



**Office of Children
and Family Services**

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Governor

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Acting Commissioner

**New York State
Office of Children and Family Services
Division of Child Welfare and Community Services**

Grant Procurement

REQUEST FOR PROPOSALS

**RFP # 2018-04
Grants Gateway # CFS01-PPP-2018**

Public Private Partnership

**Issued: 9/12/2018
Amended: 9/20/2018 and 10/12/2018**

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1.0 GENERAL INFORMATION/CALENDAR OF EVENTS (Amended 9/20/2018)

This funding opportunity is designed to increase services for at-risk children, youth and families to prevent involvement with the child welfare or juvenile justice systems through the establishment of Public Private Partnerships (PPP) programs. **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 prior to 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, RFP Unit, or designee(s) at OCFS, via email (preferred) to RFP@ocfs.ny.gov or via hard copy mailed to:

Director of Contracts
RFP# 2018-04 Public Private Partnership
Office of Children and Family Services
52 Washington Street
Room 202S – RFP Unit
Rensselaer, NY 12144

1.2 Calendar of Events

RFP# 2018-04 Public Private Partnership	
EVENT	DATE
Issuance of Request for Proposals	9/12/2018
Informational Meeting/Technical Assistance Sessions/Bidders Conference (<i>optional</i>)	Not Applicable
Deadline for Submission of Written Questions	9/28/2018 by 5.00 p.m. Eastern Time
Responses to Written Questions Posted in the Grants Gateway (<i>on or about</i>)	10/10/2018
Recommended Deadline to Prequalify in the Grants Gateway	10/10/2018
Deadline for Submission of Proposals	10/26/2018 by 4:00 p.m. Eastern Time
Interviews/Site Visits, (<i>optional</i>) (not earlier than the week of)	Not Applicable
Anticipated Notification of Award (not earlier than)	12/1/2018
Anticipated Contract Start Date (not earlier than)	3/1/2019

1.3 Informational Meeting/Technical Assistance Session

Not Applicable.

1.4 Submission of Written Questions

All communications to report errors or omissions in the procurement process or 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) 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 System (<https://grantsgateway.ny.gov>) (GGG or Grants Gateway), on the OCFS Website (<http://ocfs.ny.gov/main/bcm/rfp.asp>), and the Contract Reporter website at (<https://www.nyscr.ny.gov/login.cfm>) on 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 Grants 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. Prior to submitting a proposal, bidders must pre-qualify in the Grants Gateway System. (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](#)
- 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. For complete proposal and contract requirements for the New York State Service-Disabled Veteran-Owned Business (SDVOB) Act, please refer to section 7.11 and complete the following attachment: [Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance](#)
- F. [OCFS-2647, EO 177 Certification](#) (See section 7.15 for more information.)

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 prior to 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 prior to 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) prior to 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 timeframes 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; and
 30. make adjustments to the funding amount requested based on program need and based on the total dollar value of the applications submitted.

Prior to 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 RFP 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

The New York State Office of Children and Family Services (OCFS) is pleased to announce this funding opportunity designed to increase services for at-risk children, youth and families to prevent involvement with the child welfare or juvenile justice systems through the establishment of Public Private Partnerships (PPP) programs. These programs are intended to target at-risk infant, children, youth and families in high need areas in New York State. For purposes of this RFP, high need areas are defined as those

with high rates of child abuse and maltreatment, as well as high admission rates for foster care and detention. Applicants are required to leverage private funds as a cash contribution to support the state funds being made available through this competitive Request for Proposals (RFP).

This RFP addresses the operating principles and OCFS' commitment to promoting services that are developmentally appropriate, family-centered, and responsive to local needs, community-based, culturally and linguistically competent and demonstrates effectiveness in achieving desired outcomes. These funds are specifically designed to reach at-risk children, youth and families.

Research shows that:

- Child abuse is one of the most significant factors affecting rates of juvenile delinquency, substance abuse, foster care and teen pregnancy.
- Children under three are most likely to be victims of child abuse and involved in the child welfare system;
- Occurrences of trauma range from 25 percent in the general population of children to 90 percent for children in specific child serving systems such as child welfare;
- The majority of youth involved with the juvenile justice system have experienced traumatic events, with at least 75 percent having experienced traumatic victimization;
- Where domestic violence exists in a family, there is a high probability that child abuse or neglect is co-occurring;
- Witnessing domestic violence can have significant effects on the child;
- Delinquency prevention programs are a good financial investment preventing the onset of adult criminal careers, reducing the likelihood of youth becoming serious and violent offenders;
- Evidence-based and/or evidence informed delinquency prevention programs can save taxpayers seven to ten dollars for every dollar invested, primarily due to reductions in the amount spent on incarceration;
- Poverty is a significant factor influencing early learning skills, behaviors and health of children;
- Experiences beginning prenatally through the early childhood years' impact lifelong social, emotional and behavior outcomes; and
- Early intervention and education programs aimed at the educational, mental health and physical well-being of children and youth at the highest risks for child abuse/maltreatment can significantly impact outcomes for this vulnerable population.

Too many high-risk children and families enter and stay in the child welfare and juvenile justice systems; alternative services which are less costly and less intrusive may prevent placements and improve stability.

Through this RFP, OCFS is seeking proposals under one or more of the following categories:

- Start-up and/or expansion of evidence-based/evidence informed programs to successfully support children, youth and families who are at risk of entering the child welfare or juvenile justice systems.

- Start-up and/or expansion of Parent-Child Home and Parents as Teachers home visiting programs.
- Start-up and/or expansion of Restorative Justice programs in high need schools, which would include Special Act School Districts and 853 schools. Special Act School Districts were created by a special action of the Legislature and are considered public schools. These schools provide educational services to students who reside in child care institutions. NYS approved 853 schools were created pursuant to Chapter 853 of the Laws of 1976. These schools are operated by private agencies and provide day and/or residential programs that primarily serve students in the foster care, juvenile justice and special education systems. Special Act Schools Districts and 853 schools serving students in the foster care and juvenile justice systems are eligible for this funding opportunity.

Funded grantees will be required to:

- Collaborate with other key community cross-sector initiatives or projects with common target areas and goals identified by OCFS during the grant period, and
- Participate in data-sharing as part of cross sector collaboration, in compliance with all relevant rules and regulations.

OCFS has developed a **Child Welfare Practice Model** which aligns our work toward the achievement of specific outcomes. The model is a guide for OCFS' response to the growing need to improve safety, permanency and well-being outcomes for children and families. It is not intended to be all inclusive. OCFS' child welfare vision is that children, families and adults are protected and supported to achieve safety, permanency and well-being. To achieve OCFS' vision, OCFS has identified practices and strategies which are intended to improve outcomes for children and families in New York State. Evidence-based prevention programs targeted to at risk children, youth and families have been identified as a key child welfare strategy, which has significant and positive effects on a range of outcomes for children and families. Please note that the child welfare practice model is a guide and not all inclusive of the programs eligible for funding under this procurement opportunity.

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 re-entering 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.

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 (Amended 9/20/2018 and 10/12/2018)

OCFS is seeking proposals for programs that:

- Promote positive parenting and parent-child bonding,
- Support optimal child health and development,
- Prevent child abuse/maltreatment,
- Improve outcomes for high need at risk children and families,
- Foster healthy relationships and promote positive discipline in schools, and
- Improve educational and social outcomes for foster care and juvenile justice youth.

