



**Office of Children  
and Family Services**

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**New York State  
Office of Children and Family Services  
Child Welfare and Community Services  
Bureau of Program and Community Development**

**Grant Procurement**

**REQUEST FOR PROPOSALS**

**RFP # 1078  
Grants Gateway # CFS01-HFNY-2022**

**Targeted Healthy Families New York (HFNY) Program  
with Healthy Families America (HFA) Child Welfare Protocols**

**Issued: 4/25/2022**

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## 1.0 GENERAL INFORMATION/CALENDAR OF EVENTS

The New York State Office of Children and Family Services (OCFS) has released this Request for Proposals (RFP) to solicit applications to provide Healthy Families New York (HFNY) home visiting services to include the Healthy Families America (HFA) Child Welfare Protocols to unserved counties in New York State. HFNY is a key strategy supported by OCFS as noted in the state's Family First Prevention Services Act Prevention Plan to strengthen families, mitigate challenges that can lead to contact with the child welfare system and reduce child welfare involvement for those who are known to the system.

This RFP expands the availability of the effective HFNY services in two important ways: expanding enrollment of children up to 24 months of age when referred by child welfare and adding programs in unserved counties. The Child Welfare Protocols enables families with a target child up to 24 months of age to enroll when referred by child welfare instead of the age limit of three months in the HFNY traditional model. As a result, families with older children can access the same benefits of home visiting as families with children under three months of age. This expanded eligibility will allow child welfare to refer more families to HFNY and will allow HFNY programs to offer support to older children and families involved in the child welfare system. The unserved counties targeted by this RFP are Cayuga, Chautauqua, Columbia, Essex, Fulton, Genesee, Greene, Hamilton, Lewis, Montgomery, Nassau, Onondaga, Putnam, Saratoga, Schoharie, Schuyler, Seneca, Tompkins, Warren, Washington, and Wyoming. No more than one proposal to serve each county will be approved for funding.

**Applicants must operate in accordance with all applicable laws, rules and regulations.**

**Note:** Throughout this document, the terms *proposals*, *bids*, *offers*, and *applications* are used interchangeably, as are *applicants*, *bidders*, and *offerers*.

If the offerer discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the offerer shall immediately notify OCFS (See **Section 1.1 Procurement Contact**) of such error in writing and request clarification or modification of the document.

If before the deadline for submission of written questions an offerer fails to notify OCFS of a known error in or omission from the RFP, or of any error or omission or prejudice in bid specification or documents with the RFP that the offerer knew or should have known, the offerer agrees that it will assume such risk if awarded funds, and the offerer agrees that it is precluded from seeking further administrative relief or additional compensation under the contract by reason of such error, omission, or prejudice in bid specification or documents.

### 1.1 Procurement Contact

All inquiries concerning this procurement must be addressed to the director of contracts in the Procurement Unit or his/her designee(s) at OCFS, via email (preferred) [RFP@ocfs.ny.gov](mailto:RFP@ocfs.ny.gov) or via hard copy mailed to:

Director of Contracts  
 Questions for RFP # 1078 Targeted Healthy Families New York  
 NYS Office of Children and Family Services  
 Bureau of Contract Management  
 52 Washington Street  
 Room 202S – Procurement Unit  
 Rensselaer, NY 12144

**1.2 Calendar of Events**

<b>RFP # 1078 Targeted Healthy Families New York (HFNY)</b>	
<b>EVENT</b>	<b>DATE</b>
Issuance of RFP	4/25/2022
<b>Informational Meeting/Bidder’s Conference (optional)</b> See Section 1.3 for additional information.	<b>5/4/2022 at 1:00 PM Eastern Time</b>
<b>Deadline for submission of written questions</b>	<b>5/9/2022 by 9:00 AM Eastern Time</b>
Responses to written questions posted ( <i>on or about</i> )	5/20/2022
<b>Recommended deadline for not-for-profits to prequalify in the NYS Grants Gateway</b>	<b>5/25/2022</b>
<b>Deadline for submission of proposals</b>	<b>6/3/2022 by 4:00 PM Eastern Time</b>
<b>Anticipated Notification of Award (not earlier than)</b>	7/1/2022
<b>Anticipated contract start date (not earlier than)</b>	10/1/2022

**1.3 Informational Meeting/Bidder’s Conference**

Offerors are encouraged to attend the Bidder’s Conference, which will be an interactive webinar. The webinar will provide important information to organizations intending to submit applications in response to this RFP.

One webinar will be held on the date and time specified in RFP **Section 1.2 Calendar of Events**. Attending the webinar is encouraged as OCFS will review important proposal submission requirements. Attendance is not required. Prospective applicants may submit a proposal whether or not they attend the webinar. OCFS recommends webinar attendees attempt to log in to the webinar 5-10 minutes early so as to provide sufficient time to troubleshoot computer, software, or internet browser-related issues, should any occur.

- To join for both video and audio conference, access the webinar at [THIS LINK](#) and if prompted, use the meeting password: **HFNY2022**

- To join by telephone for the audio conference only, the number to call is **1-844-633-8697** or **1-518-549-0500**; use participant code: **1615 63 3809**

**Note:** It is recommended that participants read the RFP prior to the webinar.

A direct link to the Bidders Conference webinar invitation is available below, which can be copied and pasted into the address bar of most modern internet browsers.

<https://meetny.webex.com/meetny/j.php?MTID=m331ff833a7d684564507e616d3255890>

In addition, a comprehensive list of questions and responses resulting from the Bidder's Conference webinar will be posted in the solicitation announcement in the New York State Grants Gateway System (<https://grantsgateway.ny.gov>) (Grants Gateway), on the OCFS website (<https://ocfs.ny.gov/main/contracts/funding/>), and the Contract Reporter website at (<https://www.nyscr.ny.gov>) on or about the date specified in **Section 1.2 Calendar of Events**.

#### **1.4 Submission of Written Questions**

All communications to report errors or omissions in the procurement process, to ask questions, or to request clarification of this RFP should cite the particular RFP section and paragraph number and must be submitted via email (preferred) to [RFP@ocfs.ny.gov](mailto:RFP@ocfs.ny.gov) or via hard copy mailed to the director of contracts no later than the deadline for submission of written questions specified in **Section 1.2 Calendar of Events**. Questions received after the deadline for posting responses to written questions may not be answered. The comprehensive list of questions and responses will be posted in the solicitation announcement in the New York State Grants Gateway (Gateway) (<https://grantsgateway.ny.gov>), on the OCFS Website (<https://ocfs.ny.gov/main/contracts/funding/>), and The New York State contract Reporter (Contract Reporter) at (<https://www.nyscr.ny.gov/login.cfm>) on or about the date specified in **Section 1.2 Calendar of Events**.

To view the comprehensive list of questions and responses that are posted to the NYS Grants Gateway, click the link under the grant opportunity announcement in the Grant Opportunity Portal.

#### **1.5 Deadline for Prequalification in the Grants Gateway**

Not-for-Profit applicants are strongly encouraged to prequalify in the Grants Gateway by the date specified in the table in **Section 1.2 Calendar of Events**, and **MUST** prequalify by the date of submission. Please refer to **Section 3.0: MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS**.

NOTE: Government entities are not required to prequalify in Grants Gateway but must register in order to submit an application.

## 1.6 Submission of Proposals

All proposals must be submitted electronically through Grants Gateway. Please refer to **SECTION 5: PROPOSAL CONTENT AND SUBMISSION** for further information. before submitting a proposal, bidders must prequalify in the Grants Gateway System if not a Government Entity. (See **SECTION 3: MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS** for further information.)

**Forms Required To Be Submitted Into the “Pre-Submission Uploads” Section of the Application (click the hyperlinks below to access the files):**

- A. [OCFS-2633, MacBride Fair Employment Principles Certification Form](#)
- B. [OCFS-2634, Non-Collusive Bidding Certification](#) (Required by section 139d of State Finance Law.)
- C. [Attachment A-2, Federal Assurances and Certifications](#) (If applicable.)
- D. For complete proposal and contract requirements for the Minority-and-Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO) requirements, refer to Section 7.10. The following are forms to be completed and submitted with your Administrative Proposal and can be found [here](#):
  - [OCFS-4629, Project Staffing Plan Form](#)
  - [OCFS-3460, Minority and Women-Owned Business Enterprises \(MWBE\) Equal Employment Opportunity \(EEO\) Policy Statement](#)
  - [OCFS-4631, M/WBE Utilization Plan Form](#)
- E. [OCFS-2647, EO 177 Certification](#) (See section 7.15 for more information.)
- F. [OCFS-4821, CMS User Authorization](#) (Required for the OCFS contract Management System)

## 1.7 OCFS Reserved Rights

OCFS reserves the right to

1. place a monetary cap on the funding amount made in each contract award;
2. change any of the schedule dates stated in this RFP before the due date for the submission of proposals;

3. reject any or all proposals received in response to the RFP;
4. withdraw the RFP at any time at the agency's sole discretion;
5. make an award under the RFP in whole or in part;
6. disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
7. reject any proposal if, in the sole discretion of OCFS, it determines the bidder is not a responsible vendor;
8. seek clarification and revisions of proposals. Request bidders to present supplemental information clarifying their proposals either in writing or by formal presentation. Other than the requested clarification and supplemental information, submission of new information is not permitted;
9. require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal, which may include an oral presentation of their proposal. Any such demonstration or presentation may be considered in the evaluation of the proposal;
10. amend any part of this RFP before opening of bids, with notification to all bidders, and direct all bidders to prepare modifications addressing RFP amendments, if necessary. Expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP are the sole responsibility of the bidder or other party and will not be incurred or reimbursed by OCFS;
11. make funding decisions that maximize compliance with and address the outcomes identified in this RFP;
12. fund only one portion, or selected activities, of the selected bidder's proposal and/or adopt all or part of the selected bidder's proposal based on federal and state requirements;
13. eliminate any RFP requirements that cannot be met by all prospective bidders upon notice to all parties that submitted proposals;
14. waive procedural technicalities or modify minor irregularities in proposals received after notification to the bidder involved;
15. correct any arithmetic errors in any proposal or make typographical corrections to proposals with the concurrence of the bidder;
16. negotiate with the selected bidder(s) before contract award.
17. conduct contract negotiations or award a contract to the next highest bidder if contract negotiations with the selected bidder(s) cannot be accomplished



within an acceptable time frame. No bidder will have any rights against OCFS arising from such actions;

18. award contracts to more than one bidder or to other than the lowest bidder;
19. require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing;
20. fund any or all of the proposals received in response to this RFP. However, issuance of this RFP does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted and reserves the right to withdraw or postpone this RFP without notice and without liability to any bidder or other party for expenses incurred in the preparation of any proposals submitted in response to this RFP and may exercise these rights at any time;
21. use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract;
22. utilize any and all ideas submitted in the proposals received where an award is ultimately made;
23. require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation;
24. make additional awards based on the remaining proposals submitted in response to this RFP and/or provide additional funding to awardees if such funds become available;
25. make inquiries of third parties, including but not limited to, bidder's references, with regard to the applicants' experience or other matters deemed relevant to the proposal by OCFS. By submitting a proposal in response to this RFP, the applicant gives its consent to any inquiry made by OCFS;
26. require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information;
27. consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals;
28. rescind awards for failure of awardees to meet time frames that OCFS is required by statute to meet for contract development and approval;

29. cancel this RFP, in whole or in part, at any time and to reject any and all proposals when appropriate in the best interests of the state;
30. make adjustments to the funding amount requested based on program need and based on the total dollar value of the applications submitted; and
31. reject any extraneous terms, alternate activities/work to be performed, added conditions, or exceptions stated by applicants within their proposal(s). This includes, but is not limited to, proposed changes to the standard terms and conditions of the resulting contract(s).

Before the deadline for submission of proposals, any such clarifications or modifications as deemed necessary by OCFS will be posted in Grants Gateway, the NYS contract Reporter, and on the OCFS website. Potential offerers that were sent the original bid notice via email will receive an email from the Procurement Unit regarding the clarifications or modifications. All other individuals will have to check the NYS contract Reporter or the OCFS website for any changes and check the posted Q&As.

## **2.0 EXECUTIVE OVERVIEW**

### **2.1 Introduction/Description of Program Objectives and Background**

HFNY's voluntary home visitation program provides visitation services to expectant parents and families with infants that promotes optimal prenatal care, better birth outcomes, and positive growth and development in order to improve parent-child bonding, maternal health, child health and social outcomes for families at high risk of abuse or maltreatment and poor health outcomes. The program provides intensive home visitation services bi-weekly during the early prenatal period and weekly during the last trimester until the child is at least six (6) months old, and periodically thereafter based on the needs of the family until the child begins school or Head Start. This component of HFNY aligns with the state's Family First Prevention Plan, in serving families "upstream" prior to becoming known to the child welfare system.

Historically, HFNY eligibility criteria focused on prenatal families and families with a child 3 months or under. While this RFP will still address these families, this criteria limited the ability for families of older children involved with child welfare to access the effective HFNY services. Through this RFP, HFNY expands eligibility criteria for referrals made by child welfare to families with a target child up to 24 months of age by utilizing Child Welfare Protocol. This expanded eligibility allows more families involved in the child welfare system to access the evidence-based HFNY services, and enable the child welfare system to expand their efforts to work further upstream and prevent families from becoming more significantly involved in the child welfare system. Families with older children involved in the child welfare system can access the same benefits of home visiting as families with children under three months who have traditionally been eligible. These benefits include improved parent-child relationships, improved

child health and safety, and many families averting further child welfare involvement.

HFNY strategies are relationship-based, culturally sensitive, family-centered, strength-based (building on parental competencies) and grounded in the parallel process. HFNY home visitors develop healthy relationships with families and partner with parents to support them in responding in a sensitive and in a nurturing manner to their young children. HFNY focuses on recruitment of staff that mirror that of the community in which the program serves. Hiring staff that speak the languages in the community and offering materials that are representative of the community helps to foster the relationship with the families served. HFNY requires all program to assess the cultural humility of all aspects of service delivery at their program and identify areas of strengths and areas needing improvement to ensure the program is delivering the most equitable and inclusive services to the families they serve.

The program partners with families and assesses their strengths and needs to guide service provision. Through home visits, the program enhances family and child well-being including increasing protective factors to mitigate the risk of child abuse and neglect. Protective factors are parental resilience, social connections, knowledge of parenting and child development, social and emotional competence, and concrete support in times of need. The program builds and uses strong community linkages to meet family needs by connecting families to community resources including local department of social services, local health departments, hospitals, clinics, and Women, Infants and Children (WIC) offices.

Over the last 26 years, HFNY has grown to 44 programs in 36 counties and the five (5) boroughs of New York City. Evaluation results from a Randomized Control Trial (RCT) conducted by the OCFS Bureau of Research, Evaluation and Performance Analytics, in collaboration with the Center for Human Services Research (CHSR) at SUNY Albany, have identified many positive outcomes for HFNY participants, including but not limited to:

#### Improved Birth Outcomes & Child Health

- Reduction in low-birth-weight deliveries, by 48%, among women who enrolled before the 31st week of pregnancy.
- Children were more likely to have health insurance by age one.

#### Reductions in Child Abuse & Neglect

- Sustained reductions in maternal reports of harmful parenting practices at ages one, two and seven.
- Reduction in subsequent confirmed child protective services (CPS) reports after seven years for mothers with a confirmed CPS report prior to program entry.
- Reduction in the rate at which children of young, first-time moms who enrolled in HFNY early in pregnancy were confirmed as victims in CPS reports between the ages of five to seven.

### Supports Positive Parenting Practices

- Mothers were more likely to endorse appropriate limit setting strategies when their children were two years old.
- Mothers were more likely to be observed using parenting strategies that stimulated the child's cognitive skills and were sensitive to the child's needs and cues when their children were three years old.
- Mothers used non-violent discipline strategies more often when their children were seven years old.

### Promotes Success in School for Children

- Children were 50% less likely to repeat first grade.
- Children were more likely to score above grade level in first grade on three specific behaviors that promote learning: working or playing cooperatively with others, following directions or classroom rules, and completing home or class work on time.
- Children were more likely to be participating in a gifted program by age seven.
- Children were less likely to be receiving special education services by age seven.
- Children of young, first-time mothers who enrolled in HFNY early in pregnancy were less likely to have below average receptive vocabulary scores.

### Cost Savings

- As a result of reductions in low-birth-weight births, the cost to serve a family during pregnancy was totally recovered by the time of the child's birth.
- For mothers with histories of indicated child protective service (CPS) reports prior to enrollment, HFNY generates a return of more than \$3 for every \$1 invested by the child's seventh birthday.

Based on the evaluation's rigorous random assignment design and program's significant and positive effects on a range of outcomes, HFNY was designated as a "proven program" by RAND's Promising Practice network and an effective program by both Child Trends and the Office of Juvenile Justice and Delinquency Prevention. These findings played a role in the designation of HFA home visiting programs like HFNY, as meeting the federal Department of Health and Human Services (DHHS) criteria for an evidence-based early childhood home visiting service delivery model under the Maternal, Infant, and Early Childhood Home Visiting initiative and as a Well-Supported program in the Title IV-E Prevention Services Clearinghouse.

