

**NYS Office of Children and Family Services
Bureau of Training & Development
2017 RFP**

Instructions for Forms

(unless otherwise provided with individual form)

- **Technical Proposal Narrative-** There is no form associated with the Technical Proposal Narrative. Provide a comprehensive description in response to Sections A., B. and C. of the RFP: MS Word or PDF is preferred.

- **Description of Organizational Capacity and Organizational Chart** – not an OCFS form. Provide a comprehensive description of the organization and how its staff demonstrates the ability to deliver the requested services. Provide a brief job description and list staff names and responsibilities of the individuals that will carry out the services. The chart must identify individual staff to be assigned to the work plan, their functional title, show their reporting responsibilities, and show the relationship of the work plan to the organization itself. Charts that indicate only the organizational structure and not individual staff positions are not sufficient.

- **Staff Résumés or Curriculum Vitae OR Professional Qualification/Biographical Sketch (OCFS-4792)** – Provide a narrative résumé for each professional staff member employed or expected to be hired for the contract.

- **Application for Training & Administrative Activities Contract/Work Plan (OCFS-3101)** - submit an original signed paper Application form.

Complete the form as follows:

- Term:** enter the term of contract
- Budget:** enter Total Cost (C1) from Budget (OCFS-3104I))
- Organization Name, Address, Email, and Telephone Number**
- Vendor Address and Telephone Number:** enter if different from Organization
- Official Authorized to Sign Contract:** enter name, title and email address
- Vendor Director:** enter name and email address
- Official Signature:** an Official authorized to sign contract required
- Vendor Director Signature required**
- Organization's Federal Tax Identification Number**
- New York State Vendor Identification Number**
- Organization's Data Universal Numbering System (DUNS) Number**
- Incorporation:** indicate if Incorporated or Not Incorporated
- Identify state in which organization is incorporated:** check whether organization is authorized to do business in NY
- If not incorporated, check type of organization:** for applicable type of organization
- Check Type of Corporation:** if not for profit, enter State Charitable Registration Number or Exemption
- Check All the Terms Below That Apply to the Organization**

- **If Educational Institution, Identify Accreditation Status and Accreditation Body**
 - **State Title of Solicitation**
- **Budget (OCFS-3104 I-VIII) & COST Proposal Budget Narrative-** All information provided in the budget section must be consistent with the information provided on other forms, and be fully detailed showing how each of the various estimated costs was developed.

Excluded Costs

The following are costs that cannot be included as costs in budgets:

- In-kind services donated by any private entity, whether a vendor or subcontractor;
- Advertising costs, except for recruitment of employees/personnel, the procurement of scarce items, or the recruitment of participants;
- Capital expenditures for improvement or acquisition of facilities;
- Entertainment costs, including social activities or cost of alcoholic beverages;
- Interest costs, including costs incurred to borrow funds;
- Costs of organized fund raising;
- Costs for attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the contract; Costs incurred in the preparation and submission of a proposal; costs for pre-contract activity, and costs for preparation of new and continuation of contracts; and
- Costs related to Independent Annual Audits.

Budget Forms and Cost Proposal Budget Narrative

The Budget should contain all estimated costs for the work to be performed under the contract agreement. A Cost Proposal Budget Narrative should be included and submitted as part of the Budget providing a description of the cost methodology utilized for each of the cost categories. The Budget consists of the following forms:

- **OCFS-3104 (Section I) – Budget**
All costs included in the budget, with the exception of costs under *B. 13. Total Indirect Cost*, must be directly attributable to the work plan.

Part A Personal Services- Provide the cost estimate for personnel and fringe. Total Personal Services, A3, will automatically calculate.

Part B Non-Personal Services- Lines B4-B12: Provide the cost estimates for each line-item category, as applicable.

Indirect Costs

Line B13 Total Indirect Costs: General administrative costs such as accounting and legal services, and overhead costs such as office rent and utilities, may be included as indirect costs under *B.13. Total Indirect Cost* if the organization has an approved indirect cost rate. Using the space provided at the bottom of the form, show the calculations used to arrive at the

Total Indirect Cost amount, if indirect costs are included in the budget. Include how the base amount is calculated and identify excluded costs, and include the rate percent x base amount = indirect cost amount. If on-campus and off-campus rates are used, show how they are applied. Enter the Total Indirect Cost amount on line B13. Note: this form does not automatically calculate this cost.