Through this RFP, applicants may apply for funding to start a new program and/or expand/enhance an existing program in one or more of the following four categories:

1. Start up or expansion of evidence based/evidence informed programs which successfully support high need at risk children, youth and families, including those at risk of entering the child welfare system or juvenile justice system due to substance abuse, mental health and/or domestic violence.
2. Start-up and/or expansion of Parent Child Home programs
3. Start-up and/or expansion of Parents as Teachers home visiting programs
4. Start-up and/or expansion of Restorative Justice practices in high need schools to reduce suspensions and expulsions, and increase attendance

OCFS anticipates that a total of \$3.4 million in SFY 2018-19 will be available in state funding for this initiative. State funding for the program is limited to not more than 65% of eligible program expenditures, with the remaining 35% of program expenditures to be supported with private funds. **Applicants will be required to demonstrate a 35% private funds ~~cash~~ contribution, from a private funding source, to support the total program budget. The private funds contribution may only be used for costs directly related to the program expenditures.** The initial maximum state award amount for this program is \$500,000 for any one proposal. OCFS reserves the right to adjust the funding allocations based on program need and based on the total dollar value of the proposals submitted.

A single applicant seeking a state award of \$100,000 will require \$53,846 in **private** cash funds to support total project expenditures of \$153,846.

$$\frac{\$100,000.00}{.65} = \$153,846.00$$

\$153,846.00 (total project expenditures = State contract award + 35% private cash funds to support eligible program expenditures)

-\$100,000.00 (State contract award)

\$53,846.00 (private cash funds)

An applicant seeking a state award of \$500,000 will require \$269,230 in private cash funds to support eligible program expenditures of \$769,230.

$$\frac{\$500,000.00}{.65} = \$769,230.00$$

\$769,230.00 (total project expenditures = State contract award + 35% private cash funds to support eligible program expenditures)

-\$500,000.00 (state contract award)

\$269,230.00 (private cash funds)

The Private Cash Funds amount will be calculated based on the amount of the State award the applicant is seeking using the formula illustrated above (State Award/.65=Gross Contract Value minus State Award equals Private Cash Funds amount required by Applicant.

All of the private funds must be **cash** from a non-governmental source. Applicants will be required to submit documentation from the private funding source including timeframes, restrictions and any guidelines associated with the **private funds cash** contribution. The source of the non-governmental private **funds cash** contribution is at the discretion of the applicant. Applicants can use their own cash or cash reserves to meet the **private funds cash** contribution, unless the source of the cash or reserves is government funding. In-kind contributions are not considered cash and therefore, will not be counted toward the contribution.

At the time of submission, each application must provide documentation of the existence of the requisite **private funds cash** contribution from a private funding source **for the period of March 1, 2019 to November 30, 2019**. Future funds cannot be counted; only funds which are currently available. **Documentation of the private funds contribution for each remaining period of the contract term will be required from awardees no later than six months prior to the start of each contract period.**

OCFS reserves the right to award additional funds, up to the \$500,000 maximum award, to successful applicants if the amount of funding requested from all successful applicants is less than the total funding available. Any additional funds will be granted equitably to all successful applicants, based on mutual agreement between OCFS and the applicant.

Additional information regarding the availability of additional funds can be found in **Section 5.0 Proposal Content and Submission**.

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 contracts awarded in response to this RFP will be for four (4) years and nine (9) months with an anticipated start date of March 1, 2019, and end date of November 30, 2023. Funding is currently anticipated to be available for the first year of the contract, and the award of a multi-year contract does not guarantee that funding will be available for subsequent years. Funding will be contingent upon continued availability of funds and satisfactory contractor performance. 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.

3.0 MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS

3.1 Minimum Qualifications (Amended 9/20/2018 and 10/12/2018)

- Eligible applicants are community-based not-for-profit organizations, faith-based organizations, public agencies, school districts, 853 and Special Act schools, and municipalities. Proposals must include verification of the required private **funds cash** contribution. Public Agencies, for the purpose of this RFP, shall mean a local office, board, or other instrumentality of local government or public or private educational institutions. Except as stated above, for-profit and state agencies are not eligible.
- All applicants, except for those applying for Restorative Justice programs in high need schools, *must* submit a Social Services District (SSD) attestation letter from the local department of social services (LDSS) from each county proposed to be served.
- **All eligible non-school applicants applying for Restorative Justice programs as described in Section 4.1.D. must submit a letter of agreement signed by the applicant and the school Superintendent (or individual authorized to bind the eligible school to a contract) for the eligible school the applicant proposes to serve. The letter should include the name of the school, type of school, a statement that the school agrees to the applicant serving the school, and must lay out the obligations of the school and the applicant in the performance of the program.**
- **All eligible school applicants applying for Restorative Justice programs as described in Section 4.1.D. must submit a letter identifying the organizations the school will partner with.**

The SSD attestation letter *must* include the following:

- A signature from the LDSS Commissioner and/or designee
 - Verification that the LDSS received a copy of the proposal and that it is aligned with county needs and priorities
- The applicant must provide documentation of the required 35% **private funds cash** contribution as dictated by **section 2.3** of this RFP. This contribution is a cash contribution from a private funding source to support the total program budget. **They must be private funds from a non-governmental source.** Applicants can use their own cash or cash reserves to meet the **private funds cash** contribution, unless the source of the cash or reserves was government funding. Specifics of the **private funds cash** contribution documentation are as follows:
 - The documentation must be in the form of a letter or agreement.
 - The documentation must be signed and dated by the entity providing the source of funding.

Please Note: Any/all timeframes, restrictions, commitments, guidelines and other agreements attached to the funds *must be included* in the documentation.

- Applicants must be prequalified, if not exempt, in the NYS Grants Gateway by the application deadline.
- ~~OCFS will only contract with organizations whose governing board (board of directors) includes a minimum of three (3) members. The applicant must attach minutes and attendance records from the last three board meetings.~~

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 (GGS) and complete the Vendor Prequalification process in order for proposals to be evaluated. Not-for-profit organizations will only have to prequalify once every three years, with the responsibility to keep their information current throughout the three-year period.

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 Grants Gateway, but must register in order to submit an application.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. [The Vendor Prequalification Manual](#) on the [Grants Reform 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 Reform website, download a copy of [the Registration Form for Administrator](#). 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. 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.

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, and Federal EIN or SFS Vendor ID. It is advised that you submit this request prior to, or as soon as possible after, 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 has questions or requests modifications, you will receive email notification from the GGS.
- Once your prequalification application has been approved, you will receive a GGS notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin this process as soon as possible and at the latest by the date specified in Section 1.2 Calendar of Events to participate in this opportunity.

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 prior to awarding that bidder a state contract. Vendor responsibility will be determined based on the information provided by the bidder, on-line, 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 such 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 [On-line 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 hardcopy 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.

Prior to 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 assignment of a Vendor Identification Number or for direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at 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 re-enter 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 On-Line 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 GGS. 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 designed to increase impactful services for at-risk children, youth and families to prevent involvement in the child welfare or juvenile justice systems. Applicants may apply to start a new program and/or expand or enhance a program which currently supports the target population. Examples of expansion projects include serving more families than the program is currently serving, expanding the target area of the current program and/or adding a new service to an existing program. OCFS seeks to support programs that are outcome focused/permanency driven, valuable to families and aligned with state and local priorities/strategies.

OCFS is interested in investing in evidence-based and evidence-informed programs that are expected to meet the following desired program outcomes:

- Children and youth are safely maintained in their homes, where possible.
- Through effective intervention, parents, caregivers, and families improve their ability to develop and maintain a safe, stable environment for themselves and their children.
- Families have enhanced capacity to provide for their children and youth and receive appropriate services to meet their education, physical, social/emotional development, and mental health needs.
- Youth are more self-sufficient and have better educational, social and behavior outcomes; and youth feel safer in school through programs targeted at reducing student conflicts, preventing bullying and strengthening campus communities.