Started in 1995, HFNY is part of the national Healthy Families America (HFA) network sponsored by Prevent Child Abuse America. Currently, there are nearly 600 affiliated HFA program sites in 38 states, Washington, D.C., all five (5) US territories: Guam, Puerto Rico, U.S. Virgin Islands, Northern Mariana Islands, and American Samoa, and in Israel. HFNY is a Healthy Families America (HFA) accredited program. All HFA accredited sites follow the Best Practice Standards (See Attachment #9) that are essential for a comprehensive quality home visiting program. As of 2020, HFA/HFNY has allowed both in person and remote home visits with approval by HFA and HFNY.

More information on Healthy Families New York is available at <https://www.healthyfamiliesnewyork.org/>.

Applicants for this RFP are encouraged, but not required, to serve more than one county with the goal of expanding services across New York State to reach more families. This approach gives programs flexibility to adjust to emerging community and family needs across multiple counties.

## **2.2 OCFS Statewide Considerations**

OCFS's mission is to serve New York's public by promoting the safety, permanency and well-being of our children, families and communities. OCFS effectuates results by setting and enforcing policies and building partnerships at the federal, state, county and community levels that impact practice. OCFS funding investments assist communities to create and/or enhance the provision of quality services in the areas of child welfare, juvenile justice, adult protective services, and services for the legally blind and visually impaired.

OCFS conducts ongoing analysis of demographic data and fiscal expenditures to aid counties and communities in administering safe, effective and cost-efficient services to the residents of our state. Paramount is ongoing self-assessment within "the system" to identify changes in service needs, interventions, and partnerships. OCFS data reveals that many children and families who are involved with the child welfare and juvenile justice systems in New York State are disproportionately Black and Latino, and many are poor. For the blind and visually impaired service area, Black and Latino adults are underrepresented in the receipt of services from the legally blind and visually impaired service network.

In response to this situation, OCFS has been implementing various activities to

- assess relevant data,
- identify which communities across the state are affected,
- identify evidence-based and/or best-practice strategies and/or approaches that can be replicated in New York State to respond to the issue, and
- provide funding to designated high-need communities to facilitate implementation of programs and services that address disproportionality and disparity rates.

This RFP provides OCFS and localities an opportunity to provide services to our most vulnerable children and families and to implement activities that address disproportionality in identified communities. OCFS will invest in services that are culturally and linguistically competent, cost efficient, and contribute toward alleviating issues identified for the respective communities. Organizations that are interested in applying for OCFS funding are therefore encouraged to review their community's demographic data (i.e., child welfare, home visiting, adoption, and juvenile justice) and as indicated and where deemed appropriate per the

target population and/or scope of services for the funding source, consider the following element(s) in their proposal design:

- **Disconnected/High-Need Youth**

OCFS's priority is to "protect those in greatest need" through ongoing assessment and enhancement of services that promote safety and general well-being for at-risk children, adolescents, families and adults. This priority includes targeting services for "disconnected/high need youth" who are: youth aging out of foster care; youth in or reentering the community from the juvenile justice system; and children of incarcerated parents. Grant applications that propose to serve the "disconnected/high-need youth" population must consider that the clients cited above often require service intervention from multiple service systems. Where required by the OCFS RFP narrative, applications must demonstrate capacity and scope for cross-agency collaborations and partnership with relevant community organizations.

- **Racial Equity and Cultural Competence**

OCFS continues work in the area of Racial Equity and Cultural Competence (RECC). Effort to address RECC includes examination of the issues related to the overrepresentation of Black, Latino and Native American children and their families in the State's child welfare and juvenile justice systems. It also entails a consideration of issues related to the underrepresentation of Blacks, Native Americans and Latinos in various service delivery systems to identify how best to enhance outreach and preventive measures that support the safe reduction of out-of-home placements for children and adults, and focus on the well-being of children, youth and families. OCFS has enlisted the participation of our state and local partners in this effort and is working with a number of counties to examine local data and develop strategies to address, reduce and ultimately eliminate racial and ethnic disparities and to seek equity within the systems of care and custody. We continue to partner with national experts Casey Family Programs and have also collaborated with the Center for the Study of Social Policy (CSSP) and other national experts dedicated to this work. The effort must be data driven and therefore, we have generated and shared county-level data with partners and stakeholders in our effort to encourage transparency and collaboration.

Current OCFS statewide data indicates that Black and Latino children and families continue to comprise 75 percent of the state's children in foster care and about 85 percent of the juvenile justice placements. OCFS views this RFP as an opportunity to heighten public awareness of the issue of disproportionality and to begin to promote policies and practices that will gradually reduce it.

As noted in 2.1. HFNY services are culturally sensitive, and the model incorporates equity and inclusivity. Specific areas that every applicant and community are requested to consider in the design of their program and scope

of services identified in their application for OCFS funding include, but are not limited to, the following:

- Providing service strategies, approaches, and linguistic capacities that promote the delivery of services that are culturally competent and reflective of the population and community to be served
  - Collecting and analyzing data relevant to disproportionality and service provision
  - Strategically locating services within communities, to promote better access to service delivery in high-need areas
  - Promoting cross-agency dialogue and partnership regarding service planning to address disproportionality (including, but not limited to, social services, mental health, health, education, housing, substance abuse, probation agencies, and community-based providers)
- **Disproportionate Minority Representation (DMR) in the Child Welfare and Juvenile Justice Systems**

Disproportionate Minority Representation (DMR) or disproportionality occurs when the percentage for the representation of a particular minority group (racial, ethnic) involved with a service system is significantly higher or lower than that group's percentage or representation in the general population. Disproportionality has implications across all services administered by OCFS, including child welfare, juvenile justice, child care, youth development, and those services for the blind and visually impaired. In some service categories, disproportionality manifests itself by over-representation of racial/ethnic groups, and in other service categories, it is manifested by under-representation of racial/ethnic groups.

Further information regarding Disproportionate Minority Representation (DMR) and data in New York State can be found through the following link: [Disproportionate Minority Representation \(DMR\)](#).

### **2.3 Purpose and Funding Availability**

The purpose of this funding is to provide HFNY services to families in targeted counties through new or existing OCFS HFNY programs. Applicants funded through this RFP will implement the HFA Child Welfare Protocols (see **Attachment #8**) in the targeted counties.

A total of approximately \$9 million annually will be available to fund proposals to serve the targeted counties identified in this RFP. These funds are a result of state adoption assistance savings which OCFS is reinvesting into preventive services for children at risk of entering foster care. If additional funding becomes available, additional awards may be made to proposals initially approved but not awarded funding under this RFP. See also **Attachment A1-B Program Specific Terms and Conditions**.

Annual awards of up to \$500,000 per county will be made based on the number of families to be served. The applicant's proposal should propose to serve the equivalent of up to 15 percent of Medicaid births in their county(ies). Generally, programs have been successful serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies) to be served. See **Section 4.1, Attachment #10 NYS Medicaid Births by County** and **Attachment #11 Guidance to Determine the Number of Families to be Served**. No more than one proposal to serve each county will be approved for funding.

This funding requires a 10 percent local or in-kind match from sources not provided by state or federal funds.

Requests for advance payments on state funded contracts will be allowed up to 40 percent of the annual contract value. OCFS will recoup advance payments by crediting 33.3 percent of subsequent quarterly claims and such claims will be reduced until the advance is fully recovered within the contract period.

As noted in **Section 1.7 OCFS Reserved Rights** above, OCFS reserves the right to place a monetary cap on the funding amount made in each contract award.

## **2.4 Term of Contract**

The contract(s) awarded in response to this RFP will be for up to five (5) years. The anticipated start date is October 1, 2022. Funding is currently anticipated to be available for the first year of the contract. The award of a multi-year contract does not guarantee that funding will be available for subsequent years. Contractors may not begin to provide services prior to the contract start date; OCFS has no obligation to pay for services rendered prior to that time. Payments cannot be made prior to the formal execution of a contract and approval by the New York State Office of the State Comptroller (OSC).

## **3.0 MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS**

### **3.1 Minimum Qualifications**

To be considered eligible to apply, organizations must:

1. Be one of the following entities:
  - Not-for-profit organization,
  - Local government agency,
  - Tribal organization,
  - 501(c)(3) organization, including but not limited to community and faith-based organizations,
  - Religious organization established pursuant to the Religious Corporation Law or other incorporated faith-based or religious organizations, or



- Educational institution such as school districts and BOCES programs.

For the purposes of this RFP: for-profit and organizations that operate for the benefit of private interests are not eligible to apply.

2. Propose to serve one or more of the targeted counties (see **Attachment #12**): Cayuga, Chautauqua, Columbia, Essex, Fulton, Genesee, Greene, Hamilton, Lewis, Montgomery, Nassau, Onondaga, Putnam, Saratoga, Schoharie, Schuyler, Seneca, Tompkins, Warren, Washington, and/or Wyoming and commit to implement the HFA Child Welfare Protocols (see **Attachment #8**).
3. Include a completed Commitment Form (**Attachment #7**) from the local department of social services of the county or counties proposed to be served stating that the county will provide appropriate referrals to the program for families with children up to the age of two eligible for IV-E funding.
4. Awardees under this contract must agree to enter into a contract with the county(ies) they serve, if necessary and at OCFS direction, to obtain payment for Title IV-E eligible families, if counties seek Title IV-E reimbursement.
5. Agree to implement the Healthy Families model and comply with program requirements as described in **Section 4.1**.
6. Be prequalified, if not exempt, in the NYS Grants Gateway on the application deadline. (See **Section 3.2** for additional information)

### **3.2 Prequalification Process**

New York State has instituted key reform initiatives to the grant contract process that require not-for-profit organizations to register in the New York State Grants Gateway System (Gateway) and complete the Vendor Prequalification process in order for proposals to be evaluated. After becoming prequalified, not-for-profit organizations will have the responsibility to keep their information current by updating on an annual basis.

**Proposals received from not-for-profit applicants that are not prequalified in the Grants Gateway on the proposal due date and time listed in Section 1.2 Calendar of Events will be disqualified from further consideration.**

**NOTE:** Government entities are not required to prequalify in the Grants Gateway but must still be registered in order to submit an application. Government entities that are exempt from prequalification should have a document vault status of “Document Vault Available.”

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. [The Vendor Prequalification Manual](#) on the [Grants Management website](#) details the requirements and an [online tutorial](#) is available to walk users through the process.

### 3.2.1 Register for the Grants Gateway

- On the Grants Management website, download a copy of the [Registration Form for Administrators](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a username and password allowing you to access the Grants Gateway.
- If you have previously registered and do not know your username, email [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov). If you do not know your password, click the [Forgot Password](#) link from the main log in page and follow the prompts.

### 3.2.2 Complete Your Prequalification Application

- Log into the [Grants Gateway](#). If this is your first time logging in, you will be prompted to change your password at the bottom of the “Profile” page. Enter a new password and click “SAVE.”
- Click the “Organization(s)” link at the top of the page and complete the required fields including selecting the state agency with which you have the most grant contracts. If you currently do not have any contracts with NYS, select OCFS. This page should be completed in its entirety before you click “SAVE”. A “Document Vault” link will become available near the top of the page. Click this link to access the main “Document Vault” page.
- Answer the questions in the “Required Forms” and upload “Required Documents.” This constitutes your “Prequalification Application.” “Optional Documents” are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be directed to the agency contact listed in **Section 1.1 Procurement Contact**, or to the Grants Gateway Team at: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov).

### 3.2.3 Submit Your Prequalification Application

- After completing your prequalification application, click the “Submit Document Vault” link located below the “Required Documents” section to submit your prequalification application for state agency review.

Once submitted, the status of the document vault will change to “In Review.”

- If expedited review of your prequalification application is desired, please send an email request to the agency contact listed in **Section 1.1 Procurement Contact** and identify your organization by including your Grants Gateway Document Vault (GDV) number, organization name, Federal EIN, and SFS Vendor ID. It is recommended that you submit this request for expedited review before the **Recommended Deadline to Prequalify in the Grants Gateway** noted in **Section 1.2 Calendar of Events**.
- Your document vault will be assigned to a prequalification specialist for review. If your prequalification specialist requests modifications, you will receive an email notification from the Gateway and the status of your document vault will change to “Modifications Requested.”
- Requests for modifications should be addressed by the vendor and resubmitted for review without delay. The status of the document vault must change back to “In Review” for modifications to be reviewed and approved by a prequalification specialist.
- Once your prequalification application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State. The status of the document vault should be “Document Vault Prequalified.”

**Vendors are strongly encouraged to complete this process as soon as possible or by the date specified in RFP Section 1.2 Calendar of Events to participate in this grant opportunity. Prospective applicants are responsible for monitoring their status in the Grants Gateway. OCFS cannot be held responsible in the event an applicant fails to submit their Document Vault for review in a timely manner, or if the documents uploaded by the applicant to their Document Vault are found deficient.**

### **3.3 Vendor Responsibility Requirements**

Section 163(9)(f) of the NY State Finance Law requires that a state agency make a determination that a bidder is responsible before awarding that bidder a state contract. Vendor responsibility will be determined based on the information provided by the bidder, online, through the New York State VendRep System Questionnaire or through a paper copy of the Vendor Responsibility Questionnaire. OCFS will review the information provided before making an award.

OCFS reserves the right to reject any proposal if, in its sole discretion, it determines the bidder is not a responsible vendor. All proposals are subject to a

vendor responsibility determination before the award is made, and the determination can be revisited at any point up to the final approval of the contract by the New York State Office of the State Comptroller (OSC). Vendors must maintain their vendor responsibility throughout the duration of the contract.

Enrolling and completing the questionnaire online through the New York State VendRep System is the best method because both the questionnaire and answers are stored in the system. Thus, subsequent questionnaires in response to contracts or Request for Proposals from any state agency would only need to be updated in the VendRep System.

To access or enroll in the VendRep System or update your existing online questionnaire, click [Online Questionnaire](#). Questionnaires in the VendRep System that have been completed in the last six months in response to contracts or bid announcements do not need to be updated. If the vendor is using the hard copy notarized questionnaire, then it also has to be current within six months of the due date of the proposal.

Vendors opting to complete a paper questionnaire, can access the questionnaire by clicking the following link: [Paper Questionnaire](#). Please note that there are separate questionnaires depending on the contractor status. Not-for-profit vendors must use the *Vendor Responsibility Questionnaire Not-For-Profit Business Entity* form. For-profit vendors must use the *Vendor Responsibility Questionnaire For-Profit Business Entity* form.

Vendors are also encouraged to have subcontractors file the required Vendor Responsibility Questionnaire online through the New York State VendRep System. These subcontractors are required to submit a questionnaire when the value of the subcontract is \$100,000 or more.

Before executing a subcontract agreement, the contractor must provide the information required by OCFS to determine whether a proposed subcontractor is a responsible vendor.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request a Vendor Identification Number or for direct VendRep System user assistance, contact the OSC Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

The New York State VendRep System offers the following benefits:

- Ease of completion, filing, access to and submission of the questionnaire; efficiencies are multiplied for vendors who bid and contract with the state frequently or with multiple state agencies.
- Questionnaire updates are easily filed by updating only those responses that require change from the previously saved questionnaire (as opposed to a paper copy where a new questionnaire is required each time there is a change).

- The stored questionnaire information eliminates the need to reenter data for each subsequent questionnaire submission.
- Reduction of costs associated with paper documents including copying, delivery and filing
- Online questionnaire information is secure and accessible to authorized vendor users only. State agencies can only view certified and finalized questionnaires.
- VendRep question prompts ensure that the correct forms are completed.
- The VendRep Online System contains links to all definitions of the terms used in the questionnaire.

Note: The vendor responsibility questionnaire must be dated within six months of the proposal due date. Any subcontractors under that proposed contract must also complete a Vendor Responsibility Questionnaire when the value of the subcontract is projected to be \$100,000 or more for the contract term.

Confirmation of **completion** of the vendor responsibility process must be submitted with your proposal. This confirmation can take the form of registration in the VendRep System, or by submitting your completed hardcopy questionnaire. To submit this confirmation with your application, go to the bottom of your certified questionnaire, and click the button called "Form Overview." Print this page and upload it to the proposal. Upload the page into your proposal by going to the "Pre-Submission Uploads" section of the RFP in the Gateway. While it is not recommended, you have the option of uploading a completed hardcopy vendor responsibility questionnaire to the "Pre-Submission Uploads" section.

## **4.0 PROGRAM REQUIREMENTS**

### **4.1 Desired Outcomes and Program Requirements**

OCFS is seeking proposals that are responsive to the desired outcomes identified in the RFP and that provide value to the OCFS mission. OCFS expects all project services funded by this initiative to be designed to be culturally and linguistically competent, strength based, supportive to families and communities, and cost efficient. Appropriate planning and development activities must be conducted by applicants to promote responsiveness to the target population of this RFP.

Collaboration with health agencies (i.e., hospitals, clinics) and private practice physicians providing prenatal care and pediatric services, as well as with local departments of health and local departments of social services, is critical in order to achieve New York's goal that all pregnant women and new parents who reside in the target area are screened for eligibility for the service (Universal Screening). Involvement of nontraditional community-based agencies is also needed to engage women who do not seek prenatal care.