While the full indirect cost rate is eligible for use in calculating the indirect cost amount in the budget, training vendors are encouraged to consider using a reduced rate to make their proposals more cost-competitive. Due to anticipated funding constraints, OCFS reserves the right to limit indirect costs in proposals selected for renewal.

If the organization has no approved Indirect Cost Rate, any general administrative costs and overhead costs that are included in the budget must be direct charged in the appropriate budget category and include an explanation of the costs, how the costs are allocated to the work plan (for example, percent of square footage of total office space, or percent of total operation), and how the costs relate to the provision of services under the work plan.

Total Non-Personal Services B14: will automatically calculate.

Part C Total Cost- Total work plan cost must equal the sum of Sections A and B (A3+B14). This will automatically calculate.

Part D Amount to Be Reimbursed (Rate) - Enter dollar amount of reimbursement and indicate applicable rate of reimbursement derived at.

- **OCFS-3104(II) Schedule of Estimated Personnel Cost/ Total Personal Personnel/Salaries** – List the names and titles of all staff whose time will be dedicated at 100% or less on the work plan. The Base Salary should be based on a 12 month annual salary. State the Percentage (%) of Time for each staff member that is expected to work during of the term of the work plan. The Total Salary Charged to Project is generally calculated as Base Salary x % Staff Time. In some instances this methodology does not work. In those instances, the salary calculation should be provided in the Special Salary Notes, including a narrative explanation for the methodology used and show actual calculations. **Please use a separate page if necessary and submit with the proposal.** Special Salary Notes section should be utilized to report the methodology used in reporting salaries for unusual circumstances. While salaries are generally calculated as a percentage of annual salary, in certain instances it is allowable to use an hourly rate or per day rate. In these cases, show the complete calculation (e.g. hours x rate) under base salary. Budgeted amounts should reflect the employee’s actual annual salary and should be consistent across all OCFS contracts, if applicable. No individual’s percentage of effort may be allocated more than 100 percent.

Fringe Benefits- State the Total Fringe Benefits that will be charged to the project. In the section ‘Explanation of Fringe Benefit’ or on a separate page include the individual calculations and the total sum used to arrive at the Total

Fringe Benefits amount. State the fringe benefit rate(s) and the positions to which rate(s) apply (for example, rates for staff, college/ university faculty, part-time and for summer employment if different). Provide a complete listing of the benefits included in this rate along with a current Fringe Rate Agreement. If two different Fringe Rates will apply during the proposed contract period, each period must be pro-rated and explained in the Cost Proposal Budget Narrative.

Note: Total of Personnel Salaries and Fringe Benefits should total Box A3 Total Personal Services cost on Budget.

□ **OCFS-3104(III) Schedule of Estimated Equipment Cost**

For the purposes of Bureau of Training & Development's contract or workplan, equipment is defined as any tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$500 or more per unit/item. For the purposes of purchasing equipment during work plan implementation, prior approval is required for individual items costing \$1,000 or more per unit/item. If the item is to be used by more than one OCFS contract, the cost must be pro-rated among those contracts and identified as a pro-rated item in individual work plan budgets.

Purchase Cost Item- Be as specific as possible. Clearly describe the item(s). Include model number and specifications, if possible. Provide a written justification for the budgeting of all equipment in the COST Proposal Budget Narrative.

NOTE: Any purchase of equipment during contract implementation having a purchase value of \$1,000 or more per unit will require prior written approval from BTM. Please refer to the BTM Operations Manual for Training Vendors (OMTV) or any update to such manual, for guidance on submitting equipment purchase requests during work plan implementation.

BTM may determine that a series of small purchases taken together are related and form one operational piece of equipment and reserves the right to classify the items as equipment.