A. Evidence-Based/Evidence-Informed Models to Successfully Support at Risk Children, Youth and Families:

According to the Centers for Disease Control, a family’s risk factors for perpetrating abuse and neglect include the following:

- A lack of understanding of a child’s needs, child development and parenting skills
- Parents’ history of child maltreatment
- Substance abuse and/or mental health issues in the family
- Parental characteristics such as young age, low income, single parenthood and low education

Research has shown that there are protective factors needed within the family dynamics which help reduce the likelihood for child abuse and neglect and mitigate some of the negative outcomes when a parent has one of the above abuse and neglect risk factors.

These protective factors include the following:

- Parental Resilience
- Social Connections

- Concrete Support in Times of Need
- Knowledge of Parenting and Child Development
- Social and Emotional Competence of Children

In addition, for children and youth, there are specific risk factors for delinquency which include the following:

- Poor parenting practices
- Maltreatment and abuse
- Poverty
- Exposure to repeated family violence
- Gang involvement
- Poor academic performance
- Low educational aspirations

Protective factors for children and youth to prevent delinquency include the following:

- The presence of a positive adult to mentor and be supportive
- Engaging in healthy and safe activities with peers during leisure time
- Enrollment in schools that address not only the academic needs of youth but social and emotional needs
- Schools that provide a safe environment

Peer support groups can be a great outlet for families in need. Family peer support reduces isolation through mutual understanding and provides opportunities for shared problem solving. Voluntary gatherings of people that meet every week or month to share their experiences with similar challenges can help improve with coping, self-efficacy and social support. Similarly, peer-to-peer support for youth is important and has many benefits, including helping at risk youth feel more positive about themselves. Because youth are more likely to open up to peers rather than adults, peer-to-peer support is an important component of helping at risk youth lead healthy and productive lives. For purposes of this RFP, evidence-based and evidence-informed programs are sought which can focus upon goals related to these protective factors including enhancing family self-sufficiency, encouraging positive parenting behaviors, and preventing child abuse and neglect. Where possible, programs should have a trauma informed approach designed to help at risk families better understand the impact of trauma and how to mitigate its effect. The programs should recognize the importance of the inclusion, where possible, of community stakeholders.

Services eligible for funding under this RFP include, but are not limited to, the following:

- Services to help maintain improved child health and social outcomes for families formerly enrolled in the Healthy Families NY home visiting program
- Supportive services to families at risk of entering the child welfare system due to a substance abuse and/or a mental health disorder
- Supportive services to domestic violence survivors and their children
- Support services to families with young children who may be isolated, may have experienced trauma, and may be at risk of child abuse or maltreatment
- Family peer support services for families who are at risk or who have been involved with the child welfare system (Please click on this [link](#) for more information.)
- Education, community service, and employment opportunities for youth involved in or at high risk of involvement in the juvenile justice system

- Skills training and community services opportunities to low achieving schools or at-risk students
- Volunteering and leadership development opportunities for at risk youth, including youth peer-to-peer support

Please click on this link for more information on evidence-based practices for children and families involved with the child welfare system ([California Children's Clearinghouse](#)).

Intended Outcomes:

- Prevent child abuse and maltreatment.
- Improve outcomes for families that endure trauma and chronic stress due to a variety of factors including, but not limited to, substance abuse, domestic violence and mental health disorders.
- Improve child health, development, educational and social outcomes.

Sample Performance Targets:

Performance targets help to track progress towards outcomes. Applicants are required to submit at least two performance targets for the project period. One of the targets must address program implementation and one much address anticipated impacts on the target population. Grantees will be reporting progress against each of the targets on a quarterly basis. Sample performance targets include the following:

- The program will demonstrate a strengthening of protective factors for enrolled youth and/or families as evidenced by an improvement of ___% or greater on at least two subscales of the Protective Factors Instrument (**Attachment 2**) when comparing pre- and post- aggregate scores.
- Of the ___ (#) individuals who participate in the program, ___ (#) (___%) will demonstrate a reduction in trauma symptoms as evidenced by their scores on the Trauma Symptom checklist or other OCFS-approved tool.
- Of the ___ (#) of children receiving program services, ___ (#) (___%) will be on track with developmental milestones, as measured by a validated developmental screen, or will be participating in appropriate developmental support services.

B. Parent-Child Home Program:

The Parent-Child Home Program (PCHP) provides intensive home visiting services to low-income families to provide these families with the knowledge, skills and tools to build school readiness in their homes before their children enter school.

PCHP supports positive parenting practices and helps parents learn how to stimulate their child’s cognitive development. PCHP focuses on increasing parent-child verbal and non-verbal interaction and building positive parenting skills to promote children’s conceptual and social-emotional development, including the development of critical early literacy skills, such as receptive and non-receptive language. The program targets families with two-and three-year old’s who face multiple obstacles including living in poverty, low parental education level, being a single or teenage parent, experiencing illiteracy, homelessness and having language barriers. Families receive home visits twice a week over a two-year period.

PCHP Family Child Care (PCHP/FCC) model, adapted from PCHP's evidence-based one-on-one home visiting model, extends similar supports to the diverse array of family child care settings operating in under-resourced communities. The program focuses on developing quality family child care settings by working with providers to build on the strengths of home-based care. The model serves both licensed providers and Family, Friend, and Neighbor (FFN) providers, who are either unlicensed or legally exempt.

These providers serve significant numbers of children receiving subsidies.

Intended Outcomes

- Promote positive parent-child interaction
- Improve children's social, emotional and cognitive development
- Improve language and literacy skills and school readiness

Performance Targets Required for PCH:

- Of the ____ (#) parents/caregivers participating in services, ____% will show improvement of one full point or have a score of 3 or 4 on the Parent and Child Together (PACT) assessment (**Attachment 1**), demonstrating improved knowledge of child development and increased use of positive parenting techniques.
- Of the ____ (#) children participating in services, ____ (#) (____%) of children will show improvement of one full point on the Child Behavior Traits (CBT) Assessment or have a score of 3 or 4, demonstrating improved social and emotional development.
- The program will demonstrate a strengthening of protective factors for enrolled families as evidenced by an improvement of ____% or greater on at least two subscales of the Protective Factors Instrument when comparing pre- and post-aggregate scores.
- Of the ____ (#) children participating in Program Year II, ____ (#) (____%) will be ready to learn and succeed in school at the conclusion of their second program year.

C. Parents as Teachers Program:

Parents as Teachers (PAT) home visiting program is an early childhood parent education, family support and school readiness home visiting model. Eligible families include pregnant mothers or parent of a child five years old or younger in possible high-risk environments (teen parents, low income, parental low educational attainment, single-parent household, etc.). PAT involves the training and certification of parent educators who work with families using a comprehensive curriculum. Parent educators work with parents to strengthen protective factors.

The components of PAT include the following:

- Home Visits - 60 minutes of home visits are delivered either weekly, every two weeks, or monthly, depending on the needs of the families. Parent educators share research-based information and use evidence-based practices by partnering, facilitating and reflecting with families. Parent educators must use PAT curriculum to deliver services that emphasize parent-child interaction, development-centered parenting, and family well-being.

- Screenings - Annual child health, hearing, vision, and developmental screenings, beginning at 90 days of enrollment, are a component of the program.
- Group Connections - having parents make group connections, including participation in family activities, community events and community cafes every month or more frequently.