OCFS is interested in supporting local social services districts in screening and referring families to HFNY programs. Applicants need to align their proposal to the needs/priorities of the local social service districts and health departments.

Applicants are strongly encouraged to initiate communication and planning with their local social services districts and local department of health early in the development of their application. In addition, to be considered for funding to serve a county **Attachment #7, Commitment Form: Local Department of Social Services** must be completed by each county proposed to be served and submitted to OCFS with the proposal.

The desired outcomes for the HFNY home visiting program are to:

- Support positive parent-child bonding and relationships;
- Promote optimal child and family health development, and safety;
- Enhance family self-sufficiency; and
- Prevent child abuse and neglect.

Metrics for these are included in **Standard Performance Targets (Attachment #3)** and **Performance Indicators (Attachment #4)**. Performance Targets are measured quarterly, and the Performance Indicators are measured in six-month timeframes. Each funded program is required to report against these performance objectives on a quarterly basis. Additional information is gathered through interviews with program staff and review of the HFNY Management Information System (MIS) to provide evidence that the Best Practice Standards are being adhered to. Programs use appropriate technology and software to provide and submit information to OCFS. Delivery of the program is governed by the HFA Best Practice Standards. Information about the model and the delivery of services may be accessed at: <https://www.healthyfamiliesamerica.org/> and **HFA Best Practice Standards (Attachment #9)**.

In order to assist in meeting the desired outcomes, programs provide appropriate equipment to their staff to be able to conduct home visits (in person or virtually when necessary) as well as to enter data and family information into MIS.

Although not required, programs can further strengthen families' protective factors that can mitigate the risk of child abuse and neglect. This includes, but is not limited to, providing concrete supports such as baby supplies, transportation assistance, emergency food assistance, and technology and supplies needed to access and sustain services when such supports are not accessible to families through other federal, state or local programs.

**Program requirements include:**

- Provision of services with fidelity to the HFNY model, reflect the HFA Best Practice Standards (see **Attachment #9**), and align with the HFNY Policy Manual; available at: [https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20\(1\).pdf](https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20(1).pdf) utilizing the password "HFNYpolicy2021" to access. This includes adapting to all future changes made to the Standards and Policy Manual;
- Compliance with prescribed performance targets (**Attachment #3**) and performance indicators (**Attachment #4**) and future updates to them;

- Provision of screening of families in the proposed targeted geographical area(s) prenatally up until the child is three (3) months or up until the child is age two (2) with implementation of the **Attachment #8 - HFA Child Welfare Protocols**;
- Engagement of expectant parents and families with an infant determined to be at risk of child abuse or neglect and/or other negative outcomes to participate in the program;
- Provision of home visits by highly trained community workers under the supervision of skilled managers all trained in the HFNY model;
- Working relationships with applicable local department of health and social services and key service providers in the community, including local hospitals, prenatal clinics, Women, Infant and Children (WIC) programs, early intervention programs and community partners serving families in the target geographical area to support referral, creative outreach, and screening of families for services; it is required to submit **Attachment #7** from Departments of Social Services (LDSSs) in counties proposed to serve; it is optional to submit **Attachment #6 – Affirmation of Support** from other community partners;
- Participation in bi-monthly HFNY Regional meetings and bi-annual Statewide Leadership Meetings;
- Participation in the home visiting Management Information System (MIS) within established time frames and in ongoing evaluation conducted by OCFS with the Center for Human Services Research;
- Participation and completion of all required core, wrap-around and advanced training of staff within specified timeframes;
- Participation and agreement to be affiliated and accredited by Healthy Families America;
- Administrative and fiscal viability of the applicant’s agency;
- Integration of the home visiting program with other available services, programs, and funding streams;
- Collaboration with local public and private institutions and agencies;
- Concerted efforts made to engage fathers in the program; and
- The ability to provide home visits outside of traditional hours for families that are engaged in work or school.

In addition to providing home visiting services, programs may conduct parenting support groups and family centered outings, and participate in community events.

#### **Estimated Cost per Family (excluding required match)**

The cost per family utilizing OCFS funds for HFNY with Child Welfare Protocols is currently estimated at \$7,200 in upstate New York and \$7,600 in the Mid-Hudson region. See **Attachment #10 Medicaid Births by County**. Local match is not included in the OCFS estimated cost per family.

Applicant must provide a 10% local match which can be met through local or private funds or in-kind services to enhance their services and budget. The cost per family and 10% match should be reflected in the applicant's budget.

The cost per family must be used in combination with the number of families proposed to be served to calculate the potential OCFS funding request using this formula:

# of families based on 10-15% of Medicaid births X cost per family in county to be served = funding amount

Example using data for Chautauqua County: 69 families X \$7,200 = \$496,500

Note that the maximum award is \$500,000 annually per county to be served.

See also **Attachment #11 Guidance to Determine the Number of Families to be Served** to help determine the number of assessments needed in order to reach and maintain capacity of the number of families to be served.

### **Program Structure**

For a project funded under this RFP, the awarded applicant(s) will have a formal contractual relationship with OCFS and will be responsible for any and all subcontracted agencies that provide HFNY services in the community. The awarded applicant is responsible for reporting to OCFS regarding the program's success in meeting its objectives, Performance Targets and Performance Indicators. The awarded applicant is responsible for monitoring any subcontractors and providing data to OCFS on the number of families served, demographic information, and data on the quality and quantity of services provided.

To determine number of families to be served, please refer to the Medicaid births annually in the county or counties proposed to be served. The applicant should propose to serve the equivalent of up to 15 percent of Medicaid births in their county(ies). Generally, programs have been successful at serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies) to be served. **See Section 4.1, Attachment #10 NYS Medicaid Births by County and Attachment #11 Guidance to Determine the Number of Families to be Served.** It is recommended that a proposal include no more than one (1) subcontracted agency to provide HFNY services.

### **Staffing/Leadership**

Guidance of HFNY comes primarily from the Central Administration Team, comprised of OCFS, SUNY Center for Human Services Research (CHSR), and Prevent Child Abuse NY (PCANY).

Currently, OCFS provides overall management of the program and funding, as well as ongoing support to 44 HFNY program sites, through Central



Administration responsibilities of monitoring, administration, policy development, quality assurance, technical assistance, training, and evaluation. OCFS staff conducts frequent site visits to provide technical assistance and monitor compliance with HFA and HFNY standards. In addition, OCFS contracts with CHSR to maintain the Management Information System (MIS), a comprehensive data system for HFNY, which collects information that is used in managing and accessing the performance of the programs. OCFS has established Performance Targets and Performance Indicators to assist the program sites to stay focused on the goals of HFNY. The performance of the program sites is assessed on a regular basis against these targets and indicators, and technical assistance is provided to programs whose performance falls below expectations. Continued poor performance may result in termination of the contract awarded through this RFP and a discontinuation of funding. OCFS has contracted with PCANY to conduct required core training and advanced training on selected topics for all HFNY staff, and to visit each site every 1-2 years to observe home visitors, assessments and supervisory sessions as well as provide site support, as part of OCFS's quality assurance efforts. OCFS provides oversight of the program's research and evaluation activities and works with CHSR to provide ongoing research, evaluation, and continuous quality improvement support to the program sites.

### **Key Staff**

HFNY program sites are managed by **Program Managers**. The Program Manager develops, directs, and guides the program in achieving its objectives. The manager should have a solid understanding of and experience in: managing and motivating staff; providing support in a stressful work environment; administrative experience in human service programs; experience with services that embrace the concepts of family-centered and strength-based service provision; knowledge of maternal infant health concepts and child abuse and maltreatment; experience in providing services to culturally diverse communities and families; experience in home visitation with a strong background in prevention services to the 0-3 years of age population. A master's degree in social work or health is strongly recommended. Knowledge and experience in reflective supervision is preferred. Since this job involves a multitude of responsibilities, excellent organizational and time management skills are essential.

Primary duties include the selection and training of staff, supervision of staff to ensure accountability and growth, the ability to provide quality services for all families, communication skills that are productive in creating a liaison with other agencies, contract and fiscal management, oversight of data management system, and ongoing program development as appropriate. The Program Manager will attend and participate in bi-monthly HFNY Regional meetings and bi-annual HFNY Statewide Leadership meetings.

The **Program Supervisor** is responsible for direct supervision of the HFNY Home Visitors that includes a reflective component. Knowledge and experience in reflective supervision is preferred. The Program Supervisor will schedule and

direct the work of the Home Visitor; assist in interviewing, hiring, evaluating, training, provide supervision, quality services and monitoring of the Home Visitor's performance, maintain a work environment that provides maximum support for well-being, responsible for acquiring necessary materials for staff, conducts or arranges for family and child assessments during home visiting, conducts participant record reviews and oversees quality of data management system, provides documentation on services needed by and provided to each family; and performs other related duties as assigned. There is one (1) supervisor for every five (5) direct service staff.

Under the supervision of the Program Supervisor, or in some cases of the Program Manager, the **Home Visitor** will be responsible for completing participant record screens, interviewing parents to conduct the assessment using an HFA approved assessment tool, prenatally and/or immediately after the birth of their child, providing information and referral services, making outreach efforts in the community to engage families who do not seek traditional social/healthcare services, and interfacing with other agencies.

Under the direct supervision of the Program Supervisor, or in some cases of the Program Manager, the **Home Visitor** will be responsible for initiating and maintaining regular contact with families, primarily in their homes; establishing a trusting relationship with families, providing prenatal and other health and child development education, assisting to strengthen parent-child relationships, assisting parents to improve their skills to optimize the home environment for the child's well-being and safety, assisting in making and attending health and human service appointments, including activities related to employment and educational goals, and collecting data related to each of these activities. Every full-time Home Visitor/Family Support Worker should serve approximately 15 families at varying levels of intensity at any one (1) time.

The **Data Manager (optional)** enters all data that is not already entered by direct service staff or supervisors into the MIS Use of the MIS to record service delivery is required. The inclusion of a designated staff member that is responsible to meet this requirement is optional. This position can be full or part-time depending on the size of the program.

**Child Development Specialists** are either on staff or hired as consultants to review the child's development assessment tool, *The Ages and Stages Questionnaire*, and to offer training and consultation for program staff.

The staffing for the proposed project should be representative of the community, cultures and languages of persons targeted to receive services.

For a more detailed explanation of staff recruitment, job descriptions and qualifications, see the HFNY Policy and Procedure Manual located at [https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20\(1\).pdf](https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20(1).pdf) and type in the password "HFNYpolicy2021" to access.

## **4.2 Accessibility of Web-Based Information and Applications**

Any web-based Intranet and Internet information and applications development or programming delivered pursuant to this procurement must comply with New York State Enterprise IT Policy NYS-P08-005, *Accessibility Web-Based Information and Applications*, and New York State Enterprise IT Standard NYS-S08-005, Accessibility of Web-Based Information Applications, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and internet information and applications are accessible to persons with disabilities. Web content must conform to New York State Enterprise IT Standards NYS-S08-005 as determined by quality assurance testing. OCFS will conduct such quality assurance testing and the test results must be satisfactory to OCFS before web content will be considered a qualified deliverable under the contract or procurement.

## **5.0 PROPOSAL CONTENT AND SUBMISSION**

### **5.1 Technical Proposal Content/Work Plan**

**NOTE:** This section describes the content requirements of the Work Plan and how to prepare your Work Plan to assist you with your application. Please refer to **Section 5.5 Proposal Submittal Process**.

The purpose of the Work Plan is to provide a clear description of what requested project funds will pay for, the expected outcomes for the proposed project services and the programmatic rationale for the proposed project budget. The Work Plan must be in compliance with all applicable state and federal laws, rules, and regulations and be responsive to the desired outcomes identified in **Section 4.1 Desired Outcomes and Program Requirements** of the RFP and provide value to the OCFS mission. OCFS expects that all project services funded by this initiative will be designed to be culturally and linguistically competent and cost efficient. Appropriate planning and development activities must be conducted by applicants to promote responsiveness to the target population of this RFP. Services provided must accommodate cultural and linguistic requirements of the target population and/or community to be served.

Before entering their responses to the application in the Gateway, applicants should create a word document from the Work Plan Template available in Gateway and use it in preparing proposed responses to questions on the Work Plan (**See Section 5.4 Proposal Content.**) To use the Work Plan template:

1. Download the Work Plan template from the “Pre-Submissions Uploads” folder in your grant application.
2. Complete the Word document, and save it to refer to later when responding to questions as part of your proposal submission in the grants gateway system. This document **will not** be submitted into the GSS with your application.

3. Save the Work Plan for future reference, because if the applicant is awarded a contract, this document will be the basis for the Work Plan in the subsequent contract for services.

The Work Plan consists of the following sections:

- A. Community**
- B. Target Population(s)**
- C. Objectives, Tasks and Performance Measures**
- D. Proposed Project Description**
- E. Project Staff**
- F. Organization**

Your proposal will be rated based on your organization's responses to the sections listed below. Please be sure to address all of the questions in each section comprehensively, yet succinctly. The number of points allocated to each area in the technical review appear in (parentheses) after each section below. OCFS reserves the right to add additional bonus points to the final score/rating for proposals that are responsive to **Section 2.2 OCFS Statewide Considerations**. RFPs that include the applicants' ability to receive additional bonus points will state such in **Section 6.3 Bonus Points: RECC**.

### **Guidelines for Each Section**

#### **A. Community**

The proposals in response to this RFP must provide HFNY services in one or more of the following counties: Cayuga, Chautauqua, Columbia, Essex, Fulton, Genesee, Greene, Hamilton, Lewis, Montgomery, Nassau, Onondaga, Putnam, Saratoga, Schoharie, Schuyler, Seneca, Tompkins, Warren, Washington and Wyoming. The applicant's proposal must demonstrate their commitment to implement the HFA Child Welfare Protocols. Applicants are encouraged, but not required, to serve more than one county. Applicant should note any counties they currently serve through HFNY or HFA program(s). No more than one (1) proposal will be approved for funding to provide services in the same county. The proposal must clearly demonstrate the applicant's knowledge of the demographics, cultures, linguistic requirements, strengths, issues, and service needs of the community to be served by the proposed project and should include the following information:

- Description of the planning activities and the resources used to develop the proposal, and the community readiness to receive project services. Include how the community and stakeholders were involved.
- Explanation of how the proposed project relates to the overall needs of the community. Discussion of trends that support the demand for the proposed project services, identifying demographic data (including data on the community's racial and ethnic composition), social, and economic

changes that may be of significance to the target community to receive project services.

- Information on similar services available within the community.
- Description of the community partners such as local department(s) of health, prenatal clinics, birthing hospital(s), and Women Infant and Children (WIC) programs and how they will assist with the project through screening, referral, serving on applicant's advisory board and other supports. Affirmations of support (use **Attachment #6**) from community partners, and any applicable MOUs, are recommended but not required.
- Description of how the applicant will prioritize serving families with the highest need (Medicaid births, etc.) in the county or counties they propose to serve.

## **B. Target Population(s)**

The target population is the intended recipient of project services for whom proposed project outcomes will be achieved, and those for whom you want to affect some level of change. The proposal must contain the following:

- Description of the geographic area and county(ies) to be served, the number of families you propose to serve in each county, and the corresponding percentage of Medicaid births for the county(ies). The applicant should propose to serve the equivalent of up to 15 percent of Medicaid births in their county(ies). Generally, programs have been successful at serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies). Refer to **Section 4.1 Estimated Cost per Family, Attachment #10 Medicaid Births by County, and Attachment #11 Guidance to Determine Number of Families to be Served**.
- Identify the target population to be served, their characteristics, and why they are targeted for services. Discuss indicators such as rates of Medicaid births, disproportionate minority representation in child welfare, low income/high poverty rates, high instance of maltreatment, rates of infant and maternal mortality, late or no prenatal care, and high teenage birth rate.
- The proposal should include the family eligibility criteria for the program including the commitment to extend services to the child welfare population outside of the core eligibility criteria using HFA Child Welfare Protocols. Information on HFA Child Welfare Protocols can be found at <https://www.healthyfamiliesamerica.org/protocols-child-welfare>. Include information on how this population will be engaged, location of services, and hours of program operation.
- The proposal must demonstrate an understanding of, and approaches for addressing, racial equity/disproportionate issues and other indicators of need for services in the community(ies) to be served.
- Clearly identify the county(ies) in which the applicant currently provides HFNY or HFA services, if applicable.

- If this proposal results in the applicant providing HFNY/HFA services in more than one county, describe how the applicant will coordinate their services across the counties to support the HFNY model. If applicant will serve a total of only one county, describe the process you will use to refer families who live in neighboring counties to other HFNY programs operating in the area or other similar program service providers.

### C. Objectives, Tasks and Performance Measures

OCFS uses an outcome-based approach to contracting. Outcome-based contracting is the provision of funding to achieve predefined demonstrated benefits for a specified population.

