



**Office of Children
and Family Services**

ANDREW M. CUOMO
Governor

ROBERTO VELEZ
Acting Commissioner

SETTLEMENT HOUSE PROGRAM

REQUEST FOR APPLICATIONS

March 6, 2015

BACKGROUND, REQUIREMENTS, INSTRUCTIONS

**NOTE: TANF RULES APPLY TO ALL AWARDS MADE
FROM THIS REQUEST FOR APPLICATIONS**



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Proposal Submission:

See Section 2.2 Proposal Submittal Process/Application Documents

The New York State Grants Gateway will serve as the primary outlet for State agencies to post upcoming and available funding opportunities. Please reference Section 2.2 below for additional submission information.

Note:

Throughout this document the terms “proposal” and “application” are used interchangeably.

Timetable of Key Events:

<u>Event:</u>	<u>Date:</u>
Submittal of Question Deadline	3/20/15 by 3pm ET
Posted Date of Answers	3/27/15
Proposals Due (Submitted into Grants Gateway)	4/3/15 by 3pm ET
Awards Announced (Tentative)	5/11/15
Contract Start Date (Projected)	10/1/15

Inquiries:

From the issuance of this Request For Proposal (RFP) until contractors are selected, all contacts with the New York State Office of Children and Family Services personnel, except as otherwise specified herein, concerning this RFP must be made through Robert Barnes 518-486-3590 or Eric Townsend 518-473-8627 or via email at Robert.Barnes@ocfs.ny.gov or Eric.Towndend@ocfs.ny.gov with **Settlement House RFA** inquiry in the subject line.

**Attention: Robert Barnes or Eric Townsend
NYS Office of Children and Family Services
52 Washington Street, Room 202-South Building
Rensselaer, New York 12144**

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Section One.... BACKGROUND

NOTE: PREQUALIFICATION REQUIREMENT

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#). Complete information on Prequalification is available in Section 1.8 Contract Readiness, of this RFP.

1.1 Introduction

The programs funded under the terms of this Request for Applications (RFA) will operate within the strategic framework of the Children's Cabinet. Governor Cuomo established the Children's Cabinet, which focuses on governmental programs collaboratively developing and implementing effective, efficient and coordinated service delivery so that New York's children are given an equal opportunity to reach their full potential. Improving services to children in the areas of health, education, safety and general welfare is essential for their well-being and future as well as for the success and development of the State. A priority of the Children's Cabinet and OCFS is to "protect those in greatest need." The Settlement House Program provides OCFS and localities an opportunity both to provide services to our most vulnerable children and families and to implement activities to address disproportionality in identified communities.

New York State Social Services Law Section 482b defines, in part a Settlement House as an independent, voluntary, not-for-profit organization engaged in community work and social services delivery in a defined neighborhood in a municipality of the state of New York. The organization must provide comprehensive, coordinated, family-focused, multi-generational human services such as child care if for family employment, employment training, housing assistance counseling, youth development, educational services, counseling, senior services and arts and cultural activities, based on the needs of the neighborhood. Other factors are necessary for a not for profit organization to meet the definition of a Settlement House; as defined in the Section 482b, [http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=\\$\\$SOS482-B\\$\\$@TXSOS0482-B+&LIST=SEA13+&BROWSER=EXPLORER+&TOKEN=48900615+&TARGET=VIEW](http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=$$SOS482-B$$@TXSOS0482-B+&LIST=SEA13+&BROWSER=EXPLORER+&TOKEN=48900615+&TARGET=VIEW) and Section 1.5 Eligible Applicants, of this RFA.

The purpose of this Settlement House RFA is to provide statewide funding for a model of service delivery that is both programmatically effective and cost-efficient. In keeping with the nature of the Settlement House movement, the model proposed by each applicant must provide comprehensive, coordinated, neighborhood-based and family-focused services. Settlement Houses are recognized as contributors to the provision of these services, and it is expected that this funding will be used to enhance existing services, including the implementation of greater neighborhood outreach, providing or directing individuals and family members to appropriate community-based resources, monitoring the progress of these individuals, and coordinating intra-agency and community services so that community residents have easy access to a comprehensive range of services. Funds received through this application process are not intended as a substitute for any funds currently available from federal, State or local sources for the provision of neighborhood-based service delivery programs provided by Settlement Houses.

1.2 OCFS Statewide Considerations

The Office of Children and Family Services (OCFS) 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 which 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 to administer 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. An emerging trend in 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 under-represented in the receipt of services from the legally blind and visually impaired service network. In response to this situation, OCFS has begun to implement 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 Request For Proposals (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 which 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 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:

a) Disconnected / High Need Youth

OCFS’s priority is to “protect those in greatest need” by on-going assessment and enhancement of services which 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 which 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 OCFS RFP narrative, applications must demonstrate capacity and scope for cross-agency collaborations and partnership with relevant community organizations.

b) Racial Equity and Cultural Competence

OCFS is in its twelfth year of Racial Equity and Cultural Competence (RECC) work. 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 to identify how best to enhance outreach and preventive measures that support the safe reduction in out-of-home placements for children and adults, and focus on the wellbeing of children, youth and families. OCFS has enlisted the participation of our state and local partners in this effort, and is working actively with 13 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 Request For Proposals 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:

- 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; and
- 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).

Section Seven contains further information regarding Disproportionate Minority Representation (DMR) and data in New York State.

1.3 Purpose and Funding Availability

Funding will be based on the State 2015-16 enacted budget appropriation. TANF rules as detailed in this RFA apply to all applicants and awardees. Additionally, OCFS desires to invest in services that are responsive to the considerations for race equity and cultural competency as described in section 1.2. The award amounts available for each successful applicant will be determined by the expense information for the federal reporting year 2013 as reported on line 18 of the Department of the Treasury Internal Revenue Service Form 990. Applicants must submit a copy of the 2013 Form 990 with their application. The following chart provides guidance on the range of the awards:

Category	Applicant Expenses as Reported on the 2013 Federal IRS Form 990	Estimated Award From 2015 Appropriation
A	up to \$4,999,999	30% of 2015 Approp /# of Cat. A applicants
B	\$5M-\$14,999,999	45% of 2015 Approp /# of Cat. B applicants
C	\$15M and over	25% of 2015 Approp /# of Cat. C applicants

Example: If the 2015-2016 appropriation is \$5,200,000 the formula would be as follows:

1. 20 applicants fall under Category A, so 30% of \$5,200,000 is \$1,560,000. \$1,560,000 divided by 20 equals \$78,000. All 20 Category A applicants will receive \$78,000.
2. 20 applicants fall under Category B, so 45% of \$5,200,000 is \$2,340,000. \$2,340,000 divided by 20 equals \$117,000. All 20 Category B applicants will receive \$117,000.
3. 9 applicants fall under Category C, so 25% of \$5,200,000 is \$1,300,000. \$1,300,000 divided by 9 equals \$144,444.44. All 9 Category C applicants will receive \$144,444.44.