Intended Outcomes

- Strengthen families by building protective factors that help families deal more effectively with stressful events reducing the risk of abuse and maltreatment.
- Increase parent knowledge of early childhood development and improve parenting practices.
- Provide early detection of developmental delays and health issues.
- Increase children's school readiness and school success.

Sample Performance Targets:

Performance targets help to track progress towards outcomes. Applicants are required to submit at least two performance targets for the project period. One of the targets must address program implementation and one must address anticipated impacts on the target population. Grantees will be reporting progress against each of the targets on a quarterly basis. Sample performance targets for PAT include the following:

- The program will demonstrate a strengthening of protective factors for enrolled families as evidenced by an improvement of ___% or greater on at least two subscales of the Protective Factors Instrument when comparing pre-and post-aggregate scores.
- Participants will improve parenting knowledge and skills and demonstrate increased positive parenting practices as measured by a validated pre/post assessment tool.
- For all participating or target children, the program will complete with families a developmental screening such as the *Ages and Stages* questionnaire, within 60 days of enrollment in the program.
- Program will make referrals for additional assessments and services within 30 days for all children scoring in a range of concern on any domain of the screening tool.

D. Restorative Justice in Schools

According to data from the U.S. Department of Education, of the 49 million students enrolled in public schools in 2011-12:

- 3.5 million students were suspended in-school,
- 3.45 million students were suspended out-of-school, and
- 130,000 students were expelled.

In addition, students of color and students with disabilities are disproportionately impacted. According to the Civil Rights Data Collection, students of color are expelled three times more often than white students, while students with disabilities are twice as likely to receive an out-of-school suspension as their non-disabled peers.

Restorative Justice is an approach to problem solving that is based around three basic concepts:

- When wrongdoing occurs, the focus is on the harm and repairing that harm.
- The best way to determine how to focus on the harm and repairing that harm is to have the parties decide together.
- The healing process, repairing the harm and putting things right involve the efforts of the wrongdoers, the victims and the community.

Restorative justice empowers students to resolve conflicts on their own and in small groups. The idea is to bring students together in peer-mediated small groups to talk, ask questions and air their grievances. This is a growing practice at schools around the country. While the programs may vary by school district, the common elements are bringing the affected groups together, making amends and reintegrating students into the classroom community.

Eligible schools, for purposes of this RFP, are high need schools in New York State. High need schools are likely to serve a high proportion of minority or low-income students, have poor student achievement, and often lower graduation rates. These schools are in core urban areas and rural neighborhoods as well. Many teachers in these schools have temporary or emergency certification, teach in fields for which they lack strong subject-matter preparation, or are in their first year or two of their teaching careers. These schools have a difficult time attracting teachers for more than a few years. These schools also have difficulty attracting and retaining capable and experienced principals and other leaders. For the purpose of this RFP, 853 schools on the grounds of foster care agencies licensed by OCFS to provide residential care services to youth placed in foster care are eligible to apply. In addition, Special Act School Districts serving foster care youth and youth involved in the juvenile justice system are also eligible.

Outcomes

- Reduction in suspension/expulsion rates
- Reduction in use of law enforcement and arrests
- Increase in attendance rates
- Improved school climate

Sample Performance Targets

Performance targets help to track progress towards outcomes. Applicants are required to submit at least two performance targets for the project period. One of the targets must address program implementation and one must address anticipated impacts on the target population. Grantees will be reporting progress against each of the targets on a quarterly basis. Sample performance targets for Restorative Justice Programs include the following:

- Schools participating in this program will show a decrease of at least ___% in the number of suspensions within each school when compared with pre-program levels.
- Schools participating in this program will show a decrease of at least ___% in the number of expulsions within each school when compared with pre-program levels.
- Schools participating in this program will show a significant decrease of the use of law enforcement and arrests from the previous school year.
- Schools participating in this program will show a significant increase in attendance rates within each school when compared with pre-program levels.

Standards of Quality for Family Strengthening and Support

OCFS has implemented the Standards of Quality for Family Strengthening and Support for prevention programs funded by the NYS Children and Family Trust Fund and Public Private Partnerships. The Standards of Quality provide the framework used to plan, provide, and assess quality practice and integrate the Principles of Family Support Practice as well as the researched-based, evidence-informed Protective Factors Framework.

The Standards are organized into five areas of practice:

- Family Centeredness
- Family Strengthening
- Embracing Diversity
- Community Building
- Evaluation

Funded programs will be required to send key program staff as determined by the funded program and OCFS program manager for certification training and complete an annual Program Self-Assessment. Programs submitting proposals to provide support and services to families should include the costs of travel to Albany to attend this training in the proposed budget. When appropriate, a plan will be developed to improve quality of services to families. Additional information regarding the Standards of Quality is available at <https://www.nationalfamilysupportnetwork.org/standards-of-quality>.

Funded programs will be required to enter program data into the appropriate OCFS database. Data requirements may differ, depending on the program model funded. Programs delivering services directly to families and children will be required to enter individual level participant demographics, details of services provided, and pre- and post-survey results from the Protective Factors Instrument (PFI) (**Attachment 2**) into the OCFS Prevention Database.

The PFI is intended to measure protective factors in five areas that research has shown to be critical to building strong families: family functioning/resiliency, social support, concrete support, nurturing and attachment, and knowledge of parenting/child development. The survey results are designed to provide a snapshot of the families served; highlight areas where workers and programs can focus on increasing family protective factors; and to measure changes in protective factors for families who have engaged in programming. This information is imperative in measuring the impact of the services delivered to families.

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 (Amended 9/20/2018)

The Technical Proposal/Work Plan consists of the following six sections:

1. Community
2. Target Population
3. Objectives, Tasks and Performance Measures
4. Proposed Project Description
5. Project Staff
6. Organization

Proposals will be rated based on your organization's responses to the above six sections.

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.

Prior to entering their responses to the application in the GGS, applicants should create a word document from the Work Plan Template available in GGS 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.

All proposals submitted should provide evidence that there is strong community support for the program, and there is a detailed plan for creating fund-raising capabilities necessary to maintain the program beyond the grant period. Developing a plan for

ongoing funding usually involves combining community support from individuals, private foundations, and public resources.

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 (0-15 Points)

- The applicant demonstrates strong community linkages and referral sources that are reliable and valuable.
- The proposal should document the commitment from required partners (for example, local social services department, school, etc.).
- The proposal describes commitments, restrictions, guidelines and role of private funding partner(s). Where applicable, SSD Attestation form demonstrates an alignment with social service district strategies.
- The proposal should demonstrate an understanding of racial equity/disproportionality issues and approaches for addressing, when applicable other indicators of need for services in this community.
- The proposal should demonstrate a clear understanding of community characteristics.
- The proposal clearly defines the number of persons to be served and is justifiable based on community demographics and resources.

B. Target Population(s) (0-20 Points)

- The proposal clearly describes each geographic region to be served including geographic boundaries.
- The proposal should demonstrate how the services are strategically located to promote access in high need areas.
- The proposal should present a clear understanding of the needs and/or problems of the target population that the program seeks to address.
- The proposal should include a description of the target population to be served, including its characteristics, strengths and needs.
- The proposal should include a justification as to why the client group is targeted to receive services.
- The proposal should describe the number of persons to be served and how the proposer arrived at that number.

C. Objectives, Tasks and Performance Measures (0-10 Points)

- This section should include specific outreach and engagement strategies that will be used to achieve the performance targets (see **Section 4.0 Program Requirements** from this RFP). Performance targets are measurable, meaningful, realistic, ambitious and achievable given resources available.