Objectives are the desired benefits or changes for the target population during and following their interaction with a program. They are the expected results of program intervention. Objectives may relate to knowledge, skills, attitudes, behaviors, or conditions. Objectives are broad, often long term, and are more general than tasks. Program objectives must be consistent with the desired RFP objectives and address identified problems, conditions, needs and behaviors of the target population.

Prior to program implementation, OCFS may further refine successful applicants' performance objectives.

As stated earlier in this RFP, the desired outcomes for the HFNY home visiting program are to:

- Support positive parent-child bonding and relationships;
- Promote optimal child and family health development, and safety;
- Enhance family self-sufficiency; and
- Prevent child abuse and neglect.

To reach these outcomes, the programs awarded through this RFP will be required to implement the Healthy Families New York model defined by the HFA Best Practice Standards and HFNY policies and procedures. Achievement of these outcomes will be measured by the Healthy Families New York Performance Targets (see **Attachment #3**) and Performance Indicators (see **Attachment #4**). The Performance Targets focus on family outcomes and the Performance Indicators focus on model fidelity and other essential process or outcome measures.

This section of the proposal should include specific information on:

- How the proposed program will conduct outreach and engagement. Describe how the program will conduct outreach to clients, receive referrals, and engage families who are the recipients of the proposed services;
- How and where the program will locate and engage hard to reach, at-risk families;

- What strategies the program will use to retain families to stay engaged in the program and complete home visits;
- How the program will provide required supervision and training to all program staff;
- How the program will work towards achieving targets in **Attachment #3** for health and development;
- How the program will work towards achieving targets in **Attachment #3** for parent child interaction;
- How the program will work towards achieving targets in **Attachment #3** for familial life course; and
- How the program will use the management information system, and staff and family input to inform practice.

#### **D. Proposed Project Description**

This section should describe the specific service model, services, and activities to be conducted by the project, including but not limited to:

- Description of how the HFNY model will address the current status of the target population;
- Description of how your organization will deliver specific program requirements and the full range of services to be provided (refer to **Section 4.1** for information to be included). The work plan should include how these services contribute to outcomes, including the Performance Targets (**Attachment #3**) and Performance Indicators (**Attachment #4**);
- Explanation of the program implementation plan and start-up time including the steps that will be taken to implement the program on a timely basis;
- Identification of plans for outreach, collaboration, and coordination in and with the community. Include how these plans will reflect cultural, linguistic and disproportionality characteristics of the community;
- Explain how the project will interface with other in-house services and services available in the community;
- Description of how the applicant will obtain ongoing input from the community regarding customer satisfaction with project services; and
- Explain the cultural and linguistic considerations for the delivery of services to the target population and how the program will encourage successful objectives for the target population.

#### **E. Project Staff**

HFNY requirements regarding caseloads, staff qualifications, supervision and training are included in the HFNY Policy Manual available at: [https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20\(1\).pdf](https://www.healthyfamiliesnewyork.org/Staff/Documents/HFNYSiteSpecificPolicyProcedures Manual FINAL April 2021%20(1).pdf) utilizing the password “HFNYpolicy2021” to access.

This section should provide a comprehensive overview of the proposed project's staffing pattern, projected caseloads, staff qualifications, staff development and project supervision and should include the following information:

- Identify by title and number all positions to be assigned to this project and state whether they will be paid with OCFS project funds, required qualifications for each position, and briefly indicate their responsibilities;
- Description of how the staffing for the proposed project is representative of the community, cultures, and languages of persons targeted to receive services. Discuss what activities will be conducted to instill diversity and cultural responsiveness in project staff. Cultural humility and awareness are considered critical factors; and
- Discussion of the staffing pattern designed for the program and how it relates to the number of families that will be served.

## **F. Organization**

This section should describe the history, attributes, and functions of the organization including:

- Description of the history of your organization, experience working with the target population and provide evidence that it has the capacity to successfully manage the project;
- Description of the past accomplishments, special characteristics and resources of your organization that are predictive of your success in achieving the stated performance objectives. Identify any key people not identified in the Project Staff section that will have a role in the success of the project;
- Description of how the management of your agency supports the proposal for this program including the support to, and on-going supervision of, the program manager. Include the organization's ability to hire and maintain staff;
- Description of activities initiated by the organization to promote effective coordination with other key partners and service providers in the community to maintain this program. Include any affiliations with other community groups; and
- Provide an organizational chart that shows how the proposed HFNY program fits into the applicant organization's goals and mission. Please upload this document to the "**Program Specific Questions**" section of your grant application.

## **5.2 Proposed Budget**

To complete the budget in the Gateway, you must do the following:

1. **Download the budget from the "Pre-Submission Uploads" section** in your grant application;



2. Complete that document and upload (attach) your completed form to the “**Pre-Submission Uploads**” section of your grant application.

**Please note:** your proposed budget should reflect a contract period of 10/1/2022 through 9/30/2023 for a maximum dollar amount of up to \$500,000 annually per county proposed to be served using the OCFS cost per family. The applicant’s proposal should propose to serve the equivalent of up to 15 percent of Medicaid births. Generally, programs have been successful at serving the number of families equivalent to between 10 to 15 percent of Medicaid births in their county(ies). See **Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County** and **Attachment #11 Guidance to Determine the Number of Families to be Served**. This funding requires a 10 percent local or in-kind match from sources not provided by state or federal funds. If awarded funding, you will be required to submit a five-year budget during the contract development process.

The applicant’s proposal should propose to serve the equivalent of up to 15 percent of Medicaid births. Generally, programs have been successful at serving the number of families equivalent to between 10 to 15 percent of Medicaid births in their county(ies). See **Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County** and **Attachment #11 Guidance to Determine the Number of Families to be Served**.

The cost per family must be used in combination with the number of families proposed to be served to calculate the potential OCFS funding request using this formula:

# of families based on 10-15% of Medicaid births X cost per family in county to be served = funding amount

Example using data for Chautauqua County:  
69 families X \$7,200 = \$496,500

Note that the maximum award is \$500,000 annually per county to be served.

In addition, include in the budget match column a minimum of 10 percent of the OCFS budget amount as cash or in-kind services.

The proposed budget should:

- Demonstrate a clear relationship between funds requested, the number of families to be served per county, the OCFS cost per family, the program activities, and performance targets/outcomes. Generally, programs have been successful at serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies) to be served. See **Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County** and **Attachment #11 Guidance to Determine the Number of Families to be Served**;

- Explain how funds requested are within RFP guidelines, are sufficient to comply with RFP requirements, and are sufficient to operate the program effectively;
- Explain why expenses are realistic, reasonable, necessary, allowable, and justified based on an annual program plan and the OCFS estimated cost per family in **Section 4.1**;
- Describe how the budget focuses on program expenses and direct services rather than administrative costs. Administrative costs are limited to 15 percent;
- If being requested, clearly identify the amount of funds being proposed for indirect costs, provide a description of the expenses, and include the calculation methodology;
- Demonstrate a 1-year period consisting of the first year 10/1/22-9/30/23 and include the required 10 percent local or in-kind match from sources not provided by state or federal funds; and
- Indicate the total annual dollar amount in OCFS funds being requested for all counties to be served through this RFP. If proposing to serve more than one county, the budget should indicate the amount requested for each county. The amounts should be entered as whole numbers and not exceed \$500,000 per year per county.

Each category below has its own instructions. Follow these instructions carefully as you complete the budget. The budget for this project must be in compliance with all applicable state and federal laws, rules, and regulations. Use the following directions to briefly describe the expenses included in each budget category.

**Ensure the following:**

- All items covered by OCFS funds must be directly related to the provision of services indicated in the proposal.
- All expenses must be incurred *within* the contract period.
- All shared costs are prorated and the basis of the proration explained.
- Reimbursement for travel, lodging, and mileage costs will not exceed the state rates currently in effect for the period.
- All amounts listed on the budget summary form reconcile with the relevant budget narrative information.
- The total Grant Funds requested agrees with the total amount requested in the OCFS Grant Funds Column of the Budget Template.

**Non-Allowable Costs**

The following items *cannot be included* as OCFS-funded costs within the project budget:

- Major capital expenditures such as acquisition, construction or structural renovation of facilities,
- Interest costs, including costs incurred to borrow funds,

- Costs for preparation of continuation agreements and other proposal development costs,
- Costs of organized fundraising,
- Legal fees to represent agency/staff,
- Advertising costs, except for recruitment of project personnel, program outreach, and recruitment of participants, or
- Entertainment costs, including social activities for program and staff, unless directly associated with the project.

### **Local Match**

The following requirements are applicable for programs funded through this RFP:

- There is a required local share match of 10% percent of the grant award.
- Other federal funds cannot be used as a match.
- The local share match may be reflected in any budget category. It does not need to be in the same category as the required OCFS funds.
- The local match can be cash or in-kind.

### **A. Personal Services**

#### **1. Personal Services (Salaries):**

- List only staff positions titles included in the funded project.
- List the percentage of time each staff (title) will spend on this project.
- The percentage of time an employee (title) is engaged in this project (or projects) cannot exceed 100 percent.
- List the base (annual) salary for each staff position (title).
- The base salary should reflect the employee's (title's) actual annual salary. The annual salary should be consistent across all projects that the employee's time is charged to.
- Applicants are encouraged to ensure employees are fairly compensated with a salary comparable to a living wage. Please refer to the NYS Department of Labor's "Occupational Wages" guidance at <https://dol.ny.gov/occupational-wages-0> and the US Bureau of Labor Statistics at <https://www.bls.gov/ooh/community-and-social-service/health-educators.htm>.
- If a position (title) has both Administrative and Programmatic responsibilities, show the position (title) on two lines; one for Programmatic responsibilities with associated percentage of time and one for Administrative responsibilities with associated percentage of time. Identify Administrative positions in the "Personal Narrative." The percentage of time for the position cannot exceed 100 percent.
- List total fringe cost for all personnel (titles).
- If an existing program and you anticipate salary increases, include them in the requested budget. Justification for raises must be provided. If you anticipate cost of living or merit raises during the contract year,

include the increases in the base annual salary charged to the project, and note the effective date of the raise.

Personal Services Salary Narrative: Give a brief description of the administrative or program-related responsibilities of each staff title supported by the grant funds.

2. Personal Services – Fringe Benefits

Fringe benefits should be budgeted in line with your organization’s policy. The total fringe benefits chargeable to this contract should not exceed the current approved fringe rate, which can be found on the NYS Office of the State Comptroller’s website at [Fringe Benefits](#). A higher rate may be considered with justification; any such justification must be included with your application.

Fringe Benefits Narrative:

- List the fringe benefit rate(s) and the titles to which the rate(s) apply.
- Provide a complete list of benefits used to calculate rate(s) (e.g., Social Security-FICA, New York State Unemployment Insurance-SUI; New York State Disability Insurance and Worker’s Compensation). These can be listed on the extra lines under “Personal Services.” Be sure to clearly identify “Fringe.”

**B. Non-Personal Services (NPS)**

Use of MWBE for Discretionary Purchases

In compliance with Article 15-A of the New York State Executive Law, contractors are required to spend thirty (30) percent of their overall discretionary budget through a New York State-certified Minority or Women-Owned Business Enterprise (MWBE). As your organization develops its NPS budget for this contract, you must identify the discretionary purchases that are subject to the MWBE goals (See section 7.10 of the RFP for more information.) The following NPS budget categories are subject to MWBE goals:

<b>NPS Budget Category</b>	<b>MWBE Goal</b>
1. Contractual/Consultant	Discretionary expenses in this category subject to goals
2. Travel	Travel expenses would be Non-discretionary – exempt, but Transportation (i.e., chartering of buses), is subject to goals
3. Equipment	Discretionary expenses in this category subject to goals

4. Supplies	Discretionary expenses in this category subject to goals
5. Other Expenses	
a. Space/Property (Own)	Non-discretionary - exempt
b. Utilities	Non-discretionary - exempt
c. Operating Expenses	Discretionary expenses in this category subject to goals
d. Printing Services	Discretionary expenses in this category subject to goals
e. Other Expenses/Miscellaneous	Discretionary expenses in this category subject to goals
f. Administrative Expense	Non-discretionary - exempt

\*if MBE/WBE are not going to be utilized, you should include enough detail in the applicable Budget Narrative section(s) to show why that spending category line should not be considered discretionary and counted toward your goals (i.e., 'There are no M/WBE vendors for this commodity/service in our area.' 'We have established contracts with vendor xxx for this commodity/service.' etc.). The OCFS Contract Compliance Unit may reach out to you for further details/explanations and will require justification and information documenting good faith efforts.

#### NPS Budget Categories

All budget items to be purchased during the contract period must be for commodities that are in direct support of services related to the project, or for contractual/consultant services to be rendered during the contract period that directly support the project.

#### **1. Contractual/Consultant Services**

This category includes costs for institutions, individuals, or organizations external to the agency.

- Specify the services to be provided and indicate how the cost was determined.
- Delineate between administrative and program cost.
- If an award is made, the contractor must get prior written approval from OCFS for any agreement, or series of agreements, with a single subcontractor that exceeds \$50,000 or 50 percent of the total contract value during the contract term. The contractor must receive such approval before executing the subcontract agreement, implementing any activity under its term, or expending contract funds under its term. Prior approval is also required for any cost or term amendment to approved subcontracts or as otherwise requested by OCFS. All subcontract agreements, regardless of dollar value, must be submitted to OCFS before claim for services is submitted.

- For office or other program space rental or lease include copy of rental or lease agreement and method of cost allocation of space.
- For equipment rentals:
  - 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 by giving a brief description of the program-related need supported by grant funds.
- Vehicle lease for participant travel, when such travel has been approved by OCFS, must be programmatically justified. A copy of the lease agreement must be provided to OCFS before claim payment. Also, the OCFS share of travel expense must be based upon state guidelines; payment cannot exceed the state rates currently in effect.
  - Explain the purpose of the travel.
  - Number of participants.
  - Estimated miles.
  - Frequency of travel (e.g., per day, per week).
  - Be as clear as possible in explanation of need and cost.
  - Show the percentage of time the vehicle will be used by the project, and only include requested funds for this percentage.
- If a subcontractor or consultant expense is more than \$15,000, three written bids are required. If you are unable to obtain three written bids, a justification as to price reasonableness is required. If other than the lowest bidder was selected, please provide justification.
- If the consultant/contractor is reimbursed at an hourly rate, the hourly rate and the number of hours must be calculated accurately and be included in the budget narrative.
- Indicate whether consultant's rate includes travel and lodging.

## 2. Travel

- Travel costs include the following: air, train, bus and taxi fare; personal auto, parking fees, tolls, lodging and meals. Conference fees or outside training costs for staff to attend that are integral and essential part of this particular program and necessary in connection with the project to be funded.
- Explain which staff will be traveling and the destination, purpose, and frequency of travel.
- For local/day travel and extended travel, list the following for each trip: destination, length of stay, purpose, number of travelers, mode of transportation and its cost, meals and lodging costs.
- Includes staff travel only.
  - Consultant travel should be shown under the "Contractual/Consultant Services" category.
  - Client travel should be shown under the "Other Expenses" category.
- Reimbursement for travel, lodging, and mileage costs will not exceed the state rates then in effect.

**NOTE:** The OCFS share of travel expense must be based upon state guidelines; payment cannot exceed the state rates currently in effect. Refer to <http://www.osc.state.ny.us/agencies/travel/travel.htm>.

- All out of state travel must be preapproved by OCFS.

### **3. Equipment**

This section is used to itemize the purchase of equipment.

- Equipment is defined as tangible personal property having a useful life of more than one year and an acquisition value of \$1,000 or more per unit.
- Obtain three written bids for any single item. If a bidder other than the low bidder is selected, a statement must be submitted explaining why that vendor was selected.
- Any budget requests for equipment purchase using grant funds must be fully explained and justified by program need. Note that equipment purchases are generally not allowed for a contract with a term of 12-months or less.
- Delineate between administrative and program costs.
- If the item is to be used by more than one program, the cost must be prorated.
- Explain the program function and need for each item. Be as specific as possible.
- Clearly describe each item, including type and cost.
- Vehicles cannot be purchased. They may be leased if required for program operation. If vehicles are leased, the costs must be listed under the “contractual/Consultant Services” section of the budget.

Equipment Narrative: Give a brief description of the program-related equipment supported by grant funds. Include basis of allocation of costs between programs, if applicable.

### **4. Supplies**

- List major supply items (used for office, program, janitorial, etc.)
- Supplies are defined as tangible personal property (including computers, computer equipment, tables, etc.) having an acquisition value of less than \$5,000 per unit. Obtain three written bids for any single item costing over \$2,500. Obtain three written or verbal quotes for any single item costing \$2,500 or less. If a bidder other than the low bidder is selected, a statement must be submitted explaining why that vendor was selected.
- Delineate between administrative and program items.
- Describe items to be purchased and provide details showing how estimated costs were developed.

- Justify these costs in terms of number of staff and programmatic functions, and how the request relates to service provision.

## 5. Other Expenses

“Other Expenses” are costs that do not fall under the previous budget categories. Examples are occupancy costs for owned buildings, utilities, operation expenses, printing services, allowable administrative overhead, and other miscellaneous expenses.

