



**Office of Children
and Family Services**

ANDREW M. CUOMO
Governor

SHEILA J. POOLE
Acting Commissioner

REQUEST FOR PROPOSALS

Targeted Regional Permanency Resource Centers

Request for Proposals 2017

CFS01-RP2017-03



Office of Children and Family Services

ANDREW M. CUOMO
Governor

SHEILA J. POOLE
Acting Commissioner

Targeted Regional Permanency Resource Centers Request for Proposals 2017

Note: Throughout this document the terms “proposal” and “application” are used interchangeably as are the terms “bidder” and “applicant” or “offeror.”

Timetable of Key Events

<u>Event</u>	<u>Date</u>
Opportunity Announced	09/6/2016
Deadline for Submittal of Questions	09/13/2016
Posted Date of Answers	09/20/2016
Applications Due (Submitted in Grants Gateway)	10/18/2016 by 3:00 p.m. EST
Awards Announced (Tentative)	11/07/2016
Contract Start Date (Not earlier than)	02/01/2017

Inquiries

From the issuance of this Request For Proposals (RFP) until contractors are selected, all contacts with the New York State (NYS) Office of Children and Family Services (OCFS) personnel, except as otherwise specified herein, concerning this RFP must be made through the RFP Unit, NYS OCFS, 52 Washington Street, Room 202S, Rensselaer, NY 12144 or via email at RFP@OCFS.NY.GOV with “New York RFP inquiry Regional Permanency Resource Centers” in the subject line.

These inquiries can be of a technical nature, such as how to complete the RFP, or questions about substantive programmatic issues. Technical issues may be addressed on an ad hoc basis, but actual program specific questions will be collected separately. OCFS will receive all questions by the deadline set in the Timetable of Key Events and will post all Questions and Answers that are appropriate for posting by the deadline set in the Timetable of Key Events listed above.

Table of Contents

Section 1: BACKGROUND	1
1.1 Introduction.....	1
1.2 OCFS Statewide Considerations	2
1.3 Purpose and Funding Availability.....	3
1.4 Term of Contract	4
1.5 Eligible Applicants	4
1.6 Standard Contract Language	5
1.7 Executive Order Number 38 – Limits on State-Funded Administrative Costs & Executive Compensation	5
1.8 Contract Readiness.....	5
1.9 Accessibility of Web-Based Information and Applications	7
1.10 Grants Gateway System (GGS)/Contract Management System (CMS)	7
Section 2: GENERAL REQUIREMENTS/INSTRUCTIONS	7
2.1 Desired Outcomes and Program Requirements	7
2.2 Proposal Submittal Process.....	13
2.3 Selection Criteria (Pass/Fail Review Properties in Grants Gateway System)	15
2.4 Informational Meeting(s)/Bidders Conference and/or Technical Assistance Sessions	15
2.5 Contractor Employee and Volunteer Background/Confidentiality Non-Disclosure Agreement Forms. 15	
2.6 Charities Registration - Not-for-Profit Corporations Only.....	16
2.7 Federal Requirements (If Federally Funded)	17
2.8 Vendor Responsibility Requirements	17
2.9 Workers Compensation Law	18
2.10 Organizational Chart	19
2.11 OCFS Rights	19
2.12 Iran Divestment Act.....	20
2.13 Encouraging Use of New York State Businesses in Contract Performance.....	21
2.14 Program Plan/Narrative including Objectives, Tasks and Performance Measures	21
2.15 Proposed Budget – Instructions (20 points).....	23
Section 3: CONTRACT POLICY INFORMATION	27
3.1 Minority- and Women-Owned Business Enterprises (M/WBE) – Equal Employment Opportunity (EEO) - Requirements & Procedures.....	27
3.2 Omnibus Procurement Act.....	30
OCFS Procedure for Handling Formal Protests and Appeals	31
3.3	31
3.4 SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB).....	34
Section 4: Data Indicators	35
Section 5: GLOSSARY	39
5.1 GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS	39
Section 6: CONTRACT DOCUMENTS	41

Section 1: 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 contracting process that require not-for-profit organizations 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 New York State Office of Children and Family Services (OCFS) is pleased to announce this funding opportunity aimed at improving the safety, permanency and well-being of children in adoptive and legal guardianship families. The 2016-2017 New York State budget includes funds to provide post adoption and post guardianship supportive services that will keep children and families together.

The available funding for this RFP stems from the federal Fostering Connections to Success and Increasing Adoptions Act of 2008 (P.L. 110-351) (the Act). Enacted in October 2008, the Act was designed, in part, to assist children in foster care by promoting permanent families for children through adoption. The Act amended section 473 of the Social Security Act (SSA) by delinking outdated Assistance to Families with Dependent Children (AFDC) income requirements from Title IV-E adoption assistance eligibility thereby expanding eligibility for Title IV-E adoption assistance for certain foster children, referred to as applicable children. This modification to the federal Title IV-E adoption assistance eligibility standards is advantageous in that it expands the number of children who may be eligible for Title IV-E adoption assistance, which decreases the amount of State and local share paid for adoption subsidies. The other key provision of the Act was the inclusion of a requirement mandating that the State spend an amount equal to the amount of savings, if any, resulting from delinking for services that may be provided under the Title IV-B or Title IV-E programs. States must use the savings to supplement, not supplant, any federal or non-federal funds used to provide any service under Title IV-B or IV-E. In 2014, the federal Preventing Sex Trafficking and Strengthening Families Act (P.L. 113-183) amended section 473 of the SSA to require states to calculate and annually report to the federal government such savings. In addition, P.L. 113-183 established a spending formula for use of such savings requiring that at least 30 percent of the calculated savings be spent on post-adoption services, post-guardianship services and services to support positive permanent outcomes for children at risk of entering foster care. Proposals in response to this RFP must be programs designed to meet the criteria for expenditure of the calculated savings by focusing exclusively on post-adoption and post guardianship services.