- The proposal should demonstrate progress in program implementation and impact on the target population by using relevant outcomes and performance measures.
- The proposal should demonstrate that the verification methods are realistic, reliable and minimally include pre- and post-intervention measures using research-based evaluation tools as applicable.

The Performance Measures as stated herein are for evaluation purposes only. OCFS may add more Performance Measures prior to program implementation to further refine performance objectives of successful programs.

D. Proposed Project Description (0-25 Points)

- The program should be consistent with one of the eligible programs outlined in **Section 4.0 Program Requirements**.
- The proposal should demonstrate that there is a clear/comprehensive program description, addressing all recommended/required elements; and verification that the program is evidence based or evidence informed.
- The proposal's plan should be realistic and demonstrate how it will be implemented in a timely manner. If this is a new program, the proposal demonstrates that there will be minimal start-up time.
- The proposal should clearly explain program status and if not a new program, should provide documentation demonstrating that the program has had positive impacts on its target population.
- The proposal's plan should include outreach and intervention strategies and demonstrate how these strategies will attract, engage and retain the target population.
- The proposal should describe how the services are responsive to the cultural and linguistic needs of the community served.
- The proposal should reflect stakeholder input and community need.
- The proposal should demonstrate evidence of strong community support and a plan for sustainability.

E. Project Staff (0-5 Points)

- The proposal should describe staff qualifications, staffing patterns and responsibilities, training and supervision should be clearly described and should demonstrate the capacity to implement and operate the program successfully.
- The proposal should identify the key staff responsible for the development and implementation of the program.
- The proposal should identify staff already hired and should identify positions which require hiring. The proposal should provide an explanation as to the percentage of time that each position is fully allocated to the project.
- The proposal should demonstrate how staffing is representative of the language(s) and culture(s) of the community to be served. There should be realistic activities included in the proposal to instill cultural responsiveness.

F. Organization (0-10 Points)

- Proposal should demonstrate that it can attract and retain qualified staff that represents the culture and language of the community served.
- Proposer should describe its experience garnering support of the community and prior successful experiences with target population.
- Proposer should demonstrate that it has the resources, experience and capacity to achieve intended outcomes.
- The proposal should describe how the Proposer's Management and/or **governing body/board of directors (as applicable)** will contribute in a meaningful way to the success and sustainability of the program.
- If an OCFS grant recipient in the last five years, the proposal should demonstrate positive contracting management experience and impact on client outcomes.

- The proposal must include a current organization chart that depicts the entire organization structure and indicates where the organization head or the chief administrative officer and the contract developers, contract signatories and claim signatories appear in relation to the **governing body/board of directors (as applicable)** and the organization as a whole.

5.2 Proposed Budget (Amended 9/20/2018)

In order to complete the budget in the GGS, 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.

In addition to completing the attached budget forms and budget narrative, applicants must respond to the items below. 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 (refer to budget instructions).

The budget should demonstrate a clear relationship between funds requested and the program activities and performance targets/outcomes. The amount of funds being provided as the match should be clearly described, including the source of the private funds and any timeframes or other related information accompanying the match (attach documentation verifying the details). Funds requested must be within RFP guidelines and are sufficient to comply with RFP requirements. Expenses must be realistic, reasonable, necessary, allowable and justified based on an annual program plan. Per participant costs must be reasonable (given resources, numbers to be served and performance measures).

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. The detail requested is essential to expedite the contract process. Accuracy and completeness are critical.

Ensure the following:

- The cost of items is described in the budget narrative and for every line item of expense, the specific calculations for determining the total cost of each item is included in the narrative.
- All items covered by OCFS funds are directly related to the provision of services indicated in the proposal.
- All expenses are incurred *within* the contract period.
- All shared costs are prorated and the basis of the proration explained.
- Reimbursement for travel, lodging and mileage costs do not exceed the state rates currently in effect.
- All amounts listed on the budget summary form reconcile with the relevant budget narrative information.
- The total Grant Funds agrees with the amount requested on the Contract Face Page.

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
- Entertainment costs, including social activities for program and staff, unless directly associated with the project
- Costs for dues, attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project

Local Match

- **There is a required local private funds ~~share-cash~~ contribution of 35% of total program expenditures.**
- Other federal funds cannot be used as a **private funds ~~cash~~** contribution.
- The **private funds ~~local-share~~** contribution may be reflected in any budget category. It does not need to be in the same category as the required OCFS funds.
- The **private funds ~~local~~** contribution must be cash.
- **Government funds may not be used for the private funds contribution.**

A. Personal Services

1. Personal Services - Personnel

Personal Services (Salaries):

- List only staff positions included in the funded project.
- List the percentage of time each staff member will spend on this project.
- The percentage of time an employee is engaged in this project (or projects) cannot exceed 100 percent.
- List the base (annual) salary for each staff position. The base salary should reflect the employee's actual annual salary. The annual salary should be consistent across all projects that the employee's time is charged to.
- If a position has both administrative and programmatic responsibilities, show the position 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.
- If the proposed project is currently operational, provide information on the percentage of salary increases, if any, included 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 position 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 positions to which the rate(s) apply.
- Provide a complete list of benefits used to calculate rate(s) (e.g., Social Security-FICA, NYS Unemployment Insurance-SUI; NYS Disability Insurance and Worker's Compensation). These can be listed on the extra lines under "Personal Services." Be sure to clearly identify "Fringe."

Non-Personal Services (NPS)

Use of MWBEs for Discretionary Purchases

Contractors are required to spend thirty percent of their discretionary budget through a NYS certified Minority or Women-Owned Business Enterprise (MWBE) in compliance with Article 15-A of the NYS Executive Law. As your organization develops its NPS budget

for this contract, you must identify the discretionary purchases that are subject to the MWBE goal (See **Section 7.10** for more information.) The following NPS budget categories are subject to the MWBE goal:

NPS Budget Category	MWBE Goal
1. Contractual/Consultant	Discretionary expenses in this category subject to MWBE goal
2. Travel	Non-discretionary - exempt
3. Equipment	Discretionary expenses in this category subject to MWBE goal
4. Supplies	Discretionary expenses in this category subject to MWBE goal
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 MWBE goal
d. Printing Services	Discretionary expenses in this category subject to MWBE goal
e. Other Expenses/Miscellaneous	Discretionary expenses in this category subject to MWBE goal
f. Other Expenses/Miscellaneous – Administrative Expense	Non-discretionary - exempt

- Use the DISCRETIONARY BUDGET NARRATIVE WORKSHEET of Attachment B – BUDGET SUMMARY to specify the portion of your NPS budget subject to the MWBE spending goal. Provide an explanation for all items excluded from the MWBE spending goal.
- Calculate the amount of the MWBE participation goal to be met based on this total discretionary NPS;

NPS Budget Categories

All budget items must be for commodities to be purchased during the contract period 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 prior to 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 prior to claim for services being 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 prior to 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 pre-approved by OCFS.

3. Equipment

This section is used to itemize the purchase of equipment.

- Equipment is defined as tangible personal property having an acquisition value of \$5,000 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

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 grantee owns the building, they must charge occupancy costs other 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 here 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 a printing job is in excess of \$5,000, documentation of three (3) 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 minority and women-owned printing firms.
- Program materials printed using these funds must be pre-approved by OCFS.