Rental Cost Item- Clearly describe item(s). Include model # and specifications if possible. Indicate term and rate of rental. Provide a justification for the rental of all equipment in the COST Proposal Budget Narrative. *Note: costs for rental agreements outside the proposed contract period should not be included.*

□ **OCFS-3104(IV) Schedule of Estimated Consumable Supplies**

Consumables are disposable personal property not meeting the definition of equipment. List in reasonable detail the items to be purchased. Include the number of items to be purchased, if available, and unit cost. Estimated Cost will be automatically calculated using the formula 'Number of Items' x 'Unit Price'. Provide specific information on items to be purchased and describe

how the costs were estimated in the Budget Narrative document. OCFS vendors are encouraged to utilize M/WBE suppliers.

□ **OCFS-3104(V) Schedule of Estimated Staff Travel Costs**

Staff travel costs include costs for transportation, meals, and lodging. OCFS bases travel reimbursements on the latest approved policies and rates set forth for state staff by the NYS Office of the State Comptroller (OSC). List mode of transportation for local travel (e.g. subway, personal auto); include purpose, destinations, and number of staff, mileage rates if applicable, and total cost. Exceptions to this policy may be made only in specific instances, with prior written authorization from Bureau of Training & Development post award during contract implementation. These exceptions must be clearly defined and justified.

Training vendors should use the current OSC travel rates when calculating cost estimates for lodging and meals available at this Internet link:

<http://www.osc.state.ny.us/agencies/travel/travel.htm>

OCFS-3104(VI) Schedule of Estimated Subcontractor/Consultant Costs

In some instances, vendors may require some of the deliverables to be completed by a consultant or subcontractor. If the training vendor proposes to use a consultant or subcontractor it should be limited in scope. The following definitions and requirements apply:

Bureau of Training & Development's Policy, in part:

A subcontractor is an institution, individual, or organization external to the contractor/vendor that has entered into a written agreement with the contractor/vendor to provide any service outlined in or associated with the contract/work plan, and whose services are to be funded under the contract/work plan budget. The term subcontractor includes consultants. A contractor/vendor (also referred to as a training provider) is an institution, expert, or organization that has entered into a written training and administrative activities agreement with OCFS that has been approved by the State Comptroller or provides services under a Memorandum of Understanding between the organization and OCFS. The term subcontractor includes independent consultants or other third-party and results in a written contractual agreement between the parent contractor/vendor and subcontractor. All such agreements are to be conducted by a bona fide written contract/work plan. Use of subcontractors must be fully explained and justified (e.g. identify the services that the subcontractor will provide, and explain why they must be used).

Please refer to the Bureau of Training & Development's Operations Manual for Training Vendors (OMTV) or any updates to such Manual, for further guidance during work plan Implementation using consultants/subcontracts and crediting of material developed or for

copyright permission and NYS Branding Guidelines for materials purchased under a consultant/subcontract agreement.

For the purpose of proposal submission:

The proposal budget should include the estimated service and travel costs necessary to conduct deliverables through consultant/subcontractors with as much detail as possible. Cost detail shall include expected number of consultants, estimated number of days of service, cost per day and estimated travel costs broken down in accordance with OSC travel guidelines. The technical proposal narrative and cost proposal narrative should identify the services that the subcontractor(s) will provide, and explain why they must be used. The work must be directly related to the services and objectives.

□ **OCFS-3104(VII) Schedule of Other Costs**

Other Costs includes items that are directly related to the services to be provided, but that are not specifically included in the above categories or accounted for in the Indirect Costs. These items may include: telephone and communication, postage, shipping, delivery and messenger services, insurance, service maintenance and repair costs for equipment, reprint permissions, reproduction, photocopying and printing costs, audio-visual and print production costs, materials development costs, temporary help, advertising costs for recruiting new hires, books, journals, periodicals, computer time, library services, audio-visual services, facility rental, off-site rental, and training space rental.

For the calculation of these costs on the budget form, include such items as cost per hour, cost per page, or cost per square foot and rate or unit cost, if applicable. Listed costs for each item should be stated as an annualized amount. The Cost Proposal Budget Narrative should state whether or not individual items of cost are factored on an annual, monthly or weekly basis and what rates are used to support the annual cost. Information on why items were selected and how the estimates were derived at (annual, monthly or weekly basis) should be included in the Cost Proposal Budget Narrative.