1.2 OCFS Statewide Considerations

The mission of OCFS 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 overseeing policies and building partnerships at the federal, state, county and community levels that impact practice. OCFS funding investments assist communities to create and/or enhance the provision of quality services in the areas of child welfare, juvenile justice, adult protective services, and services for the legally blind and visually impaired.

OCFS conducts ongoing analysis of demographic data and fiscal expenditures to aid counties and communities in administering safe, effective and cost efficient services to the residents of our State. Paramount is ongoing self-assessment within "the system" to identify changes in service needs, interventions, and partnerships. 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 underrepresented 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 RFP provides localities with 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 that propose to serve the "disconnected/high need youth" population must consider that the clients cited above often require service intervention from multiple service systems. Where required by 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 seventh year of Racial Equity and Cultural Competence (RECC) work. Efforts to address RECC include 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 well-being 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 RFP as an opportunity to heighten public awareness of the issue of disproportionality and to begin to promote policies and practices that will gradually reduce it. Specific areas that every applicant and community are requested to consider in the design of their program and scope of services identified in their application for OCFS funding include, but are not limited to

- 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).

1.3 Purpose and Funding Availability

Purpose

The purpose of this "targeted" RFP is to fund Regional Permanency Resource Centers (PRC's) which will increase the State's capacity to strengthen families by providing critical post adoption and post guardianship services with programs designed based on the unique needs of adoptive and guardianship families.

A PRC must demonstrate the capacity to serve families in a minimum of four (4) of the following counties:

Chautauqua, Cattaraugus, Erie, Niagara, Orleans, Genesee, Wyoming, Livingston, Monroe, Wayne, Ontario, Yates, Seneca, Cayuga, Cortland, Onondaga, Oswego, Jefferson, St. Lawrence, Franklin, Clinton, Essex, Hamilton, Herkimer, Lewis, Oneida, Madison, Chenango, Otsego, Schoharie, Putnam, Rockland, Nassau, and Suffolk

Priority will be given to those PRC's designed to provide outreach and services in more than four (4) of the listed counties.

Program design must include collaboration with community members. Each program must be:

- Family-focused;
- Culturally sensitive;
- Strength-based and non-judgmental;
- Flexible in adapting services to family need;
- Easy to access in location and hours.

Programs must be designed to:

- Prevent post adoptive/post guardianship dissolutions/disruptions;
- Provide assistance to families so that children may be cared for in their own homes with their adoptive parent(s) or legal guardian(s);
- Strengthen post adoptive/post guardianship families and avoid foster care or other out-of-home placements.

Applicants must demonstrate that the proposed approach supports local child welfare strategies/priorities, has a reasonable sustainability plan and supplements current services provided by Local Department of Social Services (LDSS) and the St. Regis Mohawk tribe. Preference will be given to programs designed by partnering with community-based services and programs.

Funding Availability

The 2016-2017 State Budget appropriates \$1,500,000 for this targeted RFP. OCFS intends to fund up to five (5) Regional Permanency Resource Centers upstate with an annual budget averaging \$300,000 per center. These funds are a subset of the funding that was in the original RFP dated 06/08/2016.

Through this RFP, applicants may apply for funding to:

- start a program where there is sufficient justification for on-going support and the ability to start up the program within sixty days of the contract start date.

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

1.4 Term of Contract

The contracts awarded in response to this RFP will have an anticipated start date of February, 01, 2017 or when the contract is approved by the Office of the State Comptroller (whichever is later) and end date of January 30, 2018. It is anticipated that the contract will be for twelve (12) months with the option of up to four (4) one-year renewals. Annual funding will be contingent upon availability of funds and satisfactory contractor performance. 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

Community-based, non-profit organizations, including faith-based organizations, as well as American Indian community organizations, are eligible to apply. An LDSS, or an American Indian tribe that has entered into a State tribal agreement with OCFS in accordance with Section 39(2) of the Social Services Law, is not eligible to apply.

Services must be community or home-based, and the services and supports must actively engage families, children and caregivers. Coordination strategies with key stakeholders need to be established that strengthen caregiver/child access to services.

The following must be uploaded as attachments on the Grants Gateway no later than 10/18/2016 by 3:00 p.m.

- 1) A Letter of Commitment to Collaborate detailing partnership activities from each LDSS of each county to be served. The letter should include the plan for providing referrals to families for post adoptive and post guardianship services, proposed trainings for program staff and caseworkers, and examples of successful past partnerships. Letters must be signed by the LDSS Commissioner or Director of Service.**

Note: Proposals without the above will be considered incomplete and not eligible for an award from this RFP.

Partnerships with local offices for the aging, county youth bureaus and adoption competent service providers will need to be established by selected applicants during the first year of operation. These

collaborations will be reported in required OCFS quarterly reports as well as discussed during annual site visit evaluations.