Appropriated funding is added to this program from time to time, so any additional funding would be administered with the above formula.

The exact amount of each award, which may be higher or lower, will be determined based on the available funding, the number of successful applicants and their related category. Settlement House applicants may apply for only one award in the Category that they are eligible to apply for only. Award criteria are addressed in Section 2.3. OCFS reserves the right to negotiate the final award amount and contract with each successful applicant. Note that OCFS will consider the substitution of a 2013 Certified Financial Statement in lieu of the 2013 Form 990 or a prior year Form 990 if the applicant can demonstrate extenuating circumstances and has applied for a 2013 federal filing extension.

These funds are designed to support low-income families and improve their long-term outcomes as they move towards self-sufficiency. Individuals are eligible for services when their income and their family member's income meet the 200% TANF income guidelines. All contracts are required to adhere to the TANF requirements. Additional information on TANF requirements is located in:

- Section 2.1, B and C;
- Attachment A-1 part B

OCFS reserves the right to place a monetary cap on the funding amount made in each contract award.

1.4 Term of Contract

Contracts will be awarded for a 12 month period. Contingent upon the availability of funding and overall contract performance, contracts may be renewed annually for up to four one-year periods.

Terms and conditions of Single Year and/or Simplified Renewal contract(s) can be found in the State Of New York Master Contract For Grants and Attachment A-1 documents, located in [Section Six: Contract Documents](#).

1.5 Eligible Applicants

Only New York State Settlement Houses that are pre-qualified in the NYS Grants Gateway at the time applications are due may apply for this funding. Settlement House providers may apply for only one award under this funding source. Pursuant to the New York Social Service Law, a Settlement House is an independent, voluntary, not-for-profit organization engaged in community work and social services delivery in a defined neighborhood, in a municipality of the State of New York. The organization must provide comprehensive, coordinated, family-focused, multi-generational human services such as child care if for family employment, employment training, housing assistance counseling, youth development, educational services, counseling, senior services and arts and cultural activities, based on the needs of the neighborhood and which:

- Has been incorporated as a New York Settlement House for at least three years;
- Qualifies as a tax-exempt organization pursuant to section 501(c)(3) of the Internal Revenue Code and provides copy of the 2013 IRS Form 990;
- Provides services to all those who live in the neighborhood served without regard to race, creed, religious practice, color, sex, age, national origin, economic status, disability, or sexual preference;
- Has an independent, autonomous Board of Directors which meets at regular intervals, has full authority over the policies and operations of the organization, and the membership of which includes community residents;
- Employs appropriate staff including a position of Chief Executive Officer;
- Has a budget which is adopted on an annual basis by the Board of Directors, utilizes an accepted accounting system, and has an annual fiscal audit prepared by a Certified Public Accountant not connected with the organization; and
- Demonstrates that one of its primary purposes is the improvement of the relationship among groups of different cultural, economic, religious, and social groups in the community through a variety of individual, group, and inter-group activities

1.6 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 Attorney General and the Office of the State Comptroller before any work is begun or payments made. This RFP includes all relevant contract terms and conditions which can be found in [Section Six: Contract Documents](#). Upon contract award and completion of negotiations, OCFS will send successful applicants the complete contract for development and signature prior to submitting it to the Attorney General's Office and the Office of the State Comptroller for execution.

1.7 Executive Order Number 38 – Limits on State-Funded Administrative Costs & Executive Compensation

On January 18, 2012 Governor Andrew M. Cuomo issued Executive Order Number 38 "Limits on State-Funded Administrative Costs & Executive Compensation," which requires that state agencies establish limits on state reimbursement of administrative and executive compensation costs for contracts and programs that provide direct services to clients. Contracts, payment requests and reporting must comply with this Executive Order. The Executive Order can be found at the following website address: <https://www.governor.ny.gov/executiveorder/38>

1.8 Contract Readiness

The state's Prompt Contracting and Vendor Responsibility provisions require all state agencies to complete contract development and the signatory process within state prescribed timeframes. It is expected that this process will be expedited; awardees will need to be available and prepared to respond within required timeframes. If selected, awardees may be required to travel to Rensselaer for contract development and will be expected to cover the costs of that travel. Awardees who cannot meet prescribed timeframes for contract development and/or signature will, at OCFS's discretion and barring extenuating circumstances, lose funds awarded.

Prior to submitting an application for funding, applicants are responsible for various verifications that validate their capacity and organizational authority to receive public funding and operate as a not-for-profit corporation in the State of New York, or both. These verifications include prequalification in the [New York State Grants Gateway System \(GGS\)](#). Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date and time listed at the beginning of the RFP cannot be evaluated. Such proposals will be disqualified from further consideration.

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](#) are available to walk users through the process.

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 please email grantsreform@budget.ny.gov. If you do not know your Password please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your 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 you have the most grants with. This page should be completed in its entirety before you 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 referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

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 your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Recipients of grants 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

Not-for-profit vendors must be registered with the Attorney General's Office 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:

http://www.charitiesnys.com/RegistrySearch/show_details.jsp?id

1.9 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. Such quality assurance testing will be conducted by OCFS and the results of such testing must be satisfactory to OCFS before web content will be considered a qualified deliverable under the contract or procurement.

1.10 Contract Management System (CMS)

OCFS utilizes a comprehensive, web-based Contract Management System (CMS) providing technology that automates the contract development, claiming, and program reporting process. Vendors awarded contracts under this procurement may develop and electronically sign contracts through CMS. The opportunity to submit claims and program reports online is also available to CMS users. All vendors are required to include the "[Contract Developer, Contract Signatory, and Claim Signatory Authorization Form](#)" located in Part II, Required Forms section. Vendors opting to use CMS must complete the entire form, while all others may leave the section at the bottom blank. In addition to the Authorization Form, a current Organization Chart that indicates where the organization head or the Chief Administrative Officer and the Contract Developers, Contract Signatories and Claim Signatories appear in relation to the Board of Directors and the organization as a whole must be on file with OCFS, and must be included with the application.

