
Cattaraugus	Dawn Miller, LMSW	Director of Community Services	(716) 373-8040	dmmiller@catco.org	1701 Lincoln Avenue, Suite 4308	Olean, NY 14760	Cattaraugus County Dept. of Community Services
Cayuga	Katherine O'Connell	Interim Director of Community Services	(315) 253-2746	koconnell@cayugacounty.us	146 North Street	Auburn, NY 13021	Cayuga County Mental Health Dept.
Chautauqua	Patricia Brinkman, LMHC, MBA	Director of Community Services	(716) 753-4104	brinkmap@co.chautauqua.ny.us	7 No. Erie Street, HRC Building	Mayville, NY 14757	Chautauqua County Mental Health Dept.
Chemung	Brian Hart, LCSW-R	Director of Community Services	(607) 737-5501	bhart@co.chemung.ny.us	425 Pennsylvania, P.O. Box 588	Elmira, NY 14902	Chemung County Mental Hygiene Dept.
Chenango	Mary Ann Spryn, ACSW, LCSW	Director of Community Services	(607) 337-1604	MaryAnnS@co.chenango.ny.us	5 Court St., Suite 42, County Office Bldg.	Norwich, NY 13815	Chenango County Mental Hygiene Services
Clinton	Sherrie Gillette, MA, CASAC	Director of Community Services	(518) 565-4000	Gillette@co.clinton.ny.us	16 Ampersand Drive	Plattsburgh, NY 12901	Clinton County Mental Health Dept.
Columbia	Michael O'Leary, DSW	Director of Community Services	(518) 828-9446	moleary@govt.co.columbia.ny.us	325 Columbia Street	Hudson, NY 12534	Columbia County Mental Health Dept.
Cortland	Charles T. Capanzano, Ph.D.	Director of Community Services	(607) 758-6100	ccapanzano@cortland-co.org	7 Clayton Avenue	Cortland, NY 13045	Cortland County Mental Health Dept.
Delaware	Patricia Thomson, LCSW	Director of Community Services	(607) 865-6522	patricia.thomson@co.delaware.ny.us	One Hospital Road	Walton, NY 13856	Delaware County Mental Health Dept.
Dutchess	Kenneth M. Glatt, Ph.D.	Commissioner of Mental Hygiene	(845) 486-2750	kmg@dcdmh.org	230 North Road	Poughkeepsie, NY 12601	Dutchess County Dept. of Mental Hygiene
Erie	Philip R. Endress, ACSW, LCSW	Commissioner of Mental Health	(716) 858-8531	Endressp@erie.gov	95 Franklin St., Rath Bldg., Room 1237	Buffalo, NY 14202	Erie County Mental Health Dept.
Essex	Nicole P. Bryant, LMSW	Director of Community Services	(518) 873-3670	nbryant@co.essex.ny.us	P.O. Box 8, Court Street	Elizabethtown, NY 12932	Essex County Mental Health Dept.
Franklin	Susan Delehanty, LCSW	Director of Community Services	(518) 891-2280	susandelehanty@citizenadvocates.net	17 Main Street	Saranac Lake, NY 12983	Franklin County Mental Health Dept.
Fulton	Ernest J. Gagnon, LMSW	Director of Community Services	(518) 773-3531	egagnon@co.fulton.ny.us	57 E. Fulton St	Gloversville, NY 12078	Fulton County Dept. of Mental Health
Genesee	Ellery Reaves, MPA	Director of Community Services	(585) 344-1421	greaves@co.genesee.ny.us	5130 East Main Street Rd., Suite 2	Batavia, NY 14020-3496	Genesee County Mental Health Dept.
Greene	Peter Konrad	Director of Community Services	(518) 622-9163	pkonrad@discovergreene.com	905 Greene County Office Building	Cairo, NY 12413	Greene County Mental Health Dept.
Hamilton	Robert Kleppang, CSW	Director of Community Services	(518) 648-5355	rkleppang.hccs@frontiernet.net	83 Whitebirch Lane	Indian Lake, NY 12842	Hamilton County Mental Health Dept.
Herkimer	Edgar Scudder, LCSW	Director of Community Services	(315) 867-1465	Escudder@herkimercounty.org	301 N. Washington St., Suite 2470	Herkimer, NY 13350	Herkimer County Mental Health Dept.