In addition to fulfilling the requirements of the program plan, eligible applicants will need to be:

- experienced in working with adoption and guardianship families;
- staffed with a program coordinator who possesses a master of social work degree with a minimum of two years' experience or bachelor of social work with at least four years of experience working with at-risk families;
- ready to implement the program within sixty (60) days of the contract start date; and
- able to demonstrate a plan for sustainability beyond the duration of the project.

OCFS will only contract with organizations whose governing board (board of directors) includes a minimum of three members.

Section 702 of the Non-for-Profit Corporation Law requires that a not-for-profit corporation have at least three board members. The applicant must attach minutes and attendance lists for the organization's last three board of directors meetings.

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 Executive Order Number 38 and the applicable OCFS regulations (18 NYCRR Part 409 and 9 NYCRR Sub-part 166-5). The Executive Order can be found at the following website address <https://www.governor.ny.gov/executiveorder/38>.

LEGAL NOTICE: Based on the April 8, 2014, decision in *Agencies for Children's Therapy Services, Inc. v. New York State Department of Health, et al.* ("ACTS"); covered providers conducting business in Nassau County are not required to file Executive Order 38 disclosures. For purposes of this notice, "conducting business" means having a place of business within Nassau County, providing program services or administrative services involving the use or receipt of State funds or State authorized payments within Nassau County, or otherwise conducting business within Nassau County in relation to which executive compensation is paid. Please note that the ACTS decision is under appeal. Those affected by the ACTS' decision should periodically check the EO 38 website for updates regarding any changes to this notice.

1.8 Contract Readiness

New York State's prompt contracting and vendor responsibility law requires 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. 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 by 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 provides an [online tutorial](#) that walks 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 into 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, and we recommend that your registration in the Gateway be submitted at least one week prior to submission of your proposal.

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 in section 2.8. 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 require 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 Grants Gateway System (GGS)/Contract Management System (CMS)

OCFS has developed 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. All awards resulting from this RFP will be processed in CMS until GGS is available for contract development.

Section 2: GENERAL REQUIREMENTS/INSTRUCTIONS

2.1 Desired Outcomes and Program Requirements

OCFS is seeking proposals that address the specific challenges post adoptive and post-guardianship families encounter. OCFS is interested in investing in evidence-informed programs as well as innovative strategies that are expected to meet the needs of the target population. The guiding principle of each Regional Permanency Resource Center (PRC) will be to assess the need for and the provision of services that will keep children and families together.

Target Population

The target population for each PRC will exclusively be post adoptive and post guardianship families. The scope of the population to be served is broader than children who were in foster care.

Post-Adoptive Families

"Post-adoptive families" are families who have *finalized* the adoption of their child.

It includes any adoptive family member whether the adoption was:

- an agency (public or authorized voluntary agency) adoption;
- a private placement adoption; or
- an international adoption.

Post-Guardianship Families

"Post-guardianship families" include families with legal guardianship of the child and an approved KinGAP agreement or families with legal guardianship without a KinGAP agreement.

Core Components

To achieve improved outcomes through this RFP, the following core components must be provided by the vendor directly or through referral:

- Family-Focused Needs Assessment
- Trauma Assessment/Screening
- Information, Advocacy and Referral
- Navigation assistance for cross-system needs
- Parent Training
- Peer Support and Mentoring – parent/caregiver and child
- Respite activities
- Education support and advocacy
- Therapeutic Services
- Family Therapy
- Child Therapy Programs
- Trauma-Focused Cognitive Behavioral Therapy
- Crisis Intervention

Desired outcomes of the program model must include:

- Children are safe and maintained in their adoptive homes or homes of their guardians.
- Children have permanency and stability in their living situation and permanent family attachments following adoption or legal guardianship.
- Families have enhanced capacity to provide for their children and receive appropriate services to meet their education, physical, social/emotional development, and mental health needs.
- A reduction in the impact of trauma on children and families, post adoption/post guardianship.
- Prevention of adoptive/legal guardianship disruptions and or dissolutions.
- Stronger families and the avoidance of foster care or other out-of-home placements.

Program Model

Program models must include case management services and supportive services.

A. Case Management Services for Families

Case management is to promote and support family independence and self-sufficiency and to improve the well-being of families. As such, the case management process requires the consent and active participation of the child, parent or guardian in decision-making by utilizing assessments to identify needs and strengths while respecting a family's right to privacy, confidentiality and self-determination. Case management includes the following processes: intake, assessment of needs, service planning, service plan implementation, service coordination, monitoring and follow-up, reassessment, case conferencing and crisis intervention. These services are client driven and family engagement is critical in service planning.

Additionally, case management would include obtaining family information on their history of trauma, as well as making referrals to trauma-informed experts who use evidence-based treatment models when needed. Also, applicants should provide information about providers in their county who will provide trauma-informed treatment if needed. Letters of agreement from community providers will strengthen the application.

A key component of case management services is home visits. These visits must occur, at a minimum, on a monthly basis. Priority will be given to programs that allow for more than one home

visit per month during the first three (3) months of services. Verification of each home visit must be included in mandatory progress notes.

Home visits are designed to:

- Provide a level of comfort for the family;
- Provide an opportunity to meet children and all family members in the home;
- Assess for needs;
- Reach out to families that are isolated;
- Observe the parent/caregiver and the child's interactions, provide in-home child development and promote positive parenting practices; and
- Promote a safe home environment.

Providing families with the supports they need to care for their children will help maintain the stability of the placement and reduce the need for higher levels of care during crisis situations. Families need to feel supported by staff and provided with the training and supports they need to help deal with challenging behaviors that many children who have been adopted or placed with guardians may present.