### a. Space/Property (Own)

If the contractor owns the building, they must charge occupancy costs rather than rental costs. Occupancy costs must be true costs made to a third party; for example, mortgage payment (exclusive of property/school taxes), cleaning costs, snow removal, and general maintenance.

- Provide description of space.
- Provide justification.
- Provide itemization of total costs.
- Provide method of cost allocation of space.

Space/Property Own Narrative: Provide a detailed explanation of all space and property costs supported by grant funds.

### b. Utilities

Provide a budget line for each utility cost. This may include electric, heat, telephone, other communication services and internet.

Utilities Narrative: Provide a detailed explanation of all utility costs and how costs here are allocated to this grant.

### c. Operating Expenses

This section is used to itemize costs associated with the operation of the program, including but not limited to, insurance, bonding, photocopying, and advertising. Provide a budget line for each item.

Operating Expenses Narrative: Provide a detailed explanation of each operating expense and how costs are allocated to this grant.

### d. Printing Services

- All agencies and subcontractors must make reasonable efforts to secure the lowest responsible bidder for printing services.
- In instances where the cost of a printing job exceeds \$5,000, documentation of three telephone bids is required showing that the



lowest cost source has been used. This information must be provided with the *payment* claim. The state strongly encourages the participation and utilization of MBE and WBE owned printing firms.

- Program materials to be printed using these funds must be preapproved by OCFS.

Printing Services Narrative: Provide a detailed explanation of all printing expenses.

**e. Miscellaneous Expenses**

- Food/refreshments are allowable for program events only when families are included. It is not allowable for staff only events.
- Include items that are not applicable under any other category and that are directly related to the services to be provided.
- These items may include postage, client travel, shipping, delivery and messenger services audiovisual services, (see note below for more specific instructions), materials, development costs, advertising costs for recruiting new hires, books, journals, periodicals, computer time, and library services.
- Information on these costs, including how the estimates were calculated (e.g., cost per hour, cost per page, cost per square foot, etc.) should be provided in the budget narrative.
- Delineate between administrative and program items.
- Itemize any additional miscellaneous expenses that are allowed for this project that do not fall under any other budget category.

Miscellaneous Expenses Narrative: Provide a detailed explanation of each miscellaneous expense.

**f. Administrative Expense**

This category cannot include any items directly charged in other budget categories. Include the base on which the administrative expense will be charged.

**A. For Federally Funded Awards**

Not Applicable

**B. For State-Funded Awards**

Total administrative costs are limited to **15 percent** of the total grant award as established by OCFS policy. OCFS reserves the right to adjust this limit at its sole discretion.

- Total administrative expenses are limited to 15 percent of the grant award, less expenses for equipment, capital expenditures,

rental costs, participant support costs and the portion of each subcontract in excess of \$25,000.

- Administrative expenses include, but are not limited to:
  - that portion of the salaries and benefits of staff performing administrative and coordination functions that cannot be attributed to particular program services, including but not limited to the executive director or chief executive officer, financial officers such as the chief financial officer or controller and accounting personnel, billing, claiming or accounts payable and receivable personnel, human resources personnel, public relations personnel, administrative office support personnel, and information technology personnel, where such expenses cannot be attributed directly to the provision of program services;
  - that portion of expenses for office operations that cannot be attributed directly to the provision of program services, including telephones, computer systems and networks, professional and organizational dues, licenses, permits, subscriptions, publications, audit services, postage, office supplies, conference expenses, publicity and annual reports, insurance premiums, equipment that is expensed (rather than depreciated) in cost reports, where such expenses cannot be attributed directly to the provision of program services; and
  - up to the first \$25,000 of each subcontract.
- Indirect costs are considered in the total administrative costs for this project (indirect cost plus any directly charged administrative personnel, related fringes and nonpersonal services).
- Some common methods of allocating indirect costs are based upon time, space, units of service or percentage of funding.
- All administrative costs must be individually identified.

All costs included in the direct cost categories must be directly attributable to the project. State Finance Law and Generally Accepted Accounting Principles require that any expense incurred over more than one funding source or program must be charged proportionately, and the method of allocation must be documented.

**Please note that when you are completing the budget in the Gateway, you are required to upload the budget document into the “Pre-Submission Uploads” section of your application.**

### **5.3 Key Concepts**

Home visiting is able to be provided through the New York Consolidated Laws, Social Services Law Article 6; title 6-A; Section 429 to prevent child abuse and maltreatment, enhance positive parent child interactions, increase healthy

outcomes for families and empower families to develop and achieve self-sufficiency goals.

## GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

**Baseline Estimate:** The projected status of the target population without the proposed intervention. A baseline is the best estimate, using prior program experience, collected data, or research results, of what would happen to the target population without the program's intervention and its benefits. Projection should be numerical (number or percentage). A baseline estimate is required for each performance target.

**Fiscal Documentation:** Documentation necessary for payment.

**Grants Gateway:** The New York State Grants Gateway went live on May 15, 2013 and serves as the primary outlet for State agencies to post upcoming and available funding opportunities.

**Guide to Financial Operations (GFO):** This website was created as the central storehouse of OSC policies, and is intended to replace individual OSC Bulletins. The GFO can be found at:

<http://www.osc.state.ny.us/agencies/guide/MyWebHelp>.

**Legal Documents:** Legally required application/contract components.

**Milestones:** Measurable interim changes in the condition or behavior of the target population used to track whether the program is on course to achieve its Performance Targets. These are critical points of change or target population achievement that must occur to progress towards the Performance Targets. Milestones must include a description of the methods that will be used to verify milestone achievement.

**Organizational Qualifications:** The organizational characteristics and capacity (i.e., agency mission, past accomplishments/experience in serving the target population or in providing similar services to a different population, experience in collaborating with community agencies needed for program success, key people, and fiscal capability) that are likely to result in successful performance target attainment.

**Outcomes:** The desired benefits or changes for the target population following their interaction with a program. These are the expected results or program intervention. Outcomes may relate to knowledge, skills, attitudes, behaviors, or condition. Either the investor or provider may set them. (They are broader, more general than Performance Targets. They do not require numerical projection). In some instances, the outcome may be a system change rather than an individual behavior change.

**Performance Targets:** Performance Targets are the measurable verifiable improvements in the condition or behavior of program recipients that the provider

expects to achieve by the end of the contract period. Targets are quantifiable and verifiable indicators of program performance. They contribute to the attainment of the desired outcomes for the target population. Attainment of several Performance Targets may be needed to indicate the achievement of a single outcome. Targets must include a description of the methods that will be used to verify target achievement.

**Program Budget:** Definition of program expenditures and funding sources.

**Program Description:** Detailed explanation of the means (service model, plan, or approach) the provider will use to achieve its Performance Targets and outcomes. This should include a description of the program's core features (i.e., the kinds of services provided, their intensity and duration, the essential elements, theoretical approach, delivery strategies, involvement of target population in planning, etc.).

**Project Work plan:** Steps to implement program -- Most relevant to new applicants or start-up.

**Staffing Pattern:** Identification of staff assigned to a program, whether or not paid through OCFS funds.

**Target Population:** The specific group of people (individuals, families, community members or certain instances, specified personnel or entity) that are the focus of change and who will directly interact with the program must be identified. In certain instances where the desired outcome is systemic change, the agency as a whole may be considered the target population.

**Vendor Responsibility:** Compliance with New York State Finance Law and guideline provisions related to vendor integrity providing reasonable assurance that the potential contractor has the capacity to perform the requirement of the contract. This includes authority to do business in the State, capacity, and performance in addition to aforementioned integrity.

**Verification:** Statement of methods used to verify performance target and milestone attainment and/or submission of actual documentation.

**Vision:** OCFS Program Area statement of ideal end-state sought for a population (i.e., prevention of child abuse and neglect).

## GLOSSARY OF TERMS COMMONLY USED IN HEALTHY FAMILIES NEW YORK

**ASQ:** Ages and Stages Questionnaire; developmental screening tool used by HFNY programs

**Assessment:** a semi-structured, standardized tool administered in HFNY programs to gather information about parents' strengths and capabilities and to identify the parents' experiences, expectations, beliefs, and behaviors that place

parents at risk of child abuse, neglect, and maltreatment. It detects the presence of any factors including increased risk for child maltreatment or other poor childhood outcomes (i.e., social isolation, substance abuse, parental history of abuse in childhood, etc.

**Best Practice Standards:** Guidelines set by HFA for service delivery

**Central Administration:** Refers to Office of Children and Family Services (OCFS), Prevent Child Abuse-New York (PCANY) and the Center for Human Services Research (CHSR)

**Core training:** Required role specific training that FSSs and FRSs, program supervisors, and Program managers must attend

**Creative Outreach:** Respectful efforts to engage or re-engage families in the HFNY program. In the HFNY MIS, Creative Outreach refers only to post-intake activities.

**Accreditation:** Process by which programs are reviewed for most effective practice standards as measured by HFA Best Practice Standards

**Developmental Screen:** A standardized tool used by HFNY home visiting programs at regular intervals in the course of home visiting to monitor child development, and delays and disabilities, and to ascertain appropriateness of referral Early Intervention Program; see ASQ

**FRS:** Family Resource Specialist (completes the assessment); see Home Visitor

**FGP:** Family Goal Plan; helps families to identify goals, the steps that need to be taken, and their progress towards achieving those goals

**FSS:** Family Support Specialist; see Home Visitor

**HFA:** Healthy Families America; a national initiative to establish a universal voluntary home visitor system for new parents to help their children get off to a healthy start

**HFNY:** Healthy Families New York's multi-site system of home visiting programs using the HFA model.

**Home Visitor:** A trained staff person providing parenting education, support, or assessment in the family's home, sometimes referred to as an FRS or FSS

**Home Visit Rate:** The amount of completed home visits that occurred as compared to the number of home visits that were supposed to occur per practice standards

**MIS:** Management Information System; the electronic data system that is utilized by HFNY programs

PCAA: Prevent Child Abuse America; national, not-for-profit organization of professionals and volunteers committed to preventing child abuse in all its forms through education, research, public awareness, and advocacy

Performance Indicators: Measures of HFNY model fidelity that all HFNY programs are measured against

Performance Targets: Measures of family outcomes that all HFNY programs are measured against

Program Utilization: The number of families enrolled in the program as compared to the number of families the program has the capacity to serve

Retention rate: Measure of the retention of families within the program

Screen: Referral made to the HFNY program for participant services based on specific risk factors

Shadowing: Accompanying a trained home visitor on a home visit for the purpose of observing the work of the home visitor

TANF: Temporary Assistance for Needy Families

Target Child: The child that makes the family eligible for HFNY services

Wrap Around Training: Required topic specific training all staff must receive within specific time frames

Case Weights: A number given to a family on a caseload dependent on the stage of services the family is in and the number of visits a family receives.

Protected supervision: a specific time and place for supervision of staff that is regular and in private.

#### **5.4 Proposal Content**

The proposal will consist of responses to the following questions in the Grants Gateway. These will be found in the “**Program Specific Questions**” section of the online application.

Applicants must complete all of the following program questions and provide all required uploads for the application to be considered complete. Please note that all questions in the Grants Gateway will only allow one document to be uploaded per question. Multiple documents should be combined into ONE SINGLE FILE no larger than 10MB in size. If this is not possible, it is permissible to submit additional uploads to the “**Grantee Document Folder**”. Please ensure all uploads are clearly identified and labeled). DO NOT UPLOAD PASSWORD

PROTECTED OR SECURED DOCUMENTS. ENSURE ALL PASSWORDS ARE REMOVED BEFORE UPLOADING IN THE GRANTS GATEWAY.

### Eligibility Questions

Unless specified otherwise, required documents must be uploaded as attachments in the “**Program Specific Questions**” section of the Grants Gateway as part of your response to applicable questions. If there are insufficient upload slots, it is permissible to submit additional uploads to the “**Grantee Document Folder**”. Please ensure all uploads are clearly identified and labeled.

Please review and respond to **Eligibility Questions** carefully. See RFP **Section 3.1 Minimum Qualifications** for additional information regarding requirements.

No.	Question	Yes/No
<b>1. Eligibility Questions</b>		
1a.	<p>Is the applicant one of the following entities:</p> <ul style="list-style-type: none"> <li>• Not-for-profit organization,</li> <li>• Local government agency,</li> <li>• Tribal organization,</li> <li>• 501(c)(3) organization, including but not limited to community and faith-based organizations,</li> <li>• Religious organization established pursuant to the Religious Corporation Law or other incorporated faith-based or religious organizations, or</li> <li>• Educational institution such as a school district or BOCES program?</li> </ul> <p>For the purposes of this RFP: for-profit and organizations that operate for the benefit of private interests are not eligible to apply.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No *
1b.	<p>Does the applicant propose to serve one or more of the targeted counties (see <b>Attachment #12</b>): Cayuga, Chautauqua, Columbia, Essex, Fulton, Genesee, Greene, Hamilton, Lewis, Montgomery, Nassau, Onondaga, Putnam, Saratoga, Schoharie, Schuyler, Seneca, Tompkins, Warren, Washington, and/or Wyoming and commit to implement the HFA Child Welfare Protocols (see <b>Attachment #8</b>)?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No *
1c.	<p>Clearly identify the county or counties proposed to be served by listing their names.</p>	Text Field
1d.	<p>Has the applicant uploaded a completed Commitment Form (<b>Attachment #7</b>) from the LDSS of the county or counties proposed to be served stating that the county will provide appropriate referrals to the program for families with children up to the age of two eligible for IV-E funding?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No *
1e.	<p>If an awardee under this contract, does the applicant agree to enter into a contract with the county(ies) they</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No *

	serve, if necessary and at OCFS direction, to obtain payment for Title IV-E eligible families, if counties seek Title IV-E reimbursement?	
1f.	Does the applicant agree to implement the Healthy Families model and comply with program requirements as described in <b>Section 4.1</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No *
1g.	Are you prequalified, if not exempt, in NYS Grants Gateway on the application deadline (see RFP <b>Section 3.2 Prequalification Process</b> )?	<input type="checkbox"/> Yes <input type="checkbox"/> No * <input type="checkbox"/> N/A
* A “No” response to any Eligibility Questions in this section or failure to submit the required documentation with your application may result in disqualification of your application.		

### Administrative Questions

No.	Question	Response
<b>2. Primary Contact Information</b>		
<b>The primary contact should be the applicant’s executive director or other authorized individual who will receive official written and electronic notifications from OCFS regarding this procurement.</b>		
2a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the primary contact.	Text Field
2b.	Provide the FIRST NAME of the primary contact.	Text Field
2c.	Provide the LAST NAME of the primary contact.	Text Field
2d.	Provide the JOB TITLE of the primary contact.	Text Field
2e.	Provide the STREET ADDRESS of the primary contact.	Text Field
2f.	Provide the CITY of the primary contact.	Text Field
2g.	Provide the STATE of the primary contact.	Text Field
2h.	Provide the ZIP CODE of the primary contact.	Text Field
2i.	Provide the PHONE NUMBER of the primary contact.	Text Field
2j.	Provide the EMAIL ADDRESS of the primary contact.	Text Field
<b>3. Secondary Contact Information</b>		
<b>The second contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
3a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the second contact.	Text Field
3b.	Provide the FIRST NAME of the second contact.	Text Field
3c.	Provide the LAST NAME of the second contact.	Text Field
3d.	Provide the JOB TITLE of the second contact.	Text Field
3e.	Provide the PHONE NUMBER of the second contact.	Text Field
3f.	Provide the EMAIL ADDRESS of the second contact.	Text Field



<b>4. Tertiary Contact Information</b>		
<b>The third contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
4a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the third contact.	Text Field
4b.	Provide the FIRST NAME of the third contact.	Text Field
4c.	Provide the LAST NAME of the third contact.	Text Field
4d.	Provide the JOB TITLE of the third contact.	Text Field
4e.	Provide the PHONE NUMBER of the third contact.	Text Field
4f.	Provide the EMAIL ADDRESS of the third contact.	Text Field
<b>5. Administrative Questions</b>		
5a.	Have you completed the Vendor Responsibility Questionnaire and has it been recently certified? (If applicable. See RFP <b>Section 3.3 Vendor Responsibility Requirements.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
5b.	Is your Charities Registration current? (If applicable. See RFP <b>Section 7.5 Charities Registration.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
5c.	Do you certify under penalty of perjury that, by submission of this bid, each bidder and each person signing on behalf of any bidder, and in the case of a joint bid each party thereto as to its own organization, has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees, and that such policy does, at a minimum, meet the requirements of section two hundred one-g of the labor law? Please note that a bid will not be considered for award nor will any award be made to a bidder who is not able to make this certification in compliance with State Finance Law section 139-l; provided, however, that if the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therein. (See RFP <b>Section 7.16 State Finance Law §139-l; Statement on Sexual Harassment in Bids.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
5d.	Do you certify that, by submission of this application, your organization is not a Russian or Russia supporting entity, as those terms are defined in Executive Order No. 14 dated February 27, 2022?	<input type="checkbox"/> Yes <input type="checkbox"/> No