CMS Standardizes the contract development process, automating labor-intensive tasks and providing system edits that reduce common errors. Interactive budget and contract documents streamline the development process. Intuitive screens provide a user-friendly environment. Online claiming functionality allows for expedited payment of claims through the use of system edits, elimination of mailing time, and consolidation of all supporting documentation into one easy to access location. The system facilitates prompt contracting and prompt payment thereby making services available to the children and families of New York State in a timely manner. CMS features will permit vendors to do the following online:

- Develop, manage and electronically sign a contract
- Receive alerts and notifications regarding the status of contract approval
- Correspondence between the vendor and OCFS
- Upload and download contract documents into CMS
- Process online budget modifications
- Process online claims including both advances and expenditures
- Upload supporting documentation for budget modifications and claims

- Submit program reports
- Check the status of contracts and payments

CMS has no hardware requirements. Minimum computer requirements for participating are simply Internet access, Explorer 6.0 and Acrobat Reader 7.0. Acrobat Reader can be obtained free of charge at: <https://get.adobe.com/reader/>

For Macintosh users, Safari 3.1 or higher is recommended and can be obtained free of charge at: <http://support.apple.com/downloads/#safari>

Section Two.... GENERAL REQUIREMENTS / INSTRUCTIONS

2.1 Desired Outcomes and Program Requirements

A. Program Descriptions

The Settlement House Program is designed to provide a comprehensive range of services to residents of neighborhoods served by Settlement Houses. Funding may be used to enhance existing services, including the implementation of greater neighborhood outreach, provide or direct individuals and family members to appropriate community-based resources, monitor the progress of individuals, and coordinate intra-agency and community services so that community residents have easy access to a comprehensive range of services. OCFS **requires** applications to include linkages and collaborations with other neighborhood service providers. These linkages and collaborations must be signed, formal written agreements.

Priority should be given to targeting services for disconnected youth who are defined as youth aging out of foster care; youth in and re-entering the community from the juvenile justice system; and children of incarcerated parents.

Program services may include, but are not limited to, several of the following services:

- (a) early childhood services that serve the emotional, social, cognitive and physical development needs of children, including: child care if for family employment, child development services, early child education and health information and referral for pre-school children;
- (b) youth services that focus on attendance improvement, drop out prevention, college and career development, substance abuse prevention including: teen centers and school-age programs which provide recreational activities, preparation for employment, counseling and meals;
- (c) education programs including: remedial education, tutoring, homework assistance and English language training;
- (d) family programs, including: home management, homemaker services, parenting skills training, and teen parent services ;
- (e) child welfare services, including preventive services;
- (f) employment programs, including: summer youth employment apprentice programs, job training programs, and displaced homemaker programs;
- (g) non-medical mental health services, including: psychological and, where appropriate, psychiatric group and individual evaluation and counseling; and
- (h) senior programs that may focus on: nutritional, educational and recreational activities and support services.

B. TANF Requirements

All Clients Who Receive Services Through the Settlement House Program Under this RFA Must Meet TANF Eligibility Requirements

TANF funding is subject to a number of requirements. TANF classifies all benefits as being either “assistance” or “non-assistance.” If a recipient is provided with “assistance,” several requirements are triggered, including but not limited to a 60-month lifetime limit and extensive reporting requirements. The services to be provided through this RFA are limited to “non-assistance”: **Only applications providing non-assistance services will be funded through this RFA.**

Determination of eligibility to receive Settlement House Program Services must be made by the TANF funded Contractor, prior to enrollment of an individual or family in TANF funded services. All Contractors will be required to utilize prescribed certification forms and procedures for determining TANF eligibility, and will be required to preserve the confidentiality and security of such information through an on-site locked file system.

Families who receive services through Settlement House Programs must meet the following eligibility criteria:

- A resident of New York State;
- A United States citizen or qualified TANF alien;
- A member of a family that includes a child under the age of 18, or under age 19 and attending a secondary school or its equivalent; or
- A non-custodial parents whose household income does not exceed 200% of the federal poverty level, and is living separately from his or her children (and can document an address other than where the child or children reside), and is committed to initiating or re-establishing contact and/or visitation with their children. A non-custodial parent must also meet all other guidelines for verification of TANF eligibility, and are required to complete a Non-Custodial Parent Form.
- The gross income of the participant’s family must not exceed 200% of the federal poverty level. Annual and monthly poverty standards are outlined in the following 2014 United States Department of Health and Human Services (HHS) Poverty Guidelines,

2014 HHS Poverty Guidelines

Persons in Family Unit	Poverty Level	200% of Poverty
1	\$ 11,670	\$23,340
2	\$15,730	\$31,460
3	\$19,790	\$39,580
4	\$23,850	\$47,700
5	\$27,910	\$55,820
6	\$31,970	\$63,940
7	\$36,030	\$ 72,060
8	\$40,090	\$80,180
For each additional person, add	\$4,060	\$8,120

C. Appropriate Use of Settlement House Program RFA Funding

Funding made available through this RFA may be used for services that are focused upon improving services to children, families and vulnerable adults. Funding **cannot** be used to support medical services, general education services or on-going assistance. Funds **may not** be used for anything that is designed to meet a family’s ongoing basic needs including cash assistance, vouchers or similar benefits. In addition to services, non-recurrent, short-term benefits that are designed to address a specific crisis situation or episode of need are allowable. Short-term benefits, which might otherwise be considered “assistance,” are considered “non-assistance” **if** they are not intended to meet recurring needs and do not extend beyond four months; e.g. respite services for up to four months if necessitated by a specific crisis situation that is not expected to be repeated.

Please note that federal regulations consider transportation and child care as forms of assistance if the head of household is **not** employed. These expenses are not allowable and may not be charged to the grant unless they meet the criteria for “non-assistance0” If the costs are **not** allowable TANF costs, they cannot be included in the Settlement House Program funding request. The cost of such services must be funded by an alternative funding source and shown on the budget request as a Local Share cost. Administrative/Indirect Costs are allowable up to a maximum amount of 15% of the award amount. See Attachment A-1B, which provides a listing of allowable and non-allowable costs under TANF funding and can be found at the end of this RFP.

2.2 Proposal Submittal Process

All applicants must be registered with the **New York State Grants Gateway System (GGS)** and all **Not-for-Profit agencies must be prequalified prior to proposal submittal. Municipalities must be registered but not prequalified prior to proposal submittal.**

If you are not already registered:

REGISTER WITH THE GRANTS GATEWAY – Registration forms are available at the **GGS** website: www.grantsreform.ny.gov.

- Include your SFS Vendor ID on the form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the website).
- All registration must include an Organization Chart in order to be processed.
- When you receive your login information, log in and change your password.

If you are an applicant, and have problems complying with this provision, please contact the **GGS** help desk via email: helpdesk@agatesoftware.com -- **OR** -- by telephone: 1-800-820-1890.

How to Submit a Proposal

Proposals must be submitted online via the Grants Gateway by the date and time posted on the cover of this RFP. Tutorials (training videos) for use of the Grants Gateway are available at the following web address (and upon user log in):

http://grantsreform.ny.gov/youtube?sm_au=iVV2TSsJ0t5kR4rP .

To apply, log into the Grants Gateway and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name provided on the cover page of this RFP, select the Office of Children and Family Services as the Funding Agency and hit the Search button. Click on the name of the Grant Opportunity from the search results grid and then click on the APPLY FOR GRANT OPPORTUNITY button located at bottom left of the Main page of the Grant Opportunity.