Priority will be given to proposals that support post adoptive and post guardianship families who present in crisis. Adopted and guardianship children often are subject to traumatic events due to parental neglect/abuse, substance abuse, mental illness, incarceration, etc. Adoptive parents and guardians are often ill-prepared to identify and address these issues and need case management services to promote child/family safety, permanency and well-being.

Case management must include the use of the ACE (Adverse Childhood Experience) trauma assessment screening tool. In addition, a family-centered needs assessment must be completed to determine the parents/guardians capacity to care for a child and to identify additional resources that are needed by the caregivers.

Services will also provide training to help parents/guardians deal with challenging behaviors.

Applicants are strongly encouraged to select a training curriculum from any of the resources provided below or may identify alternative curriculums for this purpose:

AdoptUSKids <http://adoptuskids.org/>

Child Welfare Information Gateway <https://www.childwelfare.gov/topics/adoption/>

Child Welfare Information Gateway <https://www.childwelfare.gov/topics/permanency/relatives/>

Child Welfare Information Gateway <https://www.childwelfare.gov/topics/permanency/guardianship/>

Children's Bureau <http://www.acf.hhs.gov/programs/cb/focus-areas/adoption>

Children's Bureau <http://www.acf.hhs.gov/programs/cb/focus-areas/foster-care>

Children's Bureau <http://www.acf.hhs.gov/programs/cb/focus-areas/guardianship>

National Child Traumatic Stress Network Caring For Children Who Have Experienced Trauma

<http://www.nctsn.org/products/caring-for-children-who-have-experienced-trauma>

National Resource Center for Permanency and Family Connections

<http://www.nrcpfc.org/is/handbooks.html>

Dave Thomas Foundation for Adoption <https://davethomasfoundation.org/learn/research/>

The Donaldson Adoption Institute <http://adoptioninstitute.org/wordpress/wp-content/uploads/2014/04/Supporting-and-Preserving-Families.pdf>

B. Supportive Services for Families Training, Information, Referral and Advocacy

Supportive services may include parent/guardian training in individual or group formats as well as information, referral and advocacy services.

Adoptive parents and guardians often benefit from training that addresses stress management and coping strategies. Research indicates that early interventions and support focused on building family protective factors can reduce the risk of child abuse and maltreatment. These protective factors include:

- Nurturing and attachment – developing emotional bond and communicating positively with children.
- Children’s healthy social and emotional development – child’s ability to interact positively with others and communicate emotions effectively.
- Knowledge of parenting and child/youth development – accurate information about raising children and developing appropriate expectations for their behavior.
- Parental resiliency/family functioning – problem-solving, developing confidence/self-reliance, managing day to day challenges.
- Social connections - positive and emotional support from family and other community members.
- Concrete supports for parents/guardians – formal and informal access to resources in the community.

Applicants applying for this RFP are strongly encouraged to select one or more of the following curriculums:

Child Development Guide <http://ocfs.ny.gov/main/fostercare/assets/ChildDevelGuide.pdf>

National Child Traumatic Stress Network Caring For Children Who Have Experienced Trauma
<http://www.nctsn.org/products/caring-for-children-who-have-experienced-trauma>

Strengthening Families <http://www.strengtheningfamiliesprogram.org/>

Parenting a Second Time Around (PASTA)
www.parenting.cit.cornell.edu/pp_pasta.html

Supportive services may include advocating for caregivers/families and children and may include some or all of the following:

- Accompanying the parent/guardian to family court.
- Accompanying the parent/guardian to school meetings.
- Assisting with applications, if needed for temporary assistance for adoptive or post guardianship families.
- Develop peer mentorships to increase support and advocacy for high need post adoptive or guardianship families to provide training focusing on advocacy and peer mentoring. Recruit and train teams of volunteers from the community to provide support for the family.
- Partnering with Local Departments of Social Services (LDSSs), including the Administration of Children’s Services (ACS), and Human Resource Administration (HRA) workers on behalf of the clients.
- Collaborate with LDSS, both child welfare and temporary assistance, to identify and serve families in need.
- Meetings with LDSS leadership during program start-up with a follow-up meeting within the first year.

- Develop collaborative relationships with family court personnel, family court judges, legal services, and local bar associations.

Support groups for adults and/or children are another important support service. Support groups are a place for families and children to give and receive both emotional and practical support as well as to exchange information. Many families find support groups to be a valuable resource, providing an environment where people can share information, get confirmation that their feelings are "normal," as well as educate others.

Applicants should identify the support group curriculum and/or framework to be used for support groups. The following resources may advise the curriculum or framework:

Parenting Journey
<https://parentingjourney.org/>

Fostering Futures NY (FFNY) www.welfareresearch.org

Empowering Grandparents Raising Grandchildren A Training Manual for Group Leaders
<http://www.springerpub.com>

Circle of Parents http://www.circleofparents.org/parent_resources/index.html

Performance Targets

Post Guardianship Outcomes

Applicants must use Performance Targets #1-6. Applicants may include additional targets as they deem necessary.

Outcome #1

Safety, Stability and Well-Being for Post Guardianship Children

Baseline: Out of ____ # children, ____ # children would be at risk of placement outside the home without post guardianship program services.

Target: Of the ____# of children projected to be served, ____# will be safely maintained in the kinship home or returned to parents.

Verification Method: ACE assessment, family needs scale, case records, and progress notes.