5e.	Do you certify that, by submission of this application, your organization is not conducting business operations in Russia, as those terms are defined in Executive Order No. 16 dated March 17, 2022?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5f.	Do you understand that OCFS recommends submitting your proposal well in advance of the <b>Deadline for Submission of Proposals</b> ? Waiting until the last day to submit your application is NOT RECOMMENDED. (See RFP <b>Section 1.2 Calendar of Events</b> and <b>Section 5.5 Proposal Submittal Process</b> .)	<input type="checkbox"/> Yes <input type="checkbox"/> No
5g.	Do you understand that a “No” response to any <b>Eligibility Questions</b> MAY RESULT IN THE DISQUALIFICATION OF YOUR APPLICATION? Please review your responses to these questions carefully. (See RFP <b>Section 3.1 Minimum Qualifications</b> and <b>Section 5.4 Proposal Content</b> .)	<input type="checkbox"/> Yes <input type="checkbox"/> No
5h.	Do you understand that failure to upload and submit the required documentation outlined in RFP <b>Section 3.1 Minimum Qualifications</b> with your online application OR failure to meet the following documentation requirements of providing a letter from LDSS in the targeted county or counties to be served WILL RESULT IN THE DISQUALIFICATION OF YOUR APPLICATION? (See RFP <b>Section 3.1 Minimum Qualifications</b> and <b>Section 5.4 Proposal Content</b> .)	<input type="checkbox"/> Yes <input type="checkbox"/> No
5i.	Do you understand that specific grantee user roles are needed in order to submit proposals in the Grants Gateway? OCFS recommends contacting the Grants Gateway Help Desk for assistance with grantee user credentials when starting an application. (See RFP <b>Section 5.5 Proposal Submittal Process</b> .)	<input type="checkbox"/> Yes <input type="checkbox"/> No
5j.	Do you understand that all questions in the Grants Gateway will only allow ONE document to be uploaded per question? Multiple documents should be combined into ONE SINGLE FILE no larger than 10MB in size. If this is not possible, it is permissible to submit additional uploads to the “ <b>Grantee Document Folder</b> ”. Please ensure all uploads are clearly identified and labeled (in both the document filename <u>and</u> on the document itself) with the applicable question number.	<input type="checkbox"/> Yes <input type="checkbox"/> No

5k.	Do you understand that you <b>MUST NOT UPLOAD PASSWORD PROTECTED OR SECURED DOCUMENTS? ENSURE ALL PASSWORDS ARE REMOVED BEFORE UPLOADING IN THE GRANTS GATEWAY.</b> If an uploaded document cannot be viewed, and it is for a minimum qualification, <b>THE PROPOSAL WILL BE DISQUALIFIED.</b> If other uploaded documents cannot be viewed, <b>THE PROPOSAL MAY LOSE POINTS</b> during the scoring process. (See RFP <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
5l.	Have you <b>DOUBLE CHECKED</b> all documents uploaded to your proposal? Uploads may be located in the “ <b>Program Specific Questions</b> ”, “ <b>Pre-Submission Uploads</b> ”, and “ <b>Grantee Document Folder</b> ” sections of your online application. <b>APPLICANTS ARE RESPONSIBLE FOR VERIFYING ALL UPLOADED DOCUMENTS</b> are complete, correct, viewable, and comply with the requirements of the RFP. OCFS recommends performing this verification before submitting your application. Your verification may include, but is not limited to: signatures, dates, required fields, confirming all pages are included, text is legible, scanner artifacts, necessary information, etc. If an uploaded document does not meet the requirements of the RFP, and it is for a minimum qualification, <b>THE PROPOSAL WILL BE DISQUALIFIED.</b> For other uploaded documents with missing information, <b>THE PROPOSAL MAY LOSE POINTS</b> during the scoring process. (See RFP <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
5m.	Provide your organization’s Unique Entity Identifier (UEI) created in SAM.gov by entities doing business with the federal government (if applicable).	Text Field

### Work Plan Questions (Up to 80 points)

The Work Plan Template is available in the “**Pre-Submission Uploads**” section of the Grants Gateway. Use this document to help prepare proposed responses to the “**Program Specific Questions**” section of your application in the Grants Gateway. The Work Plan Template will not be uploaded or submitted with your application.

Please refer to **Section 5.1 Technical Proposal Content/Work Plan** for additional information and guidelines regarding these questions.

If any responses to individual questions exceed the 4000-character limit, please enter "See Attached Upload" in the text field for the response to that question, attach, and upload your complete and clearly labeled response (in both the document filename and on the document itself) to the "**Grantee Document Folder**" in your online application.

No.	Question	Max. Points
<b>A. Community (up to 12 points)</b>		
A1.	Describe the planning activities and the resources used to develop the proposal, and the community readiness to receive project services. Include how the community and stakeholders were involved.	2
A2.	Explain how the proposed project relates to the overall needs of the community. Discuss trends that support the demand for the proposed project services, identify demographic data (including data on the community's racial and ethnic composition), social, and economic changes that may be of significance to the target community to receive project services. Provide information on similar services available within the community, if applicable.	4
A3.	Describe the community partners such as local department(s) of health, prenatal clinics, birthing hospital(s), and Women Infant and Children (WIC) programs and how they will assist with the project through screening, referral, serving on applicant's advisory board and other supports. The inclusion of affirmations of support (use <b>Attachment #6</b> ) from community partners, and any applicable MOUs, are recommended but not required.	4
A4.	Describe how the applicant will prioritize serving families with the highest need (Medicaid births, etc.) in the county or counties they propose to serve.	2
<b>B. Target Population(s) (up to 12 points)</b>		
B1.	Describe the geographic area and county(ies) to be served, the number of families you propose to serve in each county, and the corresponding percentage of Medicaid births for the county(ies). The applicant should propose to serve the equivalent of up to 15 percent of Medicaid births in their county(ies). Generally, programs have been successful at serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies). Refer to <b>Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County, and Attachment #11 Guidance to Determine the Number of Families to be Served.</b>	2

B2.	Identify the target population to be served, their characteristics, and why they are targeted for services. Discuss indicators such as rates of Medicaid births, disproportionate minority representation in child welfare, low income/high poverty rates, high instance of maltreatment, rates of infant and maternal mortality, late or no prenatal care, and high teenage birth rate.	3
B3.	Include the family eligibility criteria for the program including the commitment to extend services to the child welfare population outside of the core eligibility criteria using HFA Child Welfare Protocols. Information on HFA Child Welfare Protocols can be found at <a href="https://www.healthyfamiliesamerica.org/protocols-child-welfare">https://www.healthyfamiliesamerica.org/protocols-child-welfare</a> . Include information on how this population will be engaged, location of services, and hours of program operation.	2
B4.	Demonstrate an understanding of, and approaches for addressing, racial equity/disproportionate issues and other indicators of need for services in the community(ies) to be served.	2
B5.	If currently providing HFNY or HFA services, answer “Yes” and identify the county(ies) the applicant currently serves. If not applicable, answer “Not Applicable”. Both “Yes” and “Not Applicable” responses are eligible for 1 point.	1
B6.	If this proposal results in the applicant providing HFNY/HFA services in more than one county, describe how the applicant will coordinate their services across the counties to support the HFNY model.  If applicant will serve a total of one county, describe the process you will use to refer families who live in neighboring counties to other HFNY programs operating in the area or other similar program service providers.	2
<b>C. Objectives, Tasks, and Performance Measures (up to 16 points)</b>		
C1.	Explain how the proposed program will conduct outreach and engagement. Describe how the program will conduct outreach to clients, receive referrals, and engage families who are the recipients of the proposed services.	2
C2.	Describe how and where the program will locate and engage hard to reach, at-risk families.	2
C3.	Describe the strategies the program will use to retain families to stay engaged in the program and complete home visits.	2
C4.	Describe how the program will provide required supervision and training to all program staff.	2
C5.	Describe how the program will work towards achieving targets in <b>Attachment #3</b> for health and development.	2
C6.	Describe how the program will work towards achieving targets in <b>Attachment #3</b> for parent child interaction.	2

C7.	Describe how the program will work towards achieving targets in <b>Attachment #3</b> for familial life course.	2
C8.	Describe how the program will use the management information system, and staff and family input to inform practice.	2
<b>D. Proposed Project Description (up to 20 points)</b>		
D1.	Describe how the HFNY model will address the current status of the target population.	2
D2.	Describe how your organization will deliver specific program requirements and the full range of services to be provided (refer to <b>Section 4.1</b> for information to be included). The work plan should include how these services contribute to outcomes, including the Performance Targets ( <b>Attachment #3</b> ) and Performance Indicators ( <b>Attachment #4</b> ).	4
D3.	Explain the program implementation plan and start-up time including the steps that will be taken to implement the program on a timely basis.	3
D4.	Describe plans for outreach, collaboration, and coordination in and with the community. Include how these plans will reflect cultural, linguistic and disproportionality characteristics of the community.	3
D5.	Explain how the project will interface with other in-house services and services available in the community.	2
D6.	Describe how the applicant will obtain ongoing input from the community regarding customer satisfaction with project services.	3
D7.	Explain the cultural and linguistic considerations for the delivery of services to the target population and how the program will encourage successful objectives for the target population.	3
<b>E. Project Staff (up to 10 points)</b>		
E1.	Identify by title and number all positions to be assigned to this project and state whether they will be paid with OCFS project funds, required qualifications for each position, and briefly indicate their responsibilities.	3
E2.	Describe how the staffing for the proposed project is representative of the community, cultures, and languages of persons targeted to receive services. Discuss what activities will be conducted to instill diversity and cultural responsiveness in project staff. Cultural humility and awareness are considered critical factors.	5
E3.	Discuss the staffing pattern designed for the program and how it relates to the number of families that will be served.	2
<b>F. Organization (up to 10 points)</b>		
F1.	Describe the history of your organization, experience working with the target population and provide evidence that it has the capacity to successfully manage the project.	2

F2.	Describe the past accomplishments, special characteristics and resources of your organization that are predictive of your success in achieving the stated performance objectives. Identify any key people not identified in Project Staff (E1) that will have a role in the success of the project.	2
F3.	Describe how the management of your agency supports the proposal for this program including the support to, and on-going supervision of, the program manager. Include the organization's ability to hire and maintain staff.	3
F4.	Describe activities initiated by the organization to promote effective coordination with other key partners and service providers in the community to maintain this program. Include any affiliations with other community groups.	2
F5.	Provide an organizational chart that shows how the proposed HFNY program fits into the applicant organization's goals and mission. Please upload this document to the " <b>Program Specific Questions</b> " section of your grant application.	1

### Budget Questions (Up to 20 points)

Upload the budget into the Grants Gateway in accordance with the requirements of **Section 5.2 Proposed Budget**.

The budget template can be found in the "**Pre-Submission Uploads**" section of the RFP in the Grants Gateway System. The completed operating budget is uploaded as an attachment in the "**Pre-Submission Uploads**" section of your application.

**Please note:** your proposed budget should reflect a contract period of 10/1/2022 through 9/30/2023 for a maximum dollar amount of up to \$500,000 annually per county proposed to be served using the OCFS cost per family. The applicant's proposal should propose to serve the equivalent of up to 15 percent of Medicaid births. Generally, programs have been successful at serving the number of families equivalent to between 10 to 15 percent of Medicaid births in their county(ies). See **Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County** and **Attachment #11 Guidance to Determine the Number of Families to be Served**. This funding requires a 10 percent local or in-kind match from sources not provided by state or federal funds. If awarded funding, you will be required to submit a five-year budget during the contract development process.

The cost per family must be used in combination with the number of families proposed to be served to calculate the potential OCFS funding request using this formula:

# of families based on 10-15% of Medicaid births X cost per family in county to be served = funding amount

Example using data for Chautauqua County: 69 families X \$7,200 = \$496,500

Note that the maximum award is \$500,000 annually per county to be served.

To streamline the contract process, applicants are strongly encouraged to submit budgets that reflect realistic and necessary expenses and that include justifiable and allowable costs only. In addition to completing the budget forms and budget narrative, applicants must respond to the items below.

No.	Question	Max. Points
<b>G. Budget Section (Up to 20 points)</b>		
G1.	Demonstrate a clear relationship between funds requested, the number of families to be served per county, the OCFS cost per family, the program activities, and performance targets/outcomes. Please explain how the amount for each county proposed to be served was calculated. If proposing to serve more than one county, you should clearly indicate the amount requested for each county. Generally, programs have been successful at serving the number of families equivalent to 10 to 15 percent of Medicaid births in the county(ies) to be served. See <b>Section 4.1 Estimated Cost per Family, Attachment #10 NYS Medicaid Births by County and Attachment #11 Guidance to Determine the Number of Families to be Served.</b>	5
G2.	Explain how funds requested are within RFP guidelines, are sufficient to comply with RFP requirements, and are sufficient to operate the program effectively. The budget should demonstrate a 1-year period consisting of the first year 10/1/2022 – 9/30/2023 and include the required 10 percent local or in-kind match from sources not provided by state or federal funds.	5
G3.	Explain why expenses are realistic, reasonable, necessary, allowable, and justified based on an annual program plan and the OCFS estimated cost per family in <b>Section 4.1.</b>	5
G4.	Describe how the budget focuses on program expenses and direct services rather than administrative costs. Administrative costs are limited to 15 percent. If being requested, clearly identify the amount of funds being proposed for indirect costs, provide a description of the expenses, and include the calculation methodology.	5
G5.	Did you upload the budget into the Grants Gateway in accordance with the requirements of RFP <b>Section 5.2 Proposed Budget?</b> The budget template can be found in the “ <b>Pre-Submission Uploads</b> ” section of the RFP in the Grants Gateway System. The completed operating budget is uploaded as an attachment in the	<input type="checkbox"/> Yes <input type="checkbox"/> No



	<b>“Pre-Submission Uploads”</b> section of your application.	
G6.	Is your proposed budget for a 1-year period consisting of the first year 10/1/22 - 9/30/23 of your proposed project? Additionally, do you understand that programs may apply for up to \$500,000 per year per county proposed to be served by this procurement and should reflect the OCFS cost per family as identified in <b>Attachment #10 Medicaid Births by County</b> ? This funding requires a 10 percent local or in-kind match from sources not provided by state or federal funds.	<input type="checkbox"/> Yes <input type="checkbox"/> No
G7.	Please indicate the total annual dollar amount in OCFS funds being requested by this proposal for all counties proposed to be served. Enter the nearest whole number. This number should not exceed \$500,000 per year per county to be served.	Number Field
G8.	Clearly list the name(s) of the counties proposed to be served by this application and identify the amount of funds requested for each individual county. When added together, the amounts being requested should equal the number provided in G7.	Text Field

## 5.5 Proposal Submittal Process

### How to Submit a Proposal

In order to access the online proposal and other required documents such as the attachments, you must be registered and logged into the NYS Grants Gateway system (Gateway) at <https://grantsgateway.ny.gov> in the user role of either a “Grantee” or a “Grantee contract Signatory.” For tutorials (training videos) on using the Grants Gateway to submit proposals and apply for grants, please refer to: <https://grantsmanagement.ny.gov/videos-grant-applicants>.

**Note: Only users logged in with the following roles can submit the application for review: (1) Grantee contract Signatory; and, (2) Grantee System Administrator. Proposals must be submitted online via the Grants Gateway by the Deadline for Submission of Proposals indicated in Section 1.2 Calendar of Events of this RFP.**

Please visit the Grants Management website at the following web address: <https://grantsmanagement.ny.gov/> for information on the process.

To find the Request for Proposal, log into the Grants Gateway and from the Welcome Page, click “Browse Now!” under “Browse,” then do one of the following:

- Click the link for the opportunity; or
- Search for the opportunity by selecting the Office of Children and Family Services as the “Funding Agency” and pressing the “Search” button.

Once you locate the solicitation you are looking for, click on the name of that Grant Opportunity, and you will be taken to a summary page called *Grant Opportunity Portal – Grant Opportunity Profile*. You will see a brief description of the opportunity, a link to “View Grant Opportunity” (lower left of screen), or the option to click a link that will take you to the opportunity on an external website (upper middle of screen). Please note that even though you have access to the PDF of the RFP, all responses to the RFP must be answered in the Gateway.

### **Important Note Regarding Proposal Submission**

- Late proposals may not be accepted.
- Proposals must be submitted into the **Gateway only**.
- **Proposals may not be submitted via email, postal delivery, hand delivery, facsimile nor in hard copy format.**

Prospective applicants are **strongly encouraged** to submit their applications well in advance of the **Deadline for Submission of Proposals** indicated in **Section 1.2 Calendar of Events** of this RFP. This will allow sufficient opportunity for the applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. Failure to leave adequate time to address issues identified during the submission process may jeopardize an applicant’s ability to submit their application.

### **Helpful Links**

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or proposals should be directed to the OCFS contact listed in **Section 1.1 Procurement Contact** on page one of this RFP.