In order to access the online proposal and other required documents such as the attachments, you **MUST** be registered and logged into the NYS Grants Gateway system in the user role of either a “Grantee” or a “Grantee Contract Signatory.”

For further information on how to apply, please access the Grantee Quick Start Guide under the Pre-Submission Upload Properties for this opportunity.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Reform website at the following web address: <http://grantsreform.ny.gov/Grantees> and select the “Grantee Quick Start Guide” from the menu. There is a more detailed “Grantee User Guide” available on this page as well.

Late proposals will not be accepted. **Proposals will not be accepted via fax, e-mail, hard copy or hand delivery.**

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 on the cover of this RFP.

www.grantsreform.ny.gov/grantees

Grants Reform Videos (includes a document vault tutorial and an application tutorial) on YouTube: <http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>

Agate Technical Support Help Desk
Phone: 1-800-820-1890
Hours: Monday thru Friday 8am to 8pm
Email: helpdesk@agatesoftware.com
(Technical questions)

Grants Team Email: Grantsreform@budget.ny.gov
(Proposal Completion, Policy, and Registration questions)

www.grantsgateway.ny.gov

Proposal Due Date

The due date and time for the submission of Settlement House Program Proposal into the Grants Gateway is as stated on page 2 of this RFA in the **Timetable of Key Events** section. The **GGS** will not accept proposals after the due date and time.

- Proposals are to be submitted into the **GGS only**.
- Proposals may not be submitted via email, postal delivery, or facsimile

Required Documents

All required documents are contained in the **GGS**.

2.3 Selection Criteria (Pass / Fail Review Properties)

Applications **must meet** all of the following mandatory requirements to receive a Settlement House Award. All Settlement House applicants that pass the mandatory pass/fail requirements will receive funding defined in section 1.3 of this RFA titled Purpose and Funding Availability

1. The applicant agency must be a Settlement House as defined in Section 1.5 of this RFA titled Eligible Applicants. This will be determined based on the responses to the following questions:
 - Is the organization incorporated as a Settlement House? Yes No
 - Is the organization an independent voluntary not-for-profit organization that is tax-exempt pursuant to section 501(c)(3) of the internal revenue code? Yes No
 - Is the organization engaged in community work and social service delivery in a defined neighborhood in a municipality in New York State? Yes No
 - Does the organization provide comprehensive, coordinated, family-focused, multi-generational human services based on the needs of the neighborhood served? Yes No
 - Has the organization been incorporated for at least three years? Yes No
 - Does the organization provide services to all those who live in the neighborhood served without regard to race, creed, religious practice, color, sex, age, national origin, economic status, disability, or affectional preference? Yes No
 - Does the agency have an independent, autonomous board of directors which meets at regular intervals, has full authority over the policies and operations of the organization, and the membership of which includes community residents?
Yes No
 - Does the organization employ appropriate staff including a position of chief executive officer?
Yes No
 - Does the organization have a budget which is adopted on an annual basis by the board of directors, utilizes an accepted accounting system, and has an annual fiscal audit prepared by a certified public accountant not connected with the organization?
Yes No

- Is the organization's primary purposes is the improvement of the relationship among groups of different cultural, economic, religious, and social groups in the community through a variety of individual, group, and inter-group activities? Yes No
 - Did the applicant submit a copy of the 2013 federal IRS Form 990; or document extenuating circumstance as define in Section 1.3. Yes No
2. Does the applicant have at least two measurable Project Objectives that support the Project Outcome? Pass Fail
 3. Does the application address how the applicant will address the linguistic and cultural needs of the community? Pass Fail
 4. Does the application address plans to meet the needs of disconnected youth in the community as defined Section 1.1? Pass Fail
 5. Is the applicant an existing settlement house provider from the previous RFA? Yes No If No, the applicant agency must document in the Project Description the type and extent of services rendered by the Settlement House in the past three years. Pass Fail
 6. Does the application document in the Project Description a process for meeting TANF eligibility requirements? Pass Fail

2.4 Informational Meeting(s)/Bidders Conference and/or Technical Assistance Sessions

No Informational Meetings and/or Technical Assistance Sessions will be held.

2.5 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. 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 OCFS to complete and sign the [Contractor Employee and Volunteer Background Certification – \(OCFS-4716\)](#) and [Confidentiality Non-Disclosure Agreement – \(OCFS-4715\)](#) forms. These forms must be completed before any such employees and/or volunteers are permitted access to youth in 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 Six: Contract Documents – Attachment A-1, Agency Specific Terms and Conditions.**

2.6 Charities Registration - Not-for-Profit Corporations Only

Not-for-profit corporations that submit proposals must comply with Article 7-A of the State Executive Law and the Estates, Powers and Trusts Law, Solicitation and Collection of Funds for Charitable Purposes.

2.7 Federal Requirements (If Federally Funded)

See Attachment A-2, Federally Funded Grants, for federally funded opportunities [located in Section Six: Contract Documents.](#)

2.8 Vendor Responsibility Requirements

New York State Finance Law requires that state agencies award contracts to responsible contractors including but not limited to not-for-profit and for-profit vendors. 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 the sole discretion, it determines the bidder is not a responsible vendor, or is not, or may not be, during the life of the contract, a stable financial entity. All proposals are subject to 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 OSC.

Enrolling and completing the questionnaire on-line 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 system.

To access or enroll in the VendRep System, or update your existing online questionnaire click here: [On-line Questionnaire](#). Questionnaires in the VendRep System that have been completed in the last 6 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 6 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 Vendor Responsibility Questionnaires depending on the contractor status. The Vendor Responsibility Questionnaire – Not- For-Profit Business Entity form must be used by not-for-profit vendors, and the Vendor Responsibility Questionnaire – For Profit Business Entity Form must be used by For-Profit Vendors

Vendors are also encouraged to have subcontractors file the required Vendor Responsibility Questionnaire on line 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 needs to agree to 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.
- On-line 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: All Vendor Responsibility Questionnaires must be dated within 6 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. Refer to Section 2.8 for information about general Vendor Responsibility Questionnaire Requirements and the automated New York State VendRep System.

2.9 Workers Compensation Law

New York State Workers' Compensation Law (WCL) and Section 142 of the State Finance Law requires that businesses contracting with New York State HAVE and MAINTAIN workers' compensation and disability insurances. 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. Please note that the OSC has determined that municipalities are not required to show proof of coverage.

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 submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage. The forms can be accessed at: <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.

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 must submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage. The forms can be accessed at:

<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.

2.10 Required Electronic Payments and Substitute Form W-9

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

Additionally as New York State proceeds with implementing the new Statewide Financial System, (SFS) the Office of the State Comptroller (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 the vendor file contains information state agencies need 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 the New York State Office of Children and Family Services. 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 also file a Substitute Form W-9 with their Electronic Payment Authorization Form.