Jefferson	Roger Ambrose, LMSW	Director of Community Services	(315)785-3283	RogerA@co.jefferson.ny.us	175 Arsenal Street	Watertown, NY 13601	Jefferson County Mental Health Dept.
Lewis	Toby Davis, MBA, Ph.D., CASAC	Director of Community Services	(315) 376-5450	tdavis@lewiscountyny.org	Lowville Commons, 7550 South State St.	Lowville, NY 13367	Lewis County Mental Health Dept.
Livingston	Gail Long	Director of Community Services	(585) 243-7250	along@co.livingston.ny.us	4600 Millennium Dr.	Genesee, NY 14454	Livingston County Mental Health Dept.
Madison	James Yonai, Ph.D., CRC	Director of Community Services	(315) 366-2327	james.yonai@co.madison.ny.us	Veterans Memorial Bldg., P.O. Box 608	Wampsville, NY 13163	Madison County Mental Health Dept.
Monroe	Kathleen Plum, Ph.D., RN, NPP	Director of Community Services	(585) 753-6047	kplum@monroecounty.gov	1099 Jay St., Bldg. J, Suite 201A	Rochester, NY 14611	Monroe County Office of Mental Health
Montgomery	James Gumaer	Director of Community Services	(518) 841-7367	MontyMH@MvBizz.net	St. Mary's Hospital, 427 Guy Park Ave.	Amsterdam, NY 12010	Montgomery County Community Services
Nassau	Arlene Sanchez, MS, LMSW	Acting Director of Drug and Alcohol Addiction	(516) 227-7083	arlene_sanchez@hhsnassaucountyny.us	60 Charles Lindbergh Blvd., Suite 200	Uniondale, NY 11553-3653	Nassau County Dept. of Drug & Alcohol Addiction
New York City	David Rosin, M.D.	Executive Deputy Commissioner of H&MH	(212) 219-5400	drosin@health.nyc.gov	93 Worth St., Room 410	New York, NY 10013	NYC Dept. of Health and Mental Hygiene
Niagara	Antoinette Lech, MA, MBA	Director of Community Services	(716) 439-7410	Antoinette.Lech@niagaracounty.com	5467 Upper Mountain Rd., Suite 200	Lockport, NY 14094-1895	Niagara County Mental Health Dept.
Oneida	Linda Nelson	Acting Commissioner of Mental Health	(315) 798-5676	lnelson@ocgov.net	235 Elizabeth Street	Utica, NY 13501	Oneida County Dept. of Mental Health
Onondaga	Robert Long, MPA	Acting Commissioner of Mental Health	(315) 435-3355	roblong@ongov.net	421 Montgomery St., 10th Floor	Syracuse, NY 13202	Onondaga County Department of Mental Health
Ontario	William M. Swingly, CSW	Director of Community Services	(585) 396-4363	william.swingly@co.ontario.ny.us	3019 County Complex Drive	Canandaigua, NY 14424	Ontario County Mental Health Dept.
Orange	Chris Ashman	Commissioner of Mental Health	(845) 291-2603	cashman@co.orange.ny.us	30 Harriman Drive	Goshen, NY 10924-2410	Orange County Department of Mental Health
Orleans	James F. Graziano, LMSW	Director of Community Services	(585) 589-3292	jgraziano@orleansny.com	14014 Route 31 W.	Albion, NY 14411	Orleans Mental Health Services
Oswego	Nicole D. Kolmsee, MS	Director of Community Services	(315) 349-3561	nkolmsee@oswegocounty.com	100 Spring Street	Mexico, NY 13114	Oswego County Mental Health Dept.
Otsego	Susan Dalesandro, LCSW, CASAC	Director of Community Services	(607) 433-2343	dalesandros@otsegocounty.com	242 Main Street	Oneonta, NY 13820	Otsego County Mental Hygiene Dept.
Putnam	Michael J. Piazza, Jr., MA	Commissioner of Mental Health	(845) 225-7040	Michael.PiazzaJr@dfa.state.ny.us	110 Old Route 6	Carmel, NY 10512	Putnam County Mental Health Dept.