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

e) Miscellaneous Expenses

- Food and refreshments are not allowable expenses for staff.
- 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 audio-visual 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) **Indirect Cost/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)**

For Federally funded contracts (includes any contract supported in whole or in part with federal funds):

- OCFS will reimburse the federally approved indirect cost rate for federally funded contracts up to any statutory caps required by the funding streams and in accordance with the terms and conditions of the federal award. A copy of the federally approved indirect cost agreement, with narrative, addendum, and an expiration date must be submitted as part of the proposal.
- If your agency does not have a federally approved indirect cost agreement, and your agency is a non-Federal entity that has never received a negotiated indirect cost rate, except for a governmental department or agency unit that receives more than \$35 million in direct federal funding, you may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC) or you may elect to follow the rules for State Funded Awards in **2 B.** below. Please see federal regulations at 2 CFR 200.414(f) for the applicable legal requirements for this option.
- MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each sub award. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub award in excess of \$25,000.
- Use of a federally approved indirect cost rate, or the de minimis rate, as described above, if applicable, must be in accordance with all applicable federal rules to include 2 CFR Part 200.

All costs claimed under the contract 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.

B. For State-Funded Awards (Amended 9/14/2018)

~~Total administrative costs are limited to 15 percent of the total grant award.~~

- ~~• Indirect costs are considered in the total administrative costs for this project (indirect cost plus any directly charged administrative personnel, related fringes and non-personal 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~~

For this RFP, applicants who are not Covered Providers under Executive Order 38 must use the Indirect Cost Rate Calculation as set forth below for non-program costs associated with the award, if indirect costs are included in the budget. Applicants who are Covered Providers, as defined under Executive Order 38, may select to apply either an Indirect Cost Rate or an Administrative Cost Rate as each is defined below for program costs associated with the award that are not directly charged, but are required to meet the requirements for Executive Order 38 regardless of which option is chosen. See Section 7.13 of this RFP for more informa on Executive Order 38.

i. Indirect Cost Rate Calculation

- a. Providers using the Indirect Cost Rate calculation may [elect to] charge an indirect cost rate of up to 15% of the modified total direct costs (MTDC). For this purpose, MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each sub-contract. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each sub-award in excess of \$25,000.**
- b. To determine the maximum amount of grant funding that can be allocated to indirect costs, first calculate MTDC based on the description above. Multiply MTDC by 0.15. The resulting figure indicates the maximum amount of funding that can be spent on indirect costs. For purposes of this RFP, indirect costs include Facilities and Administration costs.**
 - 1) Facilities includes depreciation on buildings, equipment and capital improvement, interest on debt associated with certain buildings, equipment and capital improvements, and operations and maintenance expenses.**
 - 2) Administration includes general administration and general expenses such as the director's office, accounting, personnel not specifically and solely attributable to the cost objective and all**

other types of expenditures not qualifying as direct costs and not listed specifically under one of the subcategories of “facilities.”

- c. For purposes of the RFP for those not-for-profit organizations that elect to charge an indirect cost rate, the indirect costs do not need to be itemized or individually identified. Please be aware, itemization may be required for fiscal audits or your funding requirements.

ii. **Administrative Cost Rate**

- a. For applicants using the Administrative Cost Rate Calculation, direct program costs must be no less than 85 percent of the total grant award. All costs included in the direct program 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.
- b. Total administrative expenses are limited to 15 percent of the total grant award, less expenses for:
 - 1) capital expenses, including but not limited to non-personal service expenditures for the purchase, development, installation, and maintenance of real estate or other real property;
 - 2) property rental, mortgage or maintenance expenses
 - 3) taxes, payments in lieu of taxes, or assessments paid to any unit of government;
 - 4) equipment rental, depreciation and interest expenses, including expenditures for vehicles and fixed, major movable and adaptive equipment and equipment that is expensed (rather than depreciated) in cost reports;
 - 5) expenses and equipment that is expensed rather than depreciated in cost reports of an amount greater than \$10,000 that would otherwise be administrative, except that they are either non-recurring (no more frequent than once every five years) or not anticipated by a covered provider (e.g., litigation-related expenses). Such expenses shall not be considered administrative expenses or program expenses for purposes of EO 38; or
 - 6) that portion of the salaries and benefits of staff performing policy development or research.
- c. Administrative expenses are those expenses authorized and allowable pursuant to applicable regulations, contracts or other rules that govern reimbursement with State funds or State-authorized payments that are incurred in connection with the covered provider's overall management and necessary overhead that cannot be attributed directly to the

provision of program services. Such expenses include, but are not limited to

- 1) 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;
- 2) that portion of legal expenses that cannot be attributed directly to the provision of program services; and
- 3) 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, interest charges and equipment that is expensed (rather than depreciated) in cost reports, where such expenses cannot be attributed directly to the provision of program services.

d. 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.

6. Discretionary Budget Narrative Worksheet

On this worksheet (Attachment B – Budget Summary) you record the total amount of your discretionary budget that will be spend through a NYS certified Minority or Women-Owned Business Enterprise (MWBE). The total budget amount for budget categories that are considered discretionary are recorded on in the “Total OCFS Funds” column of this worksheet as you complete the other parts of the budget.

- In the right-hand column, enter the “Total Discretionary Funds” that are subject to the MWBE spending goal.
- For any category where the “Total Discretionary Funds” is less than the category of the amount excluded and why it is non-discretionary.
- The amount that you must spend with an MWBE will automatically be calculated.

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

application. Please be aware that this document must be converted to a PDF before it can be uploaded to the system.

5.3 **Key Concepts Evidence-based practice:**

Integrates the best available research with practitioner experience and expertise, and is consistent with community and family values and characteristics. Skills, techniques, and strategies that have been shown to reliably produce desirable results. Practices are based in theory, supported by research evidence (scientific evaluation), and have proven effective in community settings.

Evidence-informed practice:

Practice is similar to evidence-based except that the level of evidence is not as strong. These programs are emerging or promising in design and allow for innovation while still incorporating the research/literature.

Organizational Qualifications:

The organizational characteristics and capacity (i.e., agency mission, past accomplishments or 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.

5.4 **Proposal Content (Amended 9/20/2018 and 10/12/2018)**

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.

Administrative Questions

Required documents must be uploaded as an attachment in the “**Program Specific Questions**” section of the Grants Gateway System as part of your response to applicable questions.

No.	Question	Yes/No
i.	Are you an eligible applicant as defined by the first bullet in Section 3.1 Minimum Qualifications ?	<input type="checkbox"/> Yes <input type="checkbox"/> No *
ii.	Did you submit an attestation form, if required, from the local department of social services from each county proposed to be served? (See the second bullet in Section 3.1 Minimum Qualifications.) Additional uploads may be made to the “Grantee Document Folder” in your online application.	<input type="checkbox"/> Yes <input type="checkbox"/> No * <input type="checkbox"/> N/A
iii.	Did you provide documentation of the required 35% private funds cash contribution as dictated in section 2.3 of this RFP? (See the third bullet in Section 3.1 Minimum Qualifications.) Additional uploads may be made to the “Grantee Document Folder” in your online application.	<input type="checkbox"/> Yes <input type="checkbox"/> No *
iv.	Are you prequalified, if not exempt, in the NYS Grants Gateway? (See Section 3.2 Prequalification Process.)	<input type="checkbox"/> Yes <input type="checkbox"/> No *

v.	Does your organization have a governing board (board of directors) which includes a minimum of three (3) members? Provide minutes and attendance records from the last three board meetings.	<input type="checkbox"/> Yes <input type="checkbox"/> No *
vi.	Did you upload all required attachments such as letters of support or other agreements, including those listed in Section 1.6 Submission of Proposals ?	<input type="checkbox"/> Yes <input type="checkbox"/> No *
vii.	Have you completed the Vendor Responsibility Questionnaire and has it been recently certified? (See Section 3.3 Vendor Responsibility Requirements .)	<input type="checkbox"/> Yes <input type="checkbox"/> No
viii.	Provide the name, title, address, phone number and email of the Executive Director of your organization who should receive notification of award/non-award.	<input type="checkbox"/> Yes <input type="checkbox"/> No
ix.	Provide the name, title, address, phone number and email of any other individual in your organization who should receive notification of award/non-award.	<input type="checkbox"/> Yes <input type="checkbox"/> No
x.	Is your Charities Registration current?	<input type="checkbox"/> Yes <input type="checkbox"/> No
xi.	If a non-school applicant applying for a Restorative Justice program, did you <u>upload the letters of agreement</u> as listed in Section 3.1 Minimum Qualifications? If an eligible school applicant applying for a Restorative Justice program, did you <u>submit a letter identifying the organizations the school will partner with</u> as listed in Section 3.1? Please note this question will not be visible in the NYS Grants Gateway. Applicants <u>must</u> provide these required uploads in the “Grantee Document Folder” in your online application.	<input type="checkbox"/> Yes <input type="checkbox"/> No * <input type="checkbox"/> N/A
* A “No” response to administrative questions i through vi, or xi, of this section or failure to submit the required documentation with your application will result in disqualification of the application.		