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

<http://www.osc.state.ny.us/epay/how.htm>

<http://www.osc.state.ny.us/agencies/guide/MyWebHelp/> (Guide to Financial Operations)

2.11 Organizational Chart

The Organization Chart 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 Board of Directors and the organization as a whole. [Please update this document in Grants Gateway Document Vault.](#)

2.12 OCFS 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.
3. Request all bidders who submitted proposals to present supplemental information clarifying their proposals either in writing or by formal presentation.
4. Require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal that may include an oral presentation of their proposal, and may be considered in the evaluation of the proposal.
5. Direct all bidders who submitted proposals to prepare modifications addressing RFP amendments and/or amend any part of this RFP with notification to all bidders. These actions are without liability to any bidder or other party, for expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP.
6. Make funding decisions that maximize compliance with and address the outcomes identified in this RFP.
7. 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.
8. Eliminate any RFP requirements unmet by all bidders, upon notice to all parties that submitted proposals.
9. Waive procedural technicalities, or modify minor irregularities, in proposals received, after notification to the bidder involved.
10. Correct any arithmetic errors in any proposal, or make typographical corrections to proposals, with the concurrence of the bidder.
11. Negotiate with the selected bidder(s) prior to contract award.
12. Award 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.
13. Award contracts to more than one bidder, or to other than the lowest bidder.
14. 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.
15. 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.
16. 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.
17. Make additional awards based on the remaining proposals submitted in response to this RFP and/or to provide additional funding to awardees if additional funds become available.

18. Make inquiries of third parties, including but not limited to bidders 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.
19. 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.
20. Consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals.

2.13 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 "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") 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. Additionally, 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 its engagement in the investment activity which 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, 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.

2.14 Encouraging Use of New York State Businesses in Contract Performance

The "Encouraging Use of New York State Business Form" is to be used in all solicitations that will involve subcontractors or suppliers. This form is intended to capture statistical data to support the State's initiative to encourage contractors to utilize New York State businesses when they have subcontracting opportunities or need to purchase supplies. Direct link to the form: [Encouraging Use of New York State Businesses in Contract Performance](#). **Please upload the completed form with the proposal.**

2.15 Program Plan / Narrative including Objectives, Tasks and Performance Measures

When developing your work plan in the Grants Gateway please make sure to address:

1. Project Description - Describe your organization, its background and purpose. Next briefly describe how you will implement your project by addressing each of the following areas:

- Define the Project Outcome
- Program Location
- Services and Activities to be provided
- Days and Hours of Operation

Please address the above 4 areas in the Grants Gateway Work Plan Overview of the Project Summary box.

The two areas below can be addressed in Grants Gateway Work Plan Overview of the Organizational Capacity box.

- Staff Responsibilities & Duties
- Collaborations

2. Project Objectives - Objectives must be measurable, specific, relate to budget items and the Project Description, and be consistent with the contract term. They must be stated in terms of the

services provided and will be used to help measure the success of the project. For each service to be provided write an objective for how many people will be served and how often the service is provided and how the Objective achieves the planned Project Outcome. You will be required to report on these objectives.

Please address the Project Objectives in the Grants Gateway Work Plan Overview by addressing your Objectives, Tasks, and Performance Measures in the appropriate boxes in the Grants Gateway.

The Program Plan/Narrative Describes the Overall Project Design

1. Project Outcome

Describe the desired end result of this project. This end result will be considered the Project Outcome. The Project Outcome should be measurable and meet a demonstrated community need. The Project Description must detail the services that will be provided. The Project Objectives are the desired condition or behavior that will be addressed and that are the focus of this application and will result in the Project Outcome.

2. Project Description

Organizational Description

Describe the Agency mission, past accomplishments highlighting experience with the target population or a similar program with another population, special characteristics and resources of your organization that are predictive of your success in achieving the stated Project Outcome and Project Objectives. The applicant Agency must include the type and extent of services rendered by the Settlement House in the past three years.

Program Location

Describe the physical location(s) of the project.

Days and Hours of Operation

Provide the hours and days of operation.

Target Population

The target population is the specific group of individuals, families, and/or community members who will directly interact with the program staff. They are the targeted beneficiaries of the program, the people whose well-being, health and development is being promoted or whose condition, behavior or status will change in some way as a result of your services. Generally, they have a need to be met or a condition or behavior that the program activities are intended to improve.

Describe the target population including their characteristics, strengths, problems and specific needs. The description does not need to be long or complex. However it must be clear and evidence an understanding of the particular needs or problems of the target population that the proposed program activities seek to address; demonstrate the particular community need, the Project Outcome should address this documented need. The identified need should be the core of the planned Project Outcome. Include:

- **General Characteristics** - This should include but not be limited to the number of individuals to be served, their age, geographic location, gender, race/ethnicity, economic status, and other special attributes or relevant information.
- **Strengths, Needs, Conditions and Behaviors of Target Population** - Explain the particular problems and needs the program activities will address and the strengths that will be built upon. Note that a description of needs/conditions/behaviors only is required here; not how the project will address these needs. Identify eligibility criteria for participation in your program activities. Explain how disconnected youth are served.
- **Target Community** - Describe the need for the program to target services in the community in which the target population lives. Identify other currently available community programs and services

addressing this need. Explain why the proposed program, if funded, would attract the expected number of participants. Describe the degree to which targeted participants, providers or others in the community were involved in planning the program to be delivered.

Services and Activities to be Provided:

The services and activities to be provided must demonstrate that the program is likely to attain the identified Project Outcome and Project Objectives and be consistent with all TANF requirements.

- Describe the core features or essential elements of the program, including the kinds of services provided, how often and for how long they will be provided, and how they will be delivered. Include plans for outreach.
- Provide information about the community to be served and how the proposed project relates to the overall needs of the community.
- Describe the target population including its characteristics, strengths, problems and specific needs. Your description does not need to be long or complex. However, it must be clear and evidence an understanding of the particular needs or problems of the target population that your program activities seek to address and demonstrate the particular community need.
- Discuss how the organization will coordinate or collaborate with other community services. Indicate if steps will be taken to coordinate efforts with programs that have similar target populations or services. Attach letters of agreement to participate from indicated referral sources.
- Discuss how the organization will address the needs of disconnected youth as defined in Section 1.1.
- Discuss how the organization will address the linguistic and cultural needs of the community.
- Discuss how and where TANF eligibility and certification will be conducted.

Staff Responsibilities and Duties

- Describe the staffing plan, staff resources, lines of supervision, qualifications and competencies as they relate to the proposed program activities.
- Explain how staff reflects the language and culture of the community to be served.
- Explain the applicant organization's experience working with disconnected youth.