Outcome #2

Connections to Community Resources and Supports

Baseline: Out of ____ # post guardian families, ____ # would have limited or no knowledge of community resources and services (e.g. housing, food, clothing, etc.) and would be unable to access these supports without program services.

Target: Of the ____# of families served, ____# will have identified at least two connections to community resources and services and be able to connect to these supports when needed.

Verification Method: case records, satisfaction surveys.

Outcome #3

Guardians will Learn Effective Parenting Strategies that Promote Children's Well-Being.

Baseline: Out of ____ # guardians, ____ # need information and training to address children's needs and improve parenting strategies to enhance well-being.

Target: By participating in offered parent training and informational sessions (individual/groups), ____# guardians will demonstrate effective parenting strategies/techniques that address the children's social, emotional, behavioral and developmental needs and improve protective factors.

Verification Method: case records, progress notes and customer satisfaction surveys.

Post-Adoption Outcomes

Outcome #4

Safety, Stability and Well-Being for Adoptive Children

Baseline: Out of ____ # children, ____ # would be at risk of placement outside the family home without post adoption program services.

Target: Of the ____# of children projected to be served, ____# will be safely maintained in the adoptive home

Verification Method: ACE and family needs assessments, case records, and progress notes.

Outcome #5

Connections to Community Resources and Supports.

Baseline: Out of ____ # adoptive families, ____ # would have limited or no knowledge of community resources and post adoption services.

Target: Of the ____# of families served, ____# will have identified at least two connections to community resources and services and be able to connect to these supports when needed.

Verification Method: case records, progress notes, satisfaction surveys.

Outcome #6

Post-adoptive Parents will Learn Effective Parenting Strategies That Promote Children's Well-Being.

Baseline: Out of ____ adoptive parents, ____ need information and training to address children's needs and improve parenting strategies to enhance well-being.

Target: By participating in offered parent training and informational sessions (individual/groups), ____# will demonstrate effective parenting strategies/techniques that address the children's social, emotional, behavioral and developmental needs.

Verification Method: case record, progress notes, customer satisfaction survey.

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, registration forms are available at the **GGS** website <http://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 registrations must include an Organizational 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 at helpdesk@agatesoftware.com or by telephone at 1-800-820-1890.

How to Submit a Proposal

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

https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx .

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.

Helpful Links

Some helpful links for questions of a technical nature are provided below. Questions regarding specific opportunities or proposals should be directed to the OCFS contact listed on the Inquiries section of the RFP following the cover page.

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>

Grants Gateway Technical Support Help Desk
Phone: 1-518-474-5595
Hours: Monday through Friday, 8:00 a.m. to 4:00 p.m.
Email: grantsgateway@its.ny.gov

<https://grantsgateway.ny.gov>

Proposal Due Date

The due date and time for the submission of Regional Permanency Resource Centers Proposals into the Grants Gateway is 10/18/2016 by 3:00 p.m. Eastern Standard Time (EST). 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, hand delivery, facsimile or in hard copy format.**

Required Documents

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

2.3 Selection Criteria (Pass/Fail Review Properties in Grants Gateway System)

Proposals/applications *must meet* the following *minimum* criteria to be considered for review. Program must consider the technical and fiscal requirements in developing this section. Please note that RFPs open to not-for-profits must contain a minimum of three members on the Board of Directors, and this will be confirmed by checking the Document Vault during the application review process.

Please note:

- Proposals, including completed budget forms, must be received by 10/18/2016 by 3:00 p.m. Eastern Standard Time (EST). Please refer to sections 2.15 (The Program Plan) and 2.16 (Proposed Budget) for proposal requirements.
- The organization applying must be considered eligible to apply; please see section 1.5 above entitled Eligible Applicants for a complete list of those organizations that are considered eligible to apply to this RFP.
- Applicants must be prequalified in the NYS Grants Gateway System.

The proposed budget must demonstrate a clear relationship between funds requested and the program activities and objectives. In addition, the proposed budget must include sufficient funds to operate the program successfully. Lastly, the proposed budget will receive a maximum of 20 points

Proposals will be rated by two reviewers. Discrepancies of fifteen points or more will receive a third review unless both scores are under seventy-five points. The final score will be based on the average of the two closest scores.

Recommendations will be based on highest scoring applications and other factors such as funding availability or geographic distribution of the proposals. In the event of a tie between two or more proposals, recommendations will be based on data indicators as outlined in Section Four.

OCFS will invest in services that are responsive to the considerations for Racial Equity and Cultural Competence (RECC) outlined in the above 1.2 OCFS Statewide Considerations.

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

Not applicable

2.5 Contractor Employee and Volunteer Background/Confidentiality Non-Disclosure Agreement Forms.

OCFS is responsible for maintaining the safety of the children and 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 program 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)

Not applicable

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 its sole discretion, it determines the bidder is not a responsible vendor or is not or may not be a stable financial entity during the life of the contract. 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 the Office of the State Comptroller (OSC).

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

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

Vendors opting to complete a paper questionnaire, can access the questionnaire by clicking the following link [Paper Questionnaire](#). Please note that there are separate 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 online through the New York State VendRep System. These subcontractors are required to submit a questionnaire when the value of the subcontract is \$100,000 or more.

Prior to executing a subcontract agreement, the contractor 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.
- Online questionnaire information is secure and accessible to authorized vendor users only. State agencies can only view certified and finalized questionnaires.
- VendRep question prompts ensure that the correct forms are completed.