Rensselaer	Katherine M. Maciol, LCSW	Commissioner of Mental Health	(518) 270-2807	kmaciol@rensco.com	Rensselaer County Office Bldg., 3rd Floor	Troy, NY 12180	Rensselaer County Dept. of Mental Health
Rockland	Mary Ann Walsh-Tozer, LCSW	Commissioner of Mental Health	(845) 364-2378	TozerM@co.rockland.ny.us	50 Sanatorium Road, Building F	Pomona, NY 10970	Rockland County Dept. of Mental Health
St. Lawrence	Ruth Ayen, RN, MHSA	Director of Community Services	(315)386-2048	raven@co.st-lawrence.ny.us	80 State Highway 310, Suite 1	Canton, NY 13617-1493	Canton Human Services Center
Saratoga	Dale R. Angstadt, ACSW	Director of Community Services	(518) 584-9030	saracmh@govt.co.saratoga.ny.us	Kramer House, 211 Church Street	Saratoga Springs, NY 12866	Saratoga County Mental Health Dept.
Schenectady	John Cadalso, Jr., ACSW	Director of Community Services	(518) 386-2218	jack.cadalso@schenectadycounty.com	107 Nott Terrace- Shafer Heights, Suite 205	Schenectady, NY 12308	Schenectady County Mental Health Dept.
Schoharie	Joseph M. Patterson, MS	Director of Community Services	(518) 295-8407	pattersonj@co.schoharie.ny.us	284 Main St. Suite 320, Box 160	Schoharie, NY 12157	Schoharie County Mental Health Clinic
Schuyler	George A. Roets, RN, MS	Director of Community Services	(607) 535-8288	groets@co.schuyler.ny.us	Mill Creek Center, 106 So. Perry St., Suite 4	Watkins Glen, NY 14891	Schuyler County Mental Health Dept.
Seneca	Scott LaVigne, LCSW-R, MBA	Director of Community Services	(315) 539-1980	slavigne@co.seneca.ny.us	31 Thurber Drive	Watertown, NY 13165	Seneca County Mental Health Dept.
Steuben	Robert W. Anderson, Ph.D.	Director of Community Services	(607) 776-6577	andersonrobert_w@hotmail.com	115 Liberty Street	Bath, NY 14810	Steuben County Community Mental Health
Suffolk	Thomas MacGillivray, LCSW, CASAC	Director of Community Services	(631) 853-3105	Thomas.MacGillivray@suffolkcountyny.gov	725 Veteran's Hwy, Bldg. C928, Box 6100	Hauppauge, NY 11788	Suffolk County Dept. of Health Services
Sullivan	Joseph A. Todora, MSW, LMSW	Director of Community Services	(845) 292-8770	joseph.todora@scgnet.us	Infirmiry Road, Box 716	Liberty, NY 12754	Sullivan County Dept. of Community Services
Tioga	Paul LeBlanc, LMSW	Director of Community Services	(607) 687-0200	LeblancP@co.tioga.ny.us	1277 Taylor Road, Box 716	Owego, NY 13827	Tioga County Mental Health Dept.
Tompkins	Robert J. DeLuca, CSW	Interim Director of Community Services	(607) 274-6300	rdeluca@tompkins-co.org	201 East Green Street	Ithaca, NY 14850	Tompkins County Mental Health Dept.
Ulster	Marshall Beckman, MPA	Director of Community Services	(845) 340-4000	mibec@co.ulster.ny.us	239 Golden Hill Lane	Kingston, NY 12401	Ulster County Mental Health Dept.
Warren/Washington	Robert York, LCSW-R	Director of Community Services	(518) 792-7143	yorkr@co.warren.ny.us	230 Maple St., Suite 1	Glens Falls, NY 12801	Warren/Washington County Mental Health Dept.
Wayne	James M. Haitz, LCSW-R	Director of Community Services	(315) 946-5722	jhazit@co.wayne.ny.us	1519 Nye Road	Lyons, NY 14489	Wayne Behavioral Health Network
Westchester	Grant Mitchell, M.D.	Commissioner of Mental Health	(914) 995-5236	gem2@westchestergov.com	112 E. Post Rd., 2nd Fl., Co. Office Bldg. 2	White Plains, NY 10601	Westchester County Mental Health Dept.
Wyoming	Stephen Snell, LCSW	Commissioner of Community Services	(585) 786-8871	ssnell@wyomingco.net	338 North Main Street	Warsaw, NY 14569	Wyoming County Mental Health Dept.
Yates	George A. Roets, RN, MS	Director of Community Services	(315) 536-5115	groets@co.schuyler.ny.us	417 Liberty St., Suite 2033	Penn Yan, NY 14527	Yates County Mental Health Dept.