3. Project Objectives

Project Objectives are the measurable improvements in the condition or behavior of the target population the program activities intend to achieve by the end of the contract period and will result in the Project Outcome. Project Objectives are quantifiable and verifiable indicators of program performance. Attainment of several project objectives may be needed to indicate the achievement of a single outcome. Project Objectives can be either an increase in positive behavior or condition or a reduction in a negative or destructive behavior or condition. A program's success is measured by how well it achieves its Project Objectives. Project Objectives should be ambitious, but realistic.

Project Objectives must:

- address at least two significant identified needs of the target population(s);
- address the linguistic and cultural needs of the community;
- address the needs of disconnected youth as defined Section 1.2;
- identify the expected results, such as changes in the condition, status or behavior of the target population as opposed to the activities designed to produce those changes;
- identify results that will significantly contribute to the attainment of the desired objectives;

- be clearly defined and measurable;
- identify meaningful improvements to the condition, status or behavior of the target population; and
be achievable with the resources available to the program.

2.16 Proposed Budget - Instructions

Budget submission is not required for application, but will be required after awards are made.

Allowable Program Costs for Settlement Houses under this RFA

Applicants must use requested funds to achieve the stated project objectives sought through this RFA. A local share or match to grant funds is not required. TANF rules apply to all awards made from this RFA. TANF funding must be used only for TANF eligible costs. (For further information and a description of allowable and non-allowable TANF program costs, see Attachment A, part B). TANF funding cannot be used to support capital development or acquisition costs such as purchasing buildings and major refurbishing / renovation of buildings. Allowable use of program funds include, but are not limited to:

- Staffing, fringe benefits
- Project Equipment and furniture
- Computer equipment and appropriate software for the project
- Supplies, mailing and printing costs of project related flyers/pamphlets, educational materials
- Staff travel costs at State rate. State rates are available at the following web address:
<http://www.osc.state.ny.us/agencies/travel/travel.htm>
- Telephone installation and monthly billing
- Consultants retained by a formal agreement and on a hourly basis, for such services as educational presentations, domestic/family violence screening/assessment, etc.
- Rental of space in which to conduct project services in the community.

Administrative/Indirect Costs

General administrative costs, such as accounting and legal services, and overhead costs, such as office rent and utilities, may be combined and included under "other" as an indirect cost, only if you have an approved federal indirect cost rate agreement. A copy of the current Indirect Cost Rate approved by the US Department of Health and Human Services (DHHS) or other primary federal funding source must be included with the application and must give details of the rate calculation. If using an indirect rate, do not include separate costs for items in these categories in your budget. Any cost which is budgeted completely or partially as a direct cost may not be part of the budgeted indirect costs. An explanation of non-duplication of other budget items and methods of calculation for the project will need to be provided.

OCFS will reimburse the federally approved rate up to a maximum of 15% of the grant award. Be sure to complete the Description of Cost Allocation Methodology form or narrative. You may provide a description of your cost allocation methodology for approval if you are unable to secure the signature of an accountant or auditor. Please note that total administrative costs (indirect plus any direct charged administrative personnel, related fringes and non-personal services) are limited to 15% of the grant award.

If your agency does not have an approved indirect rate as described above, you must direct charge these costs in the appropriate budget category. 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 project must be charged proportionately and the method of allocation must be documented on the completed Cost Allocation Attestation form.

OCFS will not pay for costs incurred in the submission of an application.

Section Three.... CONTRACT POLICY INFORMATION

3.1 Minority- and Women-Owned Business Enterprises (MWBE) – Equal Employment Opportunity (EEO) - Requirements & 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.

New York State Executive Law (Article 15-A)

Pursuant to New York State Executive Law Article 15-A, the New York State Office of Children and Family Services (OCFS) recognizes its obligation to promote opportunities for maximum feasible participation of certified Minority and Women-Owned Business Enterprises (M/WBEs) and the employment of minority group members and women in the performance of OCFS contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether M/WBEs had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of M/WBEs in state procurement contracting versus the number of M/WBEs that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified M/WBE Program. The recommendations from the Disparity Study culminated in the enactment and implementation of New York State Executive Law Article 15-A, (which requires, among other things, that OCFS establish goals for maximum feasible participation of New York State certified M/WBEs and the employment of minority group members and women in the performance of New York State contracts. In order to be recognized as a certified MWBE, a vendor must be for-profit and certified by the Empire State Development.

Business Participation Opportunities for M/WBEs – OCFS Established Goals

For purposes of this solicitation, OCFS hereby establishes an overall goal of 30% for M/WBE participation with a recommended breakdown of 15% for Minority-Owned Business Enterprises (MBE) participation and 15% for Women-Owned Business Enterprises (WBE) participation (based on the current availability of qualified MBEs and WBEs). It is expected that all Contractors make a good-faith effort to utilize M/WBEs when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS.

A Contractor must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Contract, and agrees that OCFS may withhold payment pending receipt of the required M/WBE documentation. The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com>. This website (known as New York State Contract System – NYSCS) was developed to facilitate New York State's Minority - and Women-Owned Business Enterprise (M/WBE) initiatives as set forth in Article 15-A of Executive Law. NYSCS offers tools that can be used by businesses, as well as New York State Agencies, to expand the role of minorities and women-owned businesses in the economic activities of New York State. This website contains:

- A Directory of all Certified Minority- and Women-Owned Businesses. This database is designed to allow end-users the capability to search for M/WBE vendors in a variety of ways; for example, by region, product type, product category or name.
- A portal to be used by agencies and businesses at the prime and sub-prime level to record, monitor and report M/WBE goal attainment in state funded contracting. (The NYSCS allows only the reporting of money spent with Certified M/WBEs.)
- Links to the latest bid and grant opportunities from state agencies, authorities and state universities.
- Information on the Empire State Development Corporation and the Governor's M/WBE Program.

Vendors interested in doing business with New York State agencies are encouraged to familiarize themselves with this resource before the contracting process begins since it contains the information needed to identify Certified M/WBEs, which is required for compliance.

For guidance on how OCFS will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8 at the following website:

http://www.esd.ny.gov/MWBE/Data/122210_MWBE15-ARegs.pdf

In accordance with 5 NYCRR §142.13 (Provisions in Contracts; Violations), the contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the M/WBE participation goals set forth in the contract, such finding constitutes a breach of contract and OCFS may withhold or recover payment from the contractor as liquidated or other damages, as well as impose other such remedies as determined necessary. Such liquidated damages shall be calculated up to an amount equaling the difference between: (1) all sums identified for payment to M/WBEs had the contractor achieved the contractual M/WBE goals; and (2) all sums actually paid to M/WBEs for work performed or materials supplied under the contract.