- The VendRep On-Line System contains links to all definitions of the terms used in the questionnaire.

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

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

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

2.6 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 (ePayment).

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 that the vendor file contains the information State agencies need to contract with and pay vendors.

Please note that the contractor payee name and address provided to OSC for the ePayment 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)

2.10 Organizational Chart

The proposal must include a current Organizational Chart. Additionally, in the Grants Gateway you will need to include the entire organization structure and indicate 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 Agency Organizational Chart in the Grants Gateway Document Vault and upload it with your proposal.**

2.11 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 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 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 applicant's 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.

2.12 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/Offerors 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 that is in violation of the Act within 90 days after the determination of such violation, then OCFS shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages 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.

2.13 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. This link can be accessed using the following link: [Encouraging Use of New York State Businesses in Contract Performance](#). Please upload the completed form with the proposal.

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

The Program Plan/Narrative Describes the Overall Project Design

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

The Program Plan/Narrative should consist of the following sections:

1. Community
2. Target Population(s)
3. Objectives, Tasks and Performance Measures
4. Proposed Project
5. Project staff
6. Organization

Your proposal will be rated based on your organization’s responses to the above sections. Please be sure to address all of the questions in each section succinctly yet comprehensively. The number of points allocated to each area in the technical review appear in (parentheses) after each section below.

Guidelines for Each Section

1. Community (15 Points)

The proposal must clearly demonstrate the applicant’s knowledge of the demographics, cultures, linguistic requirements, issues and service needs of the community to be served by the proposed project. Describe planning activities that were conducted that contributed to the development of the proposal. Identify resources that were reviewed or consulted to develop your proposal, i.e., county plans, goals and/or statewide needs assessment(s) that were used to develop the proposal. Include trends that support the demand for the proposed project services, identify demographic data (including data on the community’s racial and ethnic composition and information related to disconnected youth), and social and economic changes that may be of significance to the target community to receive project services. Discuss how the proposed project relates to the overall needs of the community. Identify how the community was involved in planning for the proposed project. Identify community agency partners that will assist with the project and community readiness to receive project services.

2. Target Population(s) (10 Points)

The target population (individual, community, families, children, in some instances staff, etc.) is the intended recipient of project services for whom proposed project outcomes will be achieved. This section must describe the characteristics of the target population to be involved

in the program, the geographic area or community to be served, and discuss why the client group is targeted to receive services. Discuss other indicators which contribute to the target populations need for project services, e.g., disconnected youth, disproportionate minority representation. Describe how the project will conduct outreach to clients. The target population represents the individuals and/or families who are the ultimate recipient of the proposed services, and those for whom you want to affect some level of change in their status.

3. Objectives, Tasks and Performance Measures (20 Points)

OCFS uses an outcome-based approach to contracting. Outcome-based contracting is the provision of funding to achieve predefined demonstrated benefits for a specified population. It shifts the focus of contracting from services provision to the impact or results of those services.

It is critical to know the number of children living with adoptive parents or guardians who successfully achieve performance outcomes, safety, permanency and well-being as a result of program services.

Objectives are the desired benefits or changes for the target population following their interaction with a program. They are the expected results of program intervention. Objectives may relate to knowledge, skills, attitudes, behaviors or conditions. Objectives are broad, often long term, and are more general than tasks.

Program objectives must be consistent with the desired RFP objectives and address identified problems/conditions, needs and behaviors of the target population.

Objectives should:

- address at least one significant identified need of the target population(s);
- identify the expected results (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, have tasks and be measurable;
- be achievable with the resources available to the program; and
- identify appropriate and realistic methods to verify task attainment.

4. Proposed Project Description (15 Points)

This section describes the specific service model, services and activities to be conducted by the project. Discuss how the proposed model will address the current status of the target population. Discuss what specific services, core features or essential elements will be funded by the proposed project. Include sufficient detail to demonstrate that the design and delivery of the program is likely to result in attainment of the performance objectives you selected. Identify plans for outreach, collaboration and coordination in and with the community. Cite any special outreach efforts the project will conduct related to disproportionality and/or disconnected youth. Discuss how the project will interface with other in-house services and services available in the community. Describe the role the target population had in the design of the program and why this approach is the best way to achieve the expected objectives. Discuss cultural and linguistic considerations for the delivery of services to the target population and how the program will encourage successful case objectives for the target population. Discuss how the applicant will obtain ongoing input regarding customer satisfaction with project services from the community.

5. Project Staff (10 Points)

This section provides a comprehensive overview of the proposed project's staffing pattern, staff qualifications, staff development and project supervision. Describe the title and role of staff to be hired by the project, required staff qualifications, how staff orientation and training will be provided and how supervision of staff will be provided. Cultural competence and awareness

are critical. Consider whether the staffing pattern for the proposed project is representative of the community, cultures and languages of persons targeted to receive services. Discuss what activities will be conducted to instill diversity and cultural responsiveness in project services. When completing the budget, identify by title and number, all staff to be assigned to this program and whether they will be paid with requested project funds. Also briefly indicate staff responsibilities.