Printing Services: All agencies and subcontractors must make reasonable efforts to secure the lowest responsible bidder or utilization of certified M/WBE business for printing services. In instances where a printing job is in excess of \$5,000, documentation that shows that the lowest cost source has been used must be provided with the payment claim. These guidelines are not intended for use when obtaining photocopying services for normal business activities.

General Administrative and Overhead Costs: Costs that are normally considered part of general administration or overhead should be included in the indirect cost category, unless they will be directly related to the provision of services under the work plan. For example, general office space would normally be considered an overhead expense; however, if an agency proposes to rent space that will be used exclusively by staff who will work

directly on the work plan, depending on the terms of the organization's indirect rate agreement, the cost of this space may be included in the other category. Under no circumstances can any cost that is budgeted completely or partially as a direct cost also be fully claimed as part of the budgeted indirect costs. Documentation for approved Federal Indirect Cost Rate Agreement must be included with the proposal submission.

- **OCFS-3104 (VIII) – Schedule of Estimated Direct Trainee Cost**
Include Direct Trainee Costs only if required by the RFP.

- **Administrative Activities Sub-budget with DAB-1666 Reporting (OCFS-3104A I-VIII)** - This form is required only for those contracts funded in whole or in part with Title IV-E funds. This form is required post award by the successful bidder. Instructions for this form will be provided upon notification of award.

- **Indirect Cost & Fringe Benefit Rate Agreement/Documentation-** Include a current and approved Agreement for any Federal Indirect Cost & Fringe Benefit Rate Agreement or other State agency rate approval, if indirect costs are included in the Cost Proposal Budget. Documentation of the rate agreement must include a copy of the signed agreement or transmittal letter, state the indirect cost rate, and state the base costs against which the rate is applied as well as any exclusions to the base costs. Fringe Benefit Rate(s) should denote the period of time in which it is in effect. The calculation for Fringe should be included on the OCFS-3104(II) Schedule of Estimated Personnel Cost/ Total Personal Personnel/Salaries and explained in the Budget Narrative. If the proposed contract period results in rates used for two different fiscal years, include a copy of both period Indirect and Fringe Rate Agreements.

- **Public Vendor Share Worksheet (OCFS-4798)** This form is required post award by the successful bidder only if a Public Education Institution. Instructions for this form will be provided upon notification of award.

- **Cost Proposal Budget Narrative –** not an OCFS form. Utilizing a word format, provide budget footnotes, rates, explanations and calculations that are otherwise unable to be stated on budget forms.

For example, explain the methodology utilized in calculating fringe benefits or indirect costs including whether or not the applicable rates are utilized on a calendar year basis or other fiscal cycle.

The narrative should include justification and if applicable, the cost allocation methodology for the budgeting of:

- Staff resources
- Equipment (purchased and/or rented) – see below Equipment Inventory Plan
- Consumables
- Other costs
- Staff travel
- Trainee travel

- **Training and Administrative Activities List (OCFS-3102)** - This form is required post award by the successful bidder. Instructions for this form will be provided upon notification of award.
- **Minority and Women-Owned Business Enterprises (MWBE) – Equal Employment Opportunity (EEO) - Requirements & Procedures** - see OCFS Contract Policy Statements – all forms and submission is required post award by the successful bidder. Instructions for this form will be provided upon notification of award.
- **Contractor Employee and Volunteer Background Certification (OCFS-4716) (if applicable)** – see OCFS Contract Policy Statements – individual submissions of this form is required post award by the successful bidder. Instructions for this form will be provided upon notification of award.
- **Contractor Employee Confidentiality Certification Form (OCFS-4715)** – see OCFS Contract Policy Statements - individual submissions of this form is required post award by the successful bidder. Instructions for this form will be provided upon notification of award.
- **Service-Disabled Veteran Owned Business (SDVOB)** – see OCFS Contract Policy Statements