Notice of Deficiency (Issued to Contractor if warranted by OCFS)

OCFS expects its contractors to demonstrate good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the establishment of M/WBE goals in accordance with agency standards and in the performance of the contract. This includes the contractor's requirements to properly document said efforts. OCFS will work collaboratively with contractors, whenever possible, to lend technical assistance to accomplish successful compliance with the requirements set forth in Article 15-A of the NYS Executive Law to minimize the need for punitive or other corrective actions.

However, when it is determined that no other recourse is possible, a **Notice of Deficiency** may be issued to the contractor. The issuance of a **Notice of Deficiency** may occur during contract development, prior to full execution of the contract, or at any point during the term of the contract. The determination of deficiency will be made by OCFS, following the review of information provided by the contractor.

If OCFS issues a **Notice of Deficiency**, the contractor must respond to the notice within seven (7) business days of receipt, by **submitting a written remedy to (NYS Office of Children and Family Services, Equal Opportunities and Diversity Development Unit, Room 205 South Building, 52 Washington Street, Rensselaer, NY 12144 – Attn: Affirmative Action Administrator)**. If the written remedy submitted is not timely or is found by OCFS to be inadequate, OCFS may notify the contractor of any inadequacies in the response. As a result, the contractor may be directed by OCFS to submit an [OCFS-4442 - M/WBE Request for Waiver Form](#) within seven (7) business days, requesting either a partial or total waiver of MWBE participation goals. Failure to file the Request for Waiver Form in a timely manner may be grounds for disqualification of the proposal or contract. Completed Request for Waiver Forms must be **signed and emailed to: mwbeinfo@ocfs.ny.gov**.

Please be advised that **there are no automatic waivers**. All requests for waivers will require **both the approval of OCFS and the Governor's Office**.

Required Documentation

By submitting this proposal, bidder/contractor agrees to complete and submit the following forms, documents and/or requested information, as required or applicable, as evidence of compliance with the foregoing. Once a contract is awarded, OCFS may disqualify a contractor as being non-responsive if the contractor fails to submit any of the below-noted three (3) forms/documents listed with an asterik (*), which are required during contract development; **OR**, if OCFS determines that the contractor has failed to document good faith efforts to comply with Article 15-A.

It is expected that all contractors make a good-faith effort to utilize Minority and/or Women Owned Business Enterprises (M/WBEs) when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS.

- [OCFS-4629 - Project Staffing Plan Form](#)

This form is to be completed by the bidder upon contract development identifying the anticipated work force to be utilized on the contract. Any modifications or changes to the Project Staffing Plan form after a

contract is awarded must be reported on a revised Project Staffing Plan form, on a quarterly basis. **Submit with proposal to (Program contact name, division and bureau, address).** If there are no personal service dollars committed to the contract then the Project Staffing Plan form is not required.

- [OCFS-3460 – M/WBE – Equal Employment Opportunity Policy Statement](#) * (Applies to Contract Awardees ONLY)

This document is to be completed by the contractor and submitted to OCFS, pursuant to Article 15-A of the NYS Executive Law. OCFS-3460 is provided to contractors/subcontractors as a model Policy Statement and may be used if the contractor/subcontractor lacks an M/WBE-EEO Policy Statement that is acceptable pursuant to Article 15-A. The contractor/subcontractor has the option to use this model statement or create an appropriate M/WBE-EEO Policy Statement to be submitted to OCFS for approval. More information on the M/WBE-EEO Policy Statement can be found in the [MWBE Appendix](#). **Completed Document: To be signed and emailed to: mwbeinfo@ocfs.ny.gov.**

- [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) * (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by the contractor during the contract development stage for the purpose of identifying anticipated M/WBE utilization and during the term of a contract to report actual M/WBE participation goals achieved. Contractors should attempt to utilize, in good faith, any MBE or WBE identified on the Subcontracting/Suppliers Utilization Form, during the performance of the Contract. **Completed Form: To be signed and emailed to: mwbeinfo@ocfs.ny.gov.**

- [OCFS-4630 - Subcontractors and Suppliers Letter of Intent to Participate Form](#) (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by the proposed M/WBE Subcontractor/Supplier during the contract development stage, **and attached** to the [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) for each certified M/WBE the contractor proposes to utilize as subcontractors, service providers or suppliers. If the MBE or WBE proposed for any portion of this proposal/contract is a part of a joint venture or other temporarily-formed business arrangement, the name and address of the joint venture or the temporarily formed business entity should be indicated. If the subcontractors are unknown at the time of the award, enter prime contractor information and enter “unknown” in the “subcontractor/supplier” section. **Completed form: To be signed and emailed to: mwbeinfo@ocfs.ny.gov.**

- [OCFS-4441 - M/WBE Quarterly Report Form](#) (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by contractor within 15 days following the end of each applicable reporting quarter over the term of the contract, documenting the progress made toward achievement of the MWBE goals of the contract. **Completed Form: To be signed and emailed to mwbeinfo@ocfs.ny.gov.**

Equal Employment Opportunity (EEO) Requirements

By submission of this proposal, the bidder/contractor agrees with all of the terms and conditions of the State of New York Master Contracts for Grants, including Section IV. Additional Contractor Obligations, Representations and Warranties, J. Equal Opportunities for Minorities and Women; Minority and Women Owned Business Enterprises and Appendix M/WBE. The contractor is required to ensure that any subcontractors awarded a subcontract over \$100,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "work") except where the work is for the beneficial use of the contractor, shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed (religion), 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.

Further, pursuant to Article 15-A of the NYS 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, national origin, sex, 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.

3.2 Omnibus Procurement Act

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

Information on the availability of New York State subcontractors and suppliers is available on the internet at www.esd.ny.gov. For additional information and assistance, contact:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
Email: opa@esd.ny.gov

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

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, New York 10017
Telephone: 212-803-2414
Email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/frontend/vendorsearchpublic.asp>

NOTE: Companies requesting lists of potential subcontractors and suppliers are encouraged to identify the SIC code, size and location of vendors.

A directory of minority and women-owned business enterprises is available on the internet at www.esd.ny.gov. For additional information and assistance, contact either of the above listed offices.

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.
2. Document 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 New York State Empire State Development business enterprises, including certified minority/ women-owned businesses, or
 - Contacted the New York State Empire State Development 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.
 - If the contractor determines that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, the contractor shall provide a statement indicating the method by which such determination was made.
 - If the contractor does not intend to use subcontractors, the contractor shall provide a statement verifying such.
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 through listing any such positions with 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 non-governmental entity influenced by the same. A list of discriminatory jurisdiction is maintained by the Commissioner of the New York State Empire State Development.

3.3 OCFS Procedure for Handling of Protests/Appeals of Bid Requirements and Proposed Awards

Section 1: Applicability

Section 2: Definitions

Section 3: Informal Complaints or Protests

Section 4: Formal Protest Procedure

Section 5: Appeal of Formal Protest Decision

Section 1: Applicability

The intent and purpose of these guidelines is to set forth the procedure to be utilized when an interested party challenges a contract award by OCFS. These guidelines shall apply to all contract awards by OCFS.