6. Organization (10 Points)

Describe the past accomplishments, special characteristics and resources of your organization that are predictive of your success in achieving the stated performance objectives. Describe how the management of your agency supports the proposal for this program. Identify the key people in the organization who are primarily responsible for delivering the program and reaching the performance objectives. Please describe them in terms of capacity including knowledge, skills, expertise, professional credentials and commitment. Describe the history of your organization, experience working with the target population and provide evidence that it has the capacity and any required licenses to successfully manage the project. Indicate steps that will be taken to demonstrate readiness to implement the program on a timely basis. Provide evidence of the organization's ability to hire and maintain staff; describe what activities the organization has initiated to accommodate cultural and linguistic requirements of the community, and how the organization will promote effective coordination with other key partners and service providers in the community to maintain this program. An organizational chart is needed that shows how this program fits into the organization's goals and mission.

Please update this document in Grants Gateway Document Vault. Include any affiliations with other community groups.

2.15 Proposed Budget – Instructions (20 points)

Each category below has its own screen with instructions.

Follow these instructions carefully as you complete the budget.

Use the following directions to briefly describe the expenses included in each budget category.

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

Ensure that:

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

Non-Allowable Costs

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

- Major capital expenditures such as acquisition, construction or structural renovation of facilities.
- Interest costs, including costs incurred to borrow funds.
- Costs for preparation of continuation agreements and other proposal development costs.
- Costs of organized fundraising.
- Legal fees to represent agency/staff.
- Advertising costs, *except* for recruitment of project personnel, program outreach and recruitment of participants.

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

Local Match

Not applicable

A. PERSONAL SERVICES

Personal Services Salaries

- List only staff positions included in the funded project.
- List the percentage of time each staff will spend on this project.
- Percentage of time an employee is engaged in this project (or projects) cannot exceed 100 percent.
- List the base (annual) salary for each staff position.
- The base salary should reflect the employee's actual annual salary. The annual salary should be consistent across all projects that the employee's time is charged to.
- If a position has both Administrative and Programmatic responsibilities, show the position on two lines, one for Programmatic responsibilities with associated percentage of time and one for Administrative responsibilities with associated percentage of time. Identify Administrative positions in the Personal Narrative.
- List total fringe benefit cost for all personnel.
- If the proposed project is currently operational, provide information on the percentage of salary raises, if any, included in the requested budget. Justification must be provided for raises.
- If you anticipate cost of living or merit raises during the contract year, include the increases in the base annual salary charged to the project and note the effective date of the raise.

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

Personal Services Fringe

- List the fringe benefit rate(s) and the positions to which the rate(s) apply.
- The Total Fringe Benefits chargeable to this contract should not exceed the current approved fringe rate, which can be found on the NYS Office of the State Comptroller's web-site at <http://www.osc.State.ny.us/agencies/abulls/a635.htm>. A higher rate may be considered with justification; any such justification must be included with your application.
- Provide a complete list of benefits used to calculate rate(s) (i.e., Social Security-FICA, NYS Unemployment Insurance-SUI; NYS Disability Insurance and Worker's Compensation). These can be listed on the extra lines under "Personal Services." Be sure to clearly identify "Fringe."

Fringe Narrative: Fringe benefits should be budgeted in line with your organization's policy.

B. NON-PERSONAL SERVICES

Contractual Services

- This category includes costs for institutions, individuals or organizations external to the agency.
- Include expenses for equipment rental/lease agreements.
- Specify the services to be provided and indicate how the cost was determined.
- Delineate between Administrative and Program items.
- Indicate whether consultant's rate includes travel and lodging.
- The OCFS share of travel expense must be based upon State guidelines; payment cannot exceed the State rates currently in effect. Refer to <http://www.osc.State.ny.us/agencies/travel/travel.htm>
- If a subcontractor or consultant expense is more than \$15,000, three written bids are required. If other than the lowest bidder was selected, please provide justification.
- If the consultant/contractor is reimbursed at an hourly rate, the hourly rate and the number of hours must calculate accurately and be included in the budget narrative.

- If an award is made, the contractor must get prior written approval from OCFS for any agreement, or series of agreements, with a single subcontractor that exceeds \$50,000 or 50 percent of the contract value during the contract term. The contractor must receive such approval prior to executing the subcontract agreement, implementing any activity under its term or expending contract funds under its term. Prior approval is also required for any cost or term amendment to approved subcontracts or as otherwise requested by OCFS.

Printing Services

- All agencies and subcontractors must make reasonable efforts to secure the lowest responsible bidder for printing services.
- In instances where a printing job is in excess of \$5,000, documentation of three (3) telephone bids is required showing that the lowest cost source has been used. This information must be provided with the *payment* claim. The State strongly encourages the participation and utilization of minority and women-owned printing firms.
- Program materials printed using these funds must be pre-approved by OCFS.

Travel

- Includes staff travel only.
- Consultant travel should be shown under the Subcontractor/Consultant category.
- Client travel should be shown under the Other Expenses category.
- Reimbursement for travel, lodging and mileage costs will not exceed the State rates currently in effect.
- The OCFS bases travel reimbursements on the latest approved policies and rates set forth by the NYS Office of the State Comptroller (OSC).
- Approved mileage rates are updated on the OSC web page <http://www.osc.State.ny.us/agencies/travel/travel.htm>
- Travel costs include the following air travel, train, personal auto, bus, taxi, parking fees, thruway tolls, lodging, and meals.
- Explain which staff will be traveling and the destination, purpose and frequency of travel.
- For local/day travel and extended travel, list the following for each trip destination, length of stay, purpose, number of travelers, mode of transportation and cost, meals and lodging costs.
- Any conferences or trainings to be attended need to be an integral and essential part of this particular program and necessary and in connection with the project to be funded.
- All out-of-state travel must be pre-approved by OCFS.