- NYS Grants Gateway: <https://grantsgateway.ny.gov>
- Grants Management Website: <https://grantsmanagement.ny.gov/>
- Grants Management Videos (includes a document vault tutorial and a grant application tutorial) are available on YouTube:  
<https://grantsmanagement.ny.gov/videos-grant-applicants>
- **Grants Gateway Help Desk: 518-474-5595**
- **Grants Gateway Email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov)**  
(General inquiries, proposal completion, grants policy, and registration)
- Grants Gateway Technical Help Desk (Agate Software): 1-800-820-1890
- Grants Gateway Technical Email: [helpdesk@agatesoftware.com](mailto:helpdesk@agatesoftware.com)  
(Technical problems, login and user credential issues, and after-hours help)

The Grants Gateway will always notify applicants of successful submission of an application. If a prospective grantee does not get a successful submission message in the Gateway, it has not successfully submitted an application.

## **6.0 MINIMUM CRITERIA/EVALUATION PROCESS**

### **6.1 Minimum Criteria (Pass/Fail Review Criteria)**

Bidders must meet the Minimum Qualifications to submit a Proposal in accordance with **Section 3.1 Minimum Qualifications** and **Section 3.2 Prequalification Process**. Bidders not meeting these requirements will be disqualified from further consideration.

### **6.2 Evaluation Process**

Applications will be reviewed and scored by trained reviewers using a structured, pre-approved evaluation instrument. The final score will be based on the average of the reviewer scores. Applications that receive a minimum average score of 65 points or more will be considered for funding. Award recommendations will be based on highest scoring applications within the targeted counties listed in this RFP and ranked by final average score.

Annual awards of up to \$500,000 per county will be made.

Awards will be made using existing funds by awarding the highest scoring application and moving down the list. If additional funds become available, awards will be made from the approved but not funded list.

Individual proposals may propose to serve one or more of the targeted counties.

In the event of a tie between two (2) or more proposals, the applicant who proposes to serve the greatest number of high-risk counties, as identified in **Attachment #5**, will be awarded. If proposals remain tied, the applicant who scores higher in **Section 5.1 D Proposed Project Description**, will be awarded. If the proposals remain tied, the applicant who scores higher in **Section 5.1 C Objectives, Tasks, and Performance Measures** will be awarded.

In the event two or more applicants propose serving the same county, the applicant with the highest average score will be selected to serve the county.

OCFS reserves the right to make adjustments to the funding amount requested based on programmatic need, funding availability, geographic distribution of awards, and the total dollar values of all applications receiving a passing score.

### **6.3 Bonus Points**

Not Applicable.

## **6.4 OCFS Procedure for Handling Debriefing Requests, Formal Protests and Appeals**

### **A. Applicability**

The intent and purpose of these procedures is to define the debriefing process, as well as the protest and appeal procedures. This includes the steps that must be taken when an interested party challenges a contract award from OCFS. These procedures shall apply to all contract awards made by OCFS.

### **B. Definitions**

1. "Interested party" shall mean a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "contract award" shall mean a written determination from OCFS to an offerer, indicating that OCFS has accepted the offerer's bid or offer.
3. "Debriefing" is the practice whereby, upon request of a bidder, OCFS reviews with such bidder the reasons its bid was not selected for an award. OCFS views debriefing as a learning process so that the bidder will be better prepared to participate in future procurements.
4. "Formal Protest" shall mean a written challenge to an OCFS contract award.
5. "Procurement" shall mean any method used to solicit or establish a contract (e.g., invitation for bid, request for proposal, single/sole source, etc.)
6. "Protesting party" is the party who is filing a protest to the bid, contract award or other aspect of procurement.
7. "Formal protest determination" shall mean the determination of a formal protest by OCFS' deputy commissioner for administration of OCFS or his or her designee.
8. "Decision after appeal" shall mean the decision on the appeal of a formal protest by OCFS' commissioner or his or her designee.

### **C. Debriefing Request**

In accordance with section 163 of the NY State Finance Law, OCFS must, upon request, provide a debriefing to any unsuccessful offerer that responded to the RFP, regarding the reasons that the proposal or bid submitted by the unsuccessful offerer was not selected for an award.

1. OCFS will provide notice in writing or electronically to all unsuccessful offerers that the offerer will not receive a funded award under the RFP. An unsuccessful offerer wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receiving the notice from OCFS that the offerer's proposal did not result in an award.
2. When OCFS receives of a timely written request from the unsuccessful offerer, will schedule the debriefing to occur within a reasonable period

of time. Debriefings will be conducted in-person, unless OCFS and the offerer mutually agree to utilize other means, including, but not limited to, telephone, video-conferencing or other types of electronic communications.

3. Such debriefing will include: (a) the reasons that the proposal, bid or offer submitted by the unsuccessful offerer was not selected for an award; (b) the qualitative and quantitative analysis employed by OCFS in assessing the relative merits of the proposals, bids or offers; (c) the application of the selection criteria to the unsuccessful offerer's proposal; and (d) when the debriefing is held after the final award, the reasons for the selection of the winning proposal, bid or offer. The debriefing will also provide, to the extent practicable, general advice and guidance to the unsuccessful offerer concerning potential ways for their future proposals, bids or offers to be more responsive.

#### **D. Formal Protest and Appeal Procedure**

Any interested party who believes that they have been treated unfairly in the application, evaluation, bid award, or contract award phases of the procurement, may present a formal protest to OCFS and request administrative relief concerning such action.

##### **1. Submission of Bid or Award Protests**

Formal protests **must** be in writing and received by OCFS within five business days after the protesting party knows or should have known of the facts that constitute the basis of the formal protest.

In addition, formal protests concerning a pending contract award **must** be in writing and received by OCFS within 10 business days from notice of award/non-award or, if a debriefing was requested by the interested party, within five business days from the date the debriefing was held (whichever is later).

Formal protests will not be accepted by OCFS concerning a contract award after the contract between OCFS and the offerer who received the contract award has been approved by the NYS Office of the State Comptroller (OSC).

##### **2. Review and Formal Protest Determination**

- a. Formal protests must be filed with the OCFS deputy commissioner for administration. Any protests filed with the OCFS program division responsible for the procurement will be forwarded to the deputy commissioner for administration. Copies of all formal protests will be provided by the deputy commissioner for administration to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the deputy commissioner for administration.

- b. Formal protests shall be resolved through written correspondence; however, either the protesting party or OCFS may request a meeting to discuss a formal protest. Where further formal resolution is required, the program division responsible for the procurement may designate a state employee not involved in the procurement ("designee") to determine and undertake the initial attempted resolution or settlement of any formal protest.
- c. The OCFS program division responsible for the procurement will conduct a review of the records involved in the formal protest, and provide a memorandum to the deputy commissioner for administration or the deputy commissioner's designee summarizing the facts, an analysis of the substance of the protest, and a preliminary recommendation including: (a) an evaluation of the findings and recommendations, (b) the materials presented by the protesting party and/or any materials required of or submitted by other bidders, (c) the results of any consultation with the OCFS Division of Legal Affairs, and (d) a draft response to the formal protest.
- d. The OCFS deputy commissioner for administration or his or her designee shall hear and make a formal protest determination on all formal protests. A copy of the formal protest determination, stating the reason(s) upon which it is based and informing the protesting party of the right to appeal an unfavorable decision to the OCFS commissioner, shall be sent to the protesting party or its agent within 30 business days of receiving the formal protest, except that upon notice to the protesting party, OCFS may extend such period. The formal protest determination will be recorded and included in the procurement record, or otherwise forwarded to the OSC.

### 3. Appeal of Formal Protest Determination

- a. If the protesting party is not satisfied with the formal protest determination, the protesting party **must** submit a written notice of appeal to OCFS' commissioner no more than 15 business days after the date the formal protest determination is sent to the protesting party.
- b. The commissioner or his or her designee shall review the formal protest documentation and make a decision on all appeals.
- c. An appeal may not introduce new facts unless responding to facts or issues unknown to the protesting party before the formal protest determination.

### 4. Reservation of Rights and Responsibilities of OCFS

- a. OCFS reserves the right to waive or extend the time requirements for protest submissions, decisions and appeals herein prescribed when,

in its sole judgment, circumstances so warrant to serve the best interests of the state.

- b. If OCFS determines that there are compelling circumstances, including the need to proceed immediately with contract award and development of final contracts in the best interests of the state, then these protest procedures may be suspended, and such determination shall be documented in the procurement record.
- c. OCFS will consider all information relevant to the protest, and may, at its discretion, suspend, modify, or cancel the protested procurement action, including solicitation of bids, or withdraw the recommendation of contract award before issuance of a formal protest decision.
- d. Unless a determination is made to suspend, modify or cancel the protested procurement action, or withdraw the recommendation of contract award, OCFS will continue procurement and contract award activity before the formal protest determination. The receipt of a formal protest will not otherwise stop action on the procurement and award of the contract(s) or on development of final contracts.
  - i. The procurement record and awarded contract(s) will be forwarded to OSC, and a notice of the receipt of a formal protest and any appeal will be included in the procurement record. If a formal protest determination, or a decision after appeal, has been reached before transmittal of the procurement record and the contract(s) to OSC, a copy of the formal protest determination or decision after appeal will be included in the procurement record and with the contract(s).
  - ii. If a formal protest determination or decision after appeal is made after the transmittal of the procurement record and contract(s) to OSC, but before OSC approval, a copy of the formal protest determination or decision after appeal will be forwarded to OSC when issued, along with a letter either: a) confirming the original OCFS recommendation for award(s); b) modifying the proposed award recommendation; or c) withdrawing the original award recommendation.
  - iii. All records related to formal protests and appeals shall be retained for at least one year following resolution of the formal protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention.

#### **E. Appeal to the Office of the State Comptroller**

If the protesting party is still not satisfied with the result of its protest after conclusion of the formal protest and appeal procedure described above, the protesting party may file a written appeal with the OSC within ten business

days of the date the protesting party received OCFS's protest determination. An appeal to the OSC's Bureau of contracts must be in writing and must contain the specific factual and/or legal allegations setting forth the basis upon which the protesting party challenges the contract award by OCFS. Such appeal must be filed with the director of the Bureau of contracts at the NYS Office of the State Comptroller, 110 State Street, 11<sup>th</sup> Floor, Albany, NY 12236.

## **7.0 MANDATORY CONTRACTING REQUIREMENTS**

### **7.1 Contract Readiness**

New York State's Prompt contracting laws require all state agencies to complete contract development and the signatory process within statutorily prescribed time frames. Awardees must be available and prepared to respond within the required time frames. If selected, awardees may be required to travel to Rensselaer, New York for contract development and will be expected to cover the costs of that travel. OCFS may rescind the awards of awardees who cannot satisfactorily complete the contracting process in order to commence services by the anticipated contract start date.

### **7.2 Standard contract Language**

The terms and conditions for all funded projects are specified in a detailed contract that must be signed by OCFS and approved by the New York State Office of the Attorney General (OAG) and the OSC before payments may be made. Contractor obligations or expenditures before the contract start date shall not be reimbursed. This RFP includes all relevant contract terms and conditions, which can be found in Section 8: CONTRACT DOCUMENTS. Upon contract award and completion of negotiations, OCFS will send successful awardees the complete contract for development and signature before submitting it to the OAG and to OSC for approval.

### **7.3 Workers' Compensation Insurance and Disability Benefits Coverage**

Sections 57 and 220 of the Workers' Compensation Law (WCL) and section 142 of the State Finance Law require that businesses contracting with New York State have and maintain and provide evidence of appropriate workers' compensation and disability benefits insurance coverage. If an award is made from this RFP, updated proof of coverage must be provided during contract development. Failure to submit the proof will delay the contract development process, and may result in the award being rescinded. Municipalities are not required to show proof of coverage.

**Please note: The ACCORD form is not acceptable proof of Workers' Compensation or Disability Insurance coverage.**



## 1. Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a state contract, or contract renewal, submit appropriate proof of coverage to the state contracting entity issuing the contract. To prove the awardee has appropriate workers' compensation insurance coverage, submit ONE of the following four forms: <http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

- **Form C-105.2** - *Certificate of Workers' Compensation Insurance* issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund<sup>3</sup>; or
- **Form SI-12<sup>4</sup>** - *Certificate of Workers' Compensation Self-Insurance*; or **Form GSI-105.2<sup>5</sup>** *Certificate of Participation in Workers' Compensation Group Self-Insurance*; or
- **CE-200<sup>6</sup>** - *Certificate of Attestation of Exemption* from New York State Workers' Compensation and/or Disability and Paid Family Leave Benefits coverage.

## 2. Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a state contract, or contract renewal, submit appropriate proof of coverage to the state contracting entity issuing the contract. To prove the awardee has appropriate disability benefits insurance coverage, submit ONE of these three forms: <http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

- **Form DB-120.1<sup>3</sup>** - *Certificate of Disability Benefits Insurance*; or
- **Form DB-120.2** – *Certificate of Participation in Disability Benefits Group Insurance*; or
- **Form DB-155<sup>7</sup>** - *Certificate of Disability Benefits Self-Insurance*; or
- **CE-200<sup>6</sup>** - *Certificate of Attestation of Exemption* from New York State Workers' Compensation and/or Disability Benefits Coverage.

## 7.4 Confidentiality and Awardee, contractor, Employee and Volunteer Background Checks

OCFS is responsible for maintaining the safety of the youth served by OCFS programs.

- 7.4.1 Confidentiality** - New York State law requires that any client identifiable information be kept confidential. Any awardee, or contractor, employee or volunteer of the awardee, who will be provided with confidential information of recipients served by the awardee must complete and sign form OCFS-4715, [Confidentiality Non-Disclosure Agreement](#). This form must be completed before the start date of the contract and before any such awardee, contractor, employee or volunteer is permitted access to

youth served by an awardee or to any financial or client identifiable information concerning such youth. For additional information see Attachment A-1, **Section 7 Confidentiality and Protection of Human Subjects**, located at the link to a standard contract listed in section 7.2 above.

**7.4.2 Criminal History Background Checks** - Any awardee, or contractor, employee or volunteer of the awardee, who will have the potential for regular and substantial contact with youth in care or receiving residential services must be subject to background screening before hire or utilization in a position paid through this award. The screening must include a review of individuals' backgrounds through the following three services: New York State Justice Center for the Protection of Persons with Special Needs Staff Exclusion List (SEL), New York Statewide Central Register of Child Abuse and Maltreatment (SCR); and a criminal history background check via a vendor that will submit information to both the division of criminal justice services and the federal bureau of investigation. Additional information regarding all three services will be provided upon the grant of an award. Please note that the grant of an award may be negatively impacted if background checks reveal that an individual proposed to provide services is on the SEL, is the subject of any indicated reports of child abuse and maltreatment, or has convictions for one or more prior criminal offenses. Awardees are responsible for notifying OCFS if a background check reveals that a contractor, employee or volunteer of the awardee proposed to provide services has a criminal history. Any criminal history revealed as a result of such screening will be evaluated by OCFS pursuant to Correction Law Article 23-A, section 752 on a case-by-case basis taking into consideration the duties of the position and those factors set forth in Correction Law Article 23-A, section 753. OCFS will evaluate the results of the screening in accordance with Correction Law Article 23-A and notify the awardee of its determination.

## **7.5 Charities Registration (not-for-profit corporations only)**

Not-for-profit vendors must be registered with the New York State Office of the Attorney General as a charitable organization, and the registration must be up to date at the time of contracting. Vendors must be sure all their documents are up-to-date and comply with the vendor responsibility requirements as outlined below. To determine the status of your charity's registration information, contact: [https://www.charitiesnys.com/RegistrySearch/search\\_charities.jsp](https://www.charitiesnys.com/RegistrySearch/search_charities.jsp)

## **7.6 Federal Requirements (if federally funded)**

See Attachment A-2, *Federal Assurances and Certifications*, which is in the Master contract for Grants and is referenced in **Section 8.0 CONTRACT DOCUMENTS**.

## **7.7 Required Electronic Payments and Substitute Form W-9**

The Governor's Office of Taxpayer Accountability has issued a directive that all state agency and state authority contracts, grants and purchase orders executed after February 28, 2010 shall require vendors, contractors, and grantees to accept electronic payment (e-pay).

As New York State proceeds with implementing the new Statewide Financial System (SFS), the OSC is preparing a centralized vendor file. To assist OSC in this project, vendors are directed to provide a *Substitute Form W-9* which includes the taxpayer identification number, business name, and business contact person. This data is critical to ensure that the vendor file contains the information state agencies need to contract with and pay vendors.

Please note that the contractor payee name and address provided to OSC for the e-pay program must match exactly the contractor's name and address contained in the contractor's contract with OCFS. If these do not match, then a check is printed and mailed to the payee. Note that limited exemptions may be granted for extenuating circumstances.

Vendors should file a *Substitute Form W-9* with their Electronic Payment Authorization form.

Further information concerning these requirements, including forms and contacts for questions, can be found at the following links:

[https://www.osc.state.ny.us/epay/ac3243s\\_fe.pdf](https://www.osc.state.ny.us/epay/ac3243s_fe.pdf)  
<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>  
(Guide to Financial Operations)

## **7.8 Iran Divestment Act**

By submitting a bid in response to this solicitation or by assuming the responsibility of a contract awarded hereunder, bidder/contractor (or any assignee) certifies that it is not on the "Prohibited Entities List," as defined by the *Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012* (the Act), which is posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such contract any subcontractor that is identified on the "Prohibited Entities List." Bidder/contractor is advised that should it seek to renew or extend a contract awarded in response to the solicitation, it must provide the same certification at the time the contract is renewed or extended.