Section 2: Definitions

1. "Interested party" means a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "Contract award" is a written determination from OCFS to an offeror, indicating that OCFS has accepted the offeror's bid or offer.
3. "Protest" shall mean a written challenge to a contract award by OCFS.
4. "Procurement" shall mean any method used to solicit or establish a contract (i.e. invitation for bid, request for proposal, single/sole source, etc.)
5. "Protesting party" is the party who is filing a protest to the bid, contract award, or other aspect of procurement.

Section 3: Informal Complaints or Protests

In order to reduce the administrative burden and to be responsive to interested parties, other than as provided below, OCFS staff will be receptive to and attempt to resolve issues, inquiries, questions and complaints on an informal basis, whenever possible. Information provided informally by any interested party will be fully reviewed by the OCFS Program Division responsible for the procurement. Matters that are identified by the interested party as containing, or that OCFS perceives to contain, potentially confidential or trade secret information, may be shared internally within OCFS as necessary. OCFS staff will document the subject matter and results of any informal complaints and inquiries. OCFS's response to the informal complaint or inquiry will indicate the existence of a formal protest policy available to the interested party should the informal process fail to resolve the matter.

Final OCFS determinations or recommendations for award may be reconsidered only in the context of a formal written protest.

Section 4: Formal Protest Procedure

Any interested party who believes that there are errors or omissions in the procurement process, who believes they have been aggrieved in the drafting or issuance of a bid solicitation or who believe 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

1. Deadline for Submission

- a. Concerning Alleged Errors, Omissions or Prejudice in the Bid Specifications or Documents: Formal protests that concern alleged errors in the drafting of bid specifications must be received by OCFS at least ten (10) calendar days before the date set in the solicitation for receipt of bids.
- b. Concerning Proposed Contract Award: 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 protest. Formal protests will not be accepted by OCFS concerning a contract award after the contract between OCFS and the offeror who received the contract award has been approved by the Office of the State Comptroller.

B. Review and Final Determination

1. Formal protests must be filed with the OCFS Associate Deputy Commissioner of Administration. Any protests filed with the OCFS Program Division responsible for the procurement will be advanced to the Associate Deputy Commissioner of Administration. Copies of all protests will be provided by the Associate Deputy Commissioner of Administration to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Deputy Commissioner of Administration.
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 action ("designee") to determine and undertake the initial resolution or settlement of any protest.
3. The OCFS program division responsible for the procurement will conduct a review of the records involved in the protest, and provide a memorandum to the Associate Deputy Commissioner of Administration or the Associate Deputy Commissioner's designee summarizing the facts, an analysis of the substance of the protest, and a preliminary recommendation including: (a) an evaluation of the findings and recommendations, (b) the materials presented by the protesting party and/or any materials required of or submitted by other bidders, (c) the results of any consultation with the OCFS Division of Legal Affairs, and (d) a draft response to the protest.
4. A copy of the final protest decision, 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 protest, except that upon notice to the protesting party such period may be extended. The final protest determination will be recorded and included in the procurement record, or otherwise forwarded to the Office of the State Comptroller (OSC).

C. Appeals

1. The final protest determination shall be deemed a final and conclusive agency determination unless a written notice of appeal is received by the OCFS Executive Deputy Commissioner no more than fifteen (15) business days after the date the final protest decision is sent to the protesting party.
2. The Executive Deputy Commissioner or his or her designee shall hear and make a final determination 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 final 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. OCFS will continue procurement and contract award activity prior to the final protest determination. The receipt of a formal bid protest will not 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 protest and any appeal will be included in the procurement record. If a final protest determination, or a final decision on an appeal, has been reached prior to transmittal of the procurement record and the contract(s) to OSC, a copy of the final determination or decision will be included in the procurement record and with the contract(s).
 - b. If a final protest determination is made after the transmittal of the procurement record and contract(s) to OSC, but prior to OSC approval, a copy of the final OCFS determination 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.
5. All records related to formal protests and appeals shall be retained for at least one (1) year following resolution of the protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention

Section 5: Appeal of Formal Protest Decision

If the protesting party is still not satisfied with the result of its protest after conclusion of the appeal to the OCFS Executive Deputy Commissioner, the protesting party must file an appeal with OSC. The protest to the OSC Bureau of Contracts must be in writing and must contain specific factual and/or legal allegations setting forth the basis on 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 Office of the State Comptroller, 110 State Street, 11th Floor, Albany, NY 12236.

Section Four.... KEY CONCEPTS

4.1 N/A

Section Five.... GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

Fiscal Documentation: Documentation necessary for payment.

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

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

Legal Documents: Legally required application/contract components.

Organizational Qualifications: The organizational characteristics and capacity (i.e. agency mission, past accomplishments/experience in serving the target population or in providing similar services to a different population, experience in collaborating with community agencies needed for program success, key people, 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, or research results, of what would happen to the target population without the program's intervention and its benefits. Projection should be numerical (# or %). 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 or program intervention. Outcomes may relate to knowledge, skills, attitudes, behaviors or condition. Either the investor or provider may set them. (They are broader, more general than performance targets. They do not require numerical projection). In some instances the outcome may be a system change rather than an individual behavior change.

Performance Targets: Performance targets are the ***measurable*** verifiable improvements in the condition or behavior of program recipients that the provider expects to achieve ***by the end of the contract period***. Targets are quantifiable and verifiable indicators of program performance. They contribute to the attainment of the desired outcomes for the target population. Attainment of several performance targets may be needed to indicate the achievement of a single outcome. 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. 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 to implement program -- Most relevant to new applicants or start-up.

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

Target Population: The specific group of people (individuals, families, community members or certain instances, specified personnel or entity) that are the focus of change and who will directly interact with the program. In certain instances where the desired outcome is systemic change, the 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 aforementioned integrity.

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

Section Six.... CONTRACT DOCUMENTS

The Contract Documents consist of the documents listed below. These documents are located in the **NYS Grants Gateway System (GGS)**:

http://www.grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.pdf

1. Face Page
2. Signatory Page
3. NYS Standard Terms and Conditions (State of New York Master Contract for Grants)
4. Attachment A-1 (Agency Specific Terms and Conditions)
5. Attachment A-2 (Federally Funded Grants)
6. Attachment B: Budget and Instructions
7. Attachment C: Work Plan
8. Attachment D: Payment and Reporting Schedule

Section Seven.... DISPROPORTIONATE MINORITY REPRESENTATION (DMR): 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, i.e. child welfare, juvenile justice, child care, youth development, and those services for the blind and visually impaired. In some of these 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.

Section Seven of the RFP contains more information regarding Disproportionate Minority Representation (DMR) and data in New York State, and is located: [Disproportionate Minority Representation \(DMR\)](#)