Equipment

- This section is used to itemize both purchased and rental equipment costs.
- Clearly describe item(s).
- Indicate term and rate of rental.
- Provide a justification for the rental of all equipment.
- Equipment is defined as tangible personal property having a useful life of two (2) years or more and an acquisition value of \$5,000 or more per unit.
- Equipment may be purchased or rented, whichever is more economical. Equipment rental should be shown under the "Contractual/Consultant" category.
- Cars or vans cannot be purchased. They may be leased if required for program operation. If vehicles are leased, the costs must be listed under the Contractual/Consultant section of the budget.
- Any budget requests for equipment purchase, *using grant funds*, must be fully explained and justified by program need. Note that equipment purchases are generally not allowed for 12-month contracts.
- Itemize any equipment to be purchased by type and cost.
- Explain the program function and need for all items. Be as specific as possible.
- Clearly describe the item and itemize the cost. If the item is to be used by more than one program, the cost must be prorated.
- Delineate between Administrative and Program Items.
- Obtain three price quotes for any single equipment item costing over \$2,500 or three written bids for any single item costing over \$5,000. If other than the low bidder is selected, a Statement must be submitted indicating why that vendor was selected.

Equipment Narrative: Give a brief description of the program related equipment supported by grant funds.

Space/Property Rent

Rent is a charge for the use of property that one does not own.

- Provide description of space being rented.
- Provide justification.
- If an award is made, a copy of the rental agreement must be provided.
- Provide itemization of total costs.

Space/Property Rent Narrative: Provide a detailed explanation of all space and property rental costs (such as square footage, etc.).

Space/Property Own

If the grantee owns the building, they must charge occupancy costs rather than rental costs. Occupancy costs must be true costs made to a third party, for example, mortgage payment, cleaning costs, snow removal and general maintenance.

- Provide description of space.
- Provide justification.
- Provide itemization of total costs.

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

Utilities

- Provide description.
- Provide justification.

Utilities Narrative: Provide a detailed explanation of all utility costs.

Operating Expenses

- This section is used to itemize costs associated with the operation of the program, including but not limited to, insurance/bonding, photocopying, advertising and supplies.
- Provide description.
- Provide justification.

Operating Expenses Narrative: Provide a detailed explanation of all operating expenses.

Other Expenses

- Food/refreshments are not an allowable expense for staff.
- Include items that are not applicable under any other category and that are directly related to the services to be provided.
- These items may include postage, client travel, utilities, telephone and communication, shipping, delivery and messenger services, insurance, reprint permissions, reproduction, photocopying and printing costs, audio-visual and print production costs (see note below for more specific instructions), materials, development costs, advertising costs for recruiting new hires, books, journals, periodicals, computer time, library services, audio-visual services, facility rental, and off-site rental.
- Information on these costs, including how the estimates were calculated (e.g., cost per hour, cost per page, cost per square foot, etc.) should be provided in the budget narrative.
- Delineate between Administrative and Program items.

Administrative Worksheet

OCFS will reimburse the federally approved indirect cost rate up to a maximum of 15 percent of the grant award. Total administrative costs (indirect cost plus any directly charged administrative personnel, related fringes and non-personal services) are limited to 15% of the grant award.

- Indirect costs are considered in the total administrative costs for this project.
- A copy of the federally approved indirect cost agreement, with narrative, addendum, and an expiration date must be submitted as part of the proposal.
- OCFS will reimburse the federally approved rate up to a maximum of **15 percent** of the grant award.

- Some common methods of allocating indirect costs are based upon time, space, units of service or percentage of funding.

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 program must be charged proportionately, and the method of allocation must be documented.

Section 3: CONTRACT POLICY INFORMATION

3.1 Minority- and Women-Owned Business Enterprises (M/WBE) – 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 (M/WBE) 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 M/WBE, 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 percent for M/WBE participation. OCFS recommends that, whenever practicable, its contractors attempt to equally utilize Minority-Owned Business Enterprises ("MBE") (15%) and Women-Owned Business Enterprises ("WBE") (15%) participation in the performance of the contract. It is however important to note that strict adherence to the suggested MBE and WBE utilization is not required as long as the overall goal of 30% is met.

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 M/WBEs 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/M/WBE/Data/122210_M/WBE15-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 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 business days, requesting either a partial or total waiver of M/WBE participation goals. Failure to file the Request for Waiver Form in a timely manner may be grounds for disqualification of the proposal or contract. A completed Request for Waiver Form, along with required documentation, must be **signed and emailed to M/WBEINFO@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 forms/documents listed with an asterisk (*), 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.

- **Project Staffing Plan** - [OCFS-4629 - Project Staffing Plan Form](#) *(Applies to Contract Awardees ONLY)

Information relating to the awardees proposed staffing is due with the submission of proposal on the Grants Gateway. This form is required for contracts with a total value in excess of \$250,000. This form is to be completed by the bidder and submitted as part of their proposal identifying the anticipated workforce 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. The completed document should be signed and emailed to: M/WBEinfo@ocfs.ny.gov.

If there are no personal service dollars committed to the contract, then the Project Staffing Plan form is not required.

- **Equal Employment Opportunity Policy Statement** - [OCFS-3460 – M/WBE – EEO 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 [M/WBE Appendix](#). The completed document should be signed and emailed to: M/WBEinfo@ocfs.ny.gov.

- **M/WBE Utilization Plan** - [OCFS-4631 – M/WBE Utilization Plan Form](#) *(Applies