During the term of the contract, should OCFS receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, OCFS will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased engagement in the investment activity that is in violation of the Act within 90 days

after the determination of such violation, then OCFS shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, terminating the contract and/or declaring the contractor in default.

OCFS reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List before the award, assignment, renewal or extension of a contract and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the "Prohibited Entities List" after contract award.

## **7.9 Statewide Financial System**

Recipients of grant awards must also be registered in the New York Statewide Financial System (SFS) Central Vendor Registry File and provide their identification number at the time of contracting. To register and for additional information on the vendor file, visit:

<https://www.osc.state.ny.us/vendors/vendorselfservicesystem.htm>

## **7.10 Minority and Women-Owned Business Enterprises (MWBE) – Equal Employment Opportunity (EEO) - Requirements and Procedures**

**This section outlines contractor requirements and procedures for business participation opportunities for New York State-certified Minority and Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunities (EEO) for minority group members and women. All forms can be found [here](#).**

### **7.10.1 New York State Executive Law (Article 15-A)**

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations OCFS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (MWBE) and the employment of minority group members and women in the performance of OCFS contracts.

### **7.10.2 MWBE Business Participation Opportunities – OCFS Established Goals**

For purposes of this solicitation, OCFS hereby establishes an overall goal of **30** percent for MWBE participation, **15** percent for New York State-certified Minority-Owned Business Enterprise ("MBE") participation and **15** percent for New York State-certified Women-Owned Business Enterprise ("WBE") participation (based on the current availability of MBEs and WBEs). A contractor ("contractor") on any contract resulting from this procurement ("contract") must document its good faith efforts to provide meaningful participation by MWBE as subcontractors and suppliers in the performance of the contract. To that

end, by submitting a response to this RFP, the respondent agrees that OCFS may withhold payment pursuant to any contract awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBE can be viewed at: <https://ny.newnycontracts.com>. For guidance on how OCFS will evaluate a contractor's "good faith efforts," refer to 5 NYCRR § 142.8.

The respondent understands that only sums paid to MWBE for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25% of the total value of the contract.

### **7.10.3 Contract Compliance**

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a contract resulting from this RFP, such finding constitutes a breach of contract and OCFS may withhold payment as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBE had the contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBE for work performed or materials supplied under the contract.

By submitting a bid or proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State contract System (NYSCS), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a respondent may arrange to provide such evidence via a nonelectronic method by contacting OCFS.

Additionally, a respondent will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the contract award and during the term of the contract must be reported on a revised MWBE Utilization Plan and submitted to OCFS for review and approval.

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

- B. If a notice of deficiency is issued, the respondent will be required to respond to it within seven business days of receipt by submitting to the OCFS a written remedy in response to the notice of deficiency to [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov). If the written remedy that is submitted is not timely or is found by OCFS to be inadequate, OCFS shall notify the respondent and direct the respondent to submit, within five business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OCFS may disqualify a respondent as being non-responsive under the following circumstances:

- a) If a respondent fails to submit an MWBE Utilization Plan;
- b) If a respondent fails to submit a written remedy to a notice of deficiency;
- c) If a respondent fails to submit a request for waiver; or
- d) If OCFS determines that the respondent has failed to document good faith efforts.

The successful respondent will be required to attempt to use, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the contract. Requests for a partial or total waiver of established goal requirements made subsequent to contract Award may be made at any time during the term of the contract to OCFS, but must be made no later than before the submission of a request for final payment on the contract.

The successful respondent will be required to submit a quarterly M/WBE contractor Compliance and Payment Report to OCFS, by the 10<sup>th</sup> day following each end of quarter over the term of the contract documenting the progress made toward achievement of the MWBE goals of the contract.

#### **7.10.4 Equal Employment Opportunity (EEO) Requirements**

By submitting a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The respondent is required to ensure that it and any subcontractors awarded a subcontract 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 respondent, undertake or continue programs to ensure that minority

group members and women are afforded equal employment opportunities without discrimination because of race, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the contract; or (ii) employment outside New York State.

The respondent will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, as referenced in **Section 1.6 Submission of Proposals**, to OCFS with its bid or proposal.

If awarded a contract, respondent shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit the same, in a format that OCFS requires on a quarterly basis during the term of the contract.

Pursuant to Executive Order #162, non-grant contractors and subcontractors will also be required to report the gross wages paid to each of their employees for the work performed by such employees on the contract utilizing the Workforce Utilization Report on a quarterly basis.

Further, pursuant to Article 15 of the Executive Law (the Human Rights Law), all other state and federal statutory and constitutional non-discrimination provisions, the contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

**Please note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the contract, leading to the withholding of funds, suspension or termination of the contract or such other actions or enforcement proceedings as allowed by the contract.**

#### **7.11 Service-Disabled Veteran-Owned Business (SDVOB)**

[The Service-Disabled Veteran-Owned Business Act](#), signed into law by Governor Andrew M. Cuomo on May 12, 2014, allows eligible veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB) in order to increase the participation of such businesses in New York State's contracting opportunities. The SDVOB Act, which is codified under Article 17-B of the Executive Law, acknowledges that

SDVOBs strongly contribute to the economies of the state and the nation. Therefore, and consistent with its Master Goal Plan, OCFS strongly encourages vendors who contract with OCFS to consider using certified SDVOBs that are responsible and responsive for at least **six (6) percent** of discretionary non-personnel service spending in the fulfillment of the requirements of their contracts with OCFS. Such partnering may include utilizing certified SDVOBs as subcontractors, suppliers, protégés, or in other supporting roles to the maximum extent practical, and consistent with the legal requirements of the State Finance Law and the Executive Law. Certified SDVOBs may be readily identified through the directory of certified businesses at: [List of Certified NYS Service-Disabled Veteran-Owned Businesses](#).

### **7.12 Omnibus Procurement Act**

The Omnibus Procurement Act of 1992 requires that by signing a bid proposal, contractors certify that whenever the total bid amount is greater than \$1 million

1. The contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors on this project and has retained the documentation of these efforts to be provided upon request to the State of New York; and has
2. documented their efforts to encourage the participation of New York state business enterprises as suppliers and subcontractors by showing that they have done the following:
  - Solicited bids, in a timely and adequate manner, from ESD business enterprises, including certified minority/women-owned businesses; or
  - Contacted ESD to obtain listings of New York State business enterprises and MWBE; or
  - Placed notices for subcontractors and suppliers in newspapers, journals or other trade publications distributed in New York State; or
  - Participated in bidder outreach conferences; and
  - Provided a statement indicating the method by which they determined that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, *if the contractor has determined such*; and
  - Provided a statement verifying no intention of using subcontractors if *the contractor has no such intention*.
3. The contractor has complied with the federal Equal Opportunity Act of 1972 (P.L. 92-961), as amended.
4. The contractor will be required to notify New York State residents of employment opportunities by listing any such positions with the Community Services Division of the New York State Department of Labor, providing for such notification in such manner as is consistent with existing collective



bargaining contracts or agreements. The agency agrees to document these efforts and to provide said documentation to OCFS upon request.

5. Bidders located in a foreign country are notified that the state may assign or otherwise transfer offset credits to third parties located in New York State, and the bidders shall be obligated to cooperate with the state in any and all respects in making such assignment or transfer, including, but not limited to, executing any and all documents deemed by the state to be necessary or desirable to effectuate such assignment or transfer and using their best efforts to obtain the recognition and accession to such assignment or transfer by any applicable foreign government.
6. Bidders are hereby notified that state agencies and authorities are prohibited from entering into contracts with businesses whose principal place of business is located in a “discriminatory jurisdiction.” Discriminatory jurisdiction is defined as a state or political subdivision which employs a preference or price distorting mechanism to the detriment of or otherwise discriminates against a New York State business enterprise in the procurement of commodities and services by the same or a nongovernmental entity influenced by the same. A list of discriminatory jurisdictions is maintained by Commissioner of the New York State Empire State Development Corporation.

### **7.13 Executive Order Number 14 and 16**

Executive Order No. 14, dated February 27, 2022, requires State agencies to terminate any contracts and to refrain from entering into any new contracts with an institution or company that is determined to be a Russian or Russia supporting entity.

Executive Order No. 16, dated March 17, 2022, requires State agencies to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.

Executive Orders 14 and 16 include the following definitions:

- “Russian entity” means an institution or company that is headquartered in Russia or has its principal place of business in Russia.
- “Supporting entity” means any institution or company providing assistance to the Russian government in its campaign to invade the sovereign country of Ukraine, either through in-kind support or for-profit.
- “Entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

By submission of a response to this solicitation the offerer certifies that the Offeror:

- a. is not a Russian or Russia supporting entity, as those terms are defined in the Executive Order No. 14 (dated February 27, 2022).
- b. is not an entity conducting business operations in Russia, as those terms are defined in the Executive Order No. No. 16 (dated March 17, 2022).

#### **7.14 Executive Order Number 175 (if Applicable)**

In accordance with the requirements of Executive Order No. 175, contractor will be expected to adhere to net neutrality principles in the provision of internet services under any contract entered into as a result of this RFP, regardless of delivery method unless the director of contracts, or his/her designee as noted in **Section 1.1 Procurement Contract**, determines that adherence to net neutrality principles for a particular purpose is not in the best interests of the state. Nothing in this provision supersedes any obligation or authorization a provider of broadband Internet access service may have to address the needs of emergency communications or law enforcement, public safety, or national security authorities, consistent with or as permitted by applicable law, or limits the provider's ability to do so. As used herein, "net neutrality" means that contractor will not block, throttle, or prioritize internet content or applications or require that end users pay different or higher rates to access specific types of content or application. For the purposes of this contract, the prohibition against blocking or throttling of internet content or applications does not apply to reasonable network management practices.

#### **7.15 Executive Order Number 177**

Executive Order 177, signed on February 3, 2018, by Governor Andrew M. Cuomo, directs New York State agencies and authorities not to enter into any contracts with entities that have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected basis. The contractor must provide the EO 177 certification statement before any award being made by OCFS.

#### **7.16 State Finance Law §139-I; Statement on Sexual Harassment in Bids**

New York State Finance Law §139-I, effective January 1, 2019, requires, in relevant part, that "[e]very bid . . . made to the state or any public department or agency thereof, where competitive bidding is required by statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, shall contain [a] statement subscribed by the bidder and affirmed by such bidder as true under the penalty of perjury. . . [that] [b]y submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own

organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.” The contractor must provide the foregoing certification before any award being made by OCFS. For additional guidance on drafting an appropriate sexual harassment policy and developing appropriate training please refer to State Finance Law §139-l and <https://www.ny.gov/combating-sexual-harassment-workplace/employers#top>

### **7.17 Other Requirements**

All programs selected for funding will be required to adhere to the Program Specific Terms and Conditions listed in **Attachment A1B**.

## **8.0 CONTRACT DOCUMENTS**

The contract documents consist of the documents listed below.

1. Face Page
2. Signatory Page
3. NYS Standard Terms and Conditions (State of New York Master contract for Grants)
4. Master contract Attachment A-1 *Agency-Specific Terms and Conditions*
5. Master contract Attachment A-2 *Federal Assurances and Certifications*
6. Master contract Attachment B: Budget and Instructions
7. Master contract Attachment C: Work Plan
8. Master contract Attachment D: Payment and Reporting Schedule
9. Master contract Attachment E: Federal Fund Vendor Determination
10. Attachment MWBE: Minority and Women-Owned Business Enterprises

A copy of the NYS Standard Terms and Conditions (State of New York Master contract for Grants) can be found on the Grants Management website at the following link:

<https://grantsmanagement.ny.gov/system/files/documents/2018/09/sample-complete-nys-mcg.pdf>

**Required with bid submission (Please click the links below to download the required forms):**

- A. [OCFS-2633, MacBride Fair Employment Principles Certification Form](#)
- B. [OCFS-2634, Non-Collusive Bidding Certification](#) (Required by section 139d of the State Finance Law)
- C. [Attachment A-2, Federal Assurances and Certifications](#) (If applicable.)
- D. For complete proposal and contract requirements for the Minority-and-Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunity

(EEO) requirements, refer to the [Attachment MWBE](#) that is referenced in section 7.10. The following are forms to be completed and submitted with your Administrative Proposal:

- [OCFS-4629, Project Staffing Plan Form](#)
  - [OCFS-3460, Minority and Women-Owned Business Enterprises \(MWBE\) Equal Employment Opportunity \(EEO\) Policy Statement](#)
  - [OCFS-4631, MWBE Utilization Plan Form](#)
- E. [OCFS-2647, EO 177 Certification](#) (See section 7.15 for more information)
- F. [OCFS-4821, CMS User Authorization](#) (Required for the OCFS contract Management System)

## 9.0 GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

**Fiscal Documentation:** Documentation necessary for payment.

**Grants Gateway:** The New York State Grants Gateway went into operation on May 15, 2013, and serves as the primary outlet for state agencies to post upcoming and available funding opportunities.

**Guide to Financial Operations (GFO):** This website was created as the central storehouse of OSC policies and is intended to replace individual OSC Bulletins. The GFO can be found at <http://www.osc.state.ny.us/agencies/guide/MyWebHelp>.

**Legal Documents:** Legally required application/contract components.

**Organizational Qualifications:** The organizational characteristics and capacity (e.g., agency mission, past accomplishments/experience in serving the target population or in providing similar services to a different population, experience in collaborating with community agencies needed for program success, key people, and fiscal capability) that are likely to result in successful performance target attainment.

**Baseline Estimate:** The projected status of the target population without the proposed intervention. A baseline is the best estimate, using prior program experience, collected data, and/or research results, of what would happen to the target population without the program's intervention and its benefits. Projection should be numerical (a number or a percentage). A baseline estimate is required for each performance target.

**Outcomes:** The desired benefits or changes for the target population following their interaction with a program. These are the expected results of program intervention. Outcomes may relate to knowledge, skills, attitudes, behaviors or conditions. Either the investor or provider may set them. (They are broader, and more general than

performance targets. They do not require numerical projection). In some instances, the outcome may be a system change rather than an individual behavior change.

**Performance Targets:** Performance targets are the *measurable* verifiable improvements in the condition or behavior of program recipients that the provider expects to achieve *by the end of the contract period*. Targets are quantifiable and verifiable indicators of program performance. They contribute to the attainment of the desired outcomes for the target population. Attainment of several performance targets may be needed to indicate the achievement of a single outcome. Performance targets must include a description of the methods that will be used to verify target achievement.

**Milestones:** *Measurable interim* changes in the condition or behavior of the target population used to track whether the program is on course to achieve its performance targets. These are critical points of change or target population achievement that must occur to progress towards the performance targets. You must include a description of the methods that will be used to verify milestone achievement.

**Program Budget:** Definition of program expenditures and funding sources.

**Program Description:** Detailed explanation of the means (service model, plan or approach) the provider will use to achieve its performance targets and outcomes. This should include a description of the program's core features (i.e., the kinds of services provided, their intensity and duration, the essential elements, theoretical approach, delivery strategies, involvement of target population in planning, etc.).

**Project Work Plan:** Steps necessary to implement a program.

**Staffing Pattern:** Please identify the staff assigned to a program, regardless of whether it is paid through OCFS funds.

**Target Population:** Please describe the specific group of people (individuals, families, community members or, in certain instances, the specified personnel or entity/entities) that are the focus of change, and who will directly interact with the program. In certain instances where the desired outcome is systemic change, an agency as a whole may be considered the target population.

**Verification:** Statement of methods used to verify performance target and milestone attainment and/or submission of actual documentation.

**Vendor Responsibility:** Compliance with New York State Finance Law and guideline provisions related to vendor integrity providing reasonable assurance that the potential contractor has the capacity to perform the requirement of the contract. This includes authority to do business in the state, capacity, and performance in addition to the aforementioned integrity.

**Vision:** OCFS Program Area Statement of ideal end-state sought for a population (e.g., prevention of child abuse and neglect).

## 10.0 PROGRAM-SPECIFIC REQUIREMENTS AND FORMS

The following attachments can be found in the “Pre-Submission Uploads” section of the RFP in the Grants Gateway System. Please download them from that location, complete them, and attach them back to that section so that they will be submitted with your application:

**Attachment 1 – Budget Template\***

Attachment 2 – Workplan Template

Attachment 3 – HFNY Performance Targets

Attachment 4 – HFNY Performance Indicators

Attachment 5 – List of Priority Counties

Attachment 6 – Affirmation of Support Form: LHD and Community Partners

**Attachment 7 – Commitment Form: Local Department of Social Services\***

Attachment 8 – Healthy Families Child Welfare Protocols

Attachment 9 – Healthy Families America Best Practice Standards

Attachment 10 – New York State Medicaid Births by County

Attachment 11 – Guidance to Determine the Number of Families to be Served

Attachment 12 – Counties for Targeted HFNY RFP

Attachment A1-B – Program Specific Terms and Conditions

\* Attachments marked with an asterisk are required to be completed and provided with your proposal.