Work Plan Questions (80 points)

The Work Plan Template is available in the “**Pre-Submission Uploads**” section of the Grants Gateway System. Use this document to help prepare proposed responses to the “**Program Specific Questions**” section of your application in the Grants Gateway System. 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 to the corresponding question in the “**Program Specific Questions**” Section of your application. Uploaded responses must contain only the response for that specific individual question.

No.	A. Community (0-15 Points)	Max Points
1.	Demonstrate strong community linkages and referral sources that are reliable and valuable. Document commitment from required partners (for example, local social service district, school, etc.)	5
2.	Describe commitments, restrictions, guidelines and role of private funding partner(s). Where applicable, provide an SSD Attestation form that demonstrates an alignment with social service district strategies.	5
3.	Demonstrate an understanding of racial equity/disproportionality issues and approaches for addressing, when applicable and other indicators of need for services in this community. Provide a clear understanding of community characteristics. The number of persons to be served should be clear and justifiable based on community demographics and resources.	5

No.	B. Target Population (0-20 points)	Max Points
1.	Clearly describe each geographic region to be served, including geographic boundaries. Services should be strategically located to promote access in high need areas.	5
2.	Present a clear understanding of the needs and/or problems of the target population that the program seeks to address.	5
3.	Provide a description of the target population to be served, including its characteristics, strengths and needs.	5
4.	Provide a justification as to why the client group is targeted to receive services. Describe the number of persons to be served and how the proposer arrived at that number.	5

No.	C. Questions Objectives, Tasks and Performance Measures (0-10 points)	Max Points
1.	Propose specific outreach and engagement strategies that will be used to achieve the performance targets outlined in section 4.0 Program Requirements, that are measurable, meaningful, realistic, ambitious and achievable given resources available.	5
2.	Propose relevant outcomes and performance measures that will demonstrate progress in program implementation and impact on the target population. Explain how verification methods are realistic and reliable and minimally include pre-and post-intervention measures using research-based evaluation tools as applicable.	5

No.	D. Proposed Project Description (0-25 points)	Max Points
1.	Describe how the proposed program is consistent with one of the eligible programs outlined in Section 4.0 Program Requirements . Provide a clear/comprehensive program description, addressing all recommended/required elements and	10

	verification that the program is evidence-based or evidence-informed.	
2.	Describe how the plan is realistic and will be implemented in a timely manner. If this is a new program, explain how there will be minimal start-up time. Clearly describe the program status and if not a new program, provide documentation that the program has had positive impacts on its target population.	5
3.	Explain how the plan includes outreach and intervention strategies and demonstrate how these strategies will attract, engage and retain the target population. Describe how services are responsive to the cultural and linguistic needs of the community served.	5
4.	Explain how the program reflects stakeholder input and community need. Demonstrate there is evidence of strong community support and a plan for on-going funding.	5

No.	E. Project Staff (0-5 points)	Max Points
1.	Provide staff qualifications, staffing patterns and responsibilities, training and supervision and clearly describe and demonstrate the capacity to implement and operate the program successfully.	2
2.	Describe key staff responsible for the development and implementation of the program are identified.	1
3.	Identify staff already hired and positions which require hiring. Provide an explanation as to the percentage of time that each position is fully allocated to the project.	1
4.	Demonstrate how staff is representative of the language(s) and culture(s) of the community to be served. There should be realistic activities to instill cultural responsiveness.	1

No.	F. Organization (0-10 points)	Max Points
1.	Explain how your proposal demonstrates that it can attract and retain qualified staff that represents the culture and language of the community served.	1
2.	Describe your experience in garnering support of the community and prior successful experiences with target population.	2
3.	Demonstrate that you have the resources, experience and capacity to achieve intended outcomes.	1
4.	Explain how your organization's management and/or governing body/board of directors (as applicable) will contribute in a meaningful way to the success and sustainability of the program.	1
5.	If an OCFS grant recipient in the last five years, describe how your organization has had a positive contracting experience and impact on client outcomes. If the organization was not an OCFS grant recipient, describe how your organization has had a positive contracting experience with the organizations it serves and impact on client outcomes.	5

6.	Upload a current organization chart that depicts the entire organization structure and indicates where the organization head or the chief administrative officer and the contract developers, contract signatories and claim signatories appear in relation to the governing body /board of directors (as applicable) and the organization as a whole.	Not Scored
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Budget Questions (20 points)

No.	G. Budget (0-20 Points)	Max. Points
1.	<p>Upload the budget into the Grants Gateway in accordance with the requirements of Section 5.2 Proposed Budget.</p> <p>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.</p> <p>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.</p> <ul style="list-style-type: none"> • Demonstrate that there is a clear relationship between funds requested and the program activities and performance targets/outcomes. • Explain how funds requested, <u>including the 35 percent private funds cash contribution</u>, are within RFP guidelines and are sufficient to comply with RFP requirements. • Document that expenses are realistic, reasonable, necessary, allowable and justified based on one-year program plan. • Describe how budget focuses on direct services rather than administrative expenses. 	20

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 in the user role of either a “Grantee” or a “Grantee Contract Signatory.” For tutorials (training videos) on using the Grants Gateway, refer to: <https://grantsreform.ny.gov/youtube>.

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 date and time indicated in Section 1.2 Calendar of Events of this RFP.

Please visit the Grants Reform website at the following web address: <http://grantsreform.ny.gov/grantees> and select “Quick Start Guide: Applications” from the Grants Gateway menu 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 GGS.

Please note that:

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

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.

Grants Reform Videos (includes a document vault tutorial and an application tutorial) are available on YouTube:

<http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>

Grants Gateway Help Desk: 518-474-5595

Grants Team email: grantsgateway@its.ny.gov
(Proposal completion, policy, and registration questions)

www.grantsgateway.ny.gov

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

Proposals will be reviewed and scored by three trained reviewers using a structured, pre-approved review instrument. The final score will be based on the average of the three scores. Applications that receive an average score of a minimum of 75 points or more will be considered for funding.

Any proposal that achieved a minimum passing score of 75 or more but is not selected to receive an award through this RFP will be designated as “approved but not funded” (ANF). Should additional funding become available to support PPP programs, additional awards will be made to fund these ANF proposals in accordance with the purpose and funding availability described in Section 2.3 of the RFP.

Recommendations will be based on highest scoring proposals and other factors such as funding availability, contracting experience, geographic distribution and distribution across programs proposed (from highest to lowest score). In the event of a tie between two or more proposals, the applicant(s) who receives the highest score for **RFP Section 5.4 - Proposal Content, Question G - Proposed Budget** will be considered the winning application. If the proposals are still tied, **RFP Section 5.4 - Proposal Content, Question D - Proposed Project Description** will then be used to break the tie.

OCFS reserves the right to make adjustments to the funding amount requested based on program need and based on the total dollar value of the applications submitted.

6.3 Bonus Points: RECC

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 the associate commissioner for financial management of OCFS or his or her designee.
8. "Decision after appeal" shall mean the decision on the appeal of a formal protest by the executive deputy commissioner of OCFS or his or her designee.

C. Debriefing Request

1. 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. 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 receipt of the notice from OCFS that the offerer's proposal did not result in an award.
2. OCFS, upon receipt of a timely written request from the unsuccessful offerer, will schedule the debriefing to occur within a reasonable period of time following the receipt of such request. 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 that their future proposals, bids or offers could 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.

a) Submission of Bid or Award Protests

Formal protests concerning a pending contract award must be received within five (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the formal protest. 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).

b) **Review and Formal Protest Determination**

1. Formal protests must be filed with the OCFS associate commissioner for financial management. Any protests filed with the OCFS program division responsible for the procurement will be forwarded to the associate commissioner for financial management. Copies of all formal protests will be provided by the associate commissioner for financial management to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the associate commissioner for financial management.
2. 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.
3. 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 associate commissioner for financial management or the associate 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.
4. The OCFS associate commissioner for financial management 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 executive deputy commissioner, shall be sent to the protesting party or its agent within thirty (30) business days of receipt of the formal protest, except that upon notice to the protesting party such period may be extended by OCFS. The formal protest determination will be recorded and included in the procurement record, or otherwise forwarded to the OSC.

c) **Appeal of Formal Protest Determination**

1. If the protesting party is not satisfied with the formal protest determination, the protesting party **must** submit a written notice of appeal to the executive deputy commissioner of OCFS no more than fifteen (15) business days after the date the formal protest determination is sent to the protesting party.
2. The executive deputy commissioner or his or her designee shall hear and make a decision after appeal on all appeals.
3. An appeal may not introduce new facts unless responding to facts or issues unknown to the protesting party prior to the formal protest determination.

d) **Reservation of Rights and Responsibilities of OCFS**

1. 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.

2. 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.
3. 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 prior to issuance of a formal protest decision.
4. 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 prior to 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.
 - a) 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 prior to 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).
 - b) If a formal protest determination or decision after appeal is made after the transmittal of the procurement record and contract(s) to OSC, but prior to 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.

All records related to formal protests and appeals shall be retained for at least one (1) 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, 11th 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 timeframes. Awardees must be available and prepared to respond within the required timeframes. 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 prior to 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 prior to 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. In the event that 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.

A. 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; or
- **Form SI-12** - *Certificate of Workers' Compensation Self-Insurance*; or **Form GSI-105.2** *Certificate of Participation in Workers' Compensation Group Self-Insurance*; or

- **CE-200** - *Certificate of Attestation of Exemption* from NYS Workers' Compensation and/or Disability Benefits Coverage.

B. 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** - *Certificate of Disability Benefits Insurance*; or
- **Form DB-155** - *Certificate of Disability Benefits Self-Insurance*; or
- **CE-200** - *Certificate of Attestation of Exemption* from New York State Workers' Compensation and/or Disability Benefits Coverage.

7.4 Contractor Employee and Volunteer Background/Confidentiality Non-Disclosure Agreement Forms (if applicable)

OCFS is responsible for maintaining the safety of the youth in its care. New York State law requires that any client identifiable information be kept confidential. Any contractor who will provide goods and/or services to a residential facility or programs operated by OCFS must require all of its employees and volunteers who will have the potential for regular and substantial contact with youth in the care or custody of the commissioner of OCFS to complete and sign the [Confidentiality Non-Disclosure Agreement \(OCFS-4715\)](#) and [Contractor Employee and Volunteer Background Certification \(OCFS-4716\)](#) forms. These forms must be completed before any such employees and/or volunteers are permitted access to youth in the care or custody of OCFS, and/or any financial and/or client identifiable information concerning such youth. **The forms should be completed after the bidder has been awarded funding, during the contract development, and only if applicable.** For additional information see Attachment A-1, Section 3b. "[Confidentiality and Protection of Human Subjects](#)", located in Section 8.0: Contract Documents – Attachment A-1, Agency Specific Terms and Conditions.

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 charities registration information, contact:

https://www.charitiesnys.com/RegistrySearch/search_charities.jsp

7.6 Federal Requirements (if federally funded)

See Attachment A-2, *Federally Funded Grants*, which is located in the Master Contract for Grants, that is referenced in **Section 8 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 in order to contract with and pay vendors.

Please note that the contractor payee name and address provided to OSC for the epay program must match exactly the contractor 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:

<http://osc.state.ny.us/vendors/epayments.htm>
<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 prior to 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: http://www.osc.state.ny.us/vendor_management/index.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 (“MWBEs”) 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%** for MWBE participation, **15%** for New York State-certified Minority-owned Business Enterprise (“MBE”) participation and **15%** 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 MWBEs 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 MWBEs 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 MWBEs 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 MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs 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.newycontracts.com>, provided, however, that a respondent may arrange to provide such evidence via a non-electronic 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 the notice of deficiency within seven (7) business days of receipt by submitting to OCFS a written remedy in response to the notice of deficiency to 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 (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

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 utilize, 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 prior to 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 & Payment Report to OCFS, by the 10th 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 submission of 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, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The respondent will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, OCFS-3460 – Equal Employment Opportunity (EEO) Policy Statement, 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 a Workforce Utilization Report, in such format as shall be required by OCFS 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, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital

status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

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

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 the utilization of 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: http://ogs.ny.gov/Veterans/docs/CertifiedNYS_SDVOB.pdf.

For additional information relating to the use of certified SDVOBs in contract performance, and participation by SDVOBs with respect to state contracts through Set Asides, please refer to the following:

- [Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance](#)
- [Participation by Service-Disabled Veterans with Respect to State Contracts Through Set Asides](#)
- <http://ogs.ny.gov/Core/SDVOBA.asp>

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:
 - 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 MWBEs; 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 principle 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 38

Executive Order Number 38 sets Limits on State-Funded Administrative Costs & Executive Compensation. Contracts, payment requests and reporting must comply with the regulations promulgated pursuant to this Executive Order. The Order can be found at the following website address: <http://executiveorder38.ny.gov/>

7.14 Executive Order Number 175

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 this Contract, regardless of delivery method unless the director of contracts, or their

designee as noted in **Section 1.1 Procurement Contact**, 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.

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, creed, 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 found at the following website address: <http://executiveorder177.ny.gov/> prior to any award being made by OCFS.

7.16 Other Requirements

Not Applicable.

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 (Federally Funded Grants)
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. Attachment MWBE: Minority and Women-Owned Business Enterprises

NYS Standard Terms and Conditions (State of New York Master Contract for Grants) is located in the **NYS Grants Gateway System (GGS)** at the following link: http://www.grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.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](#)
- 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. For complete proposal and contract requirements for the New York State Service-Disabled Veteran-Owned Business (SDVOB) Act, please refer to section 7.11 and complete the following attachment: [Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance](#)
- F. [OCFS-2647, EO 177 Certification](#) (See section 7.15 for more information)

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 – Evaluation of Parent and Child Together (PACT)

Attachment 2 – Protective Factors Instrument

Attachment 3 – Budget Template

Attachment 4 – Work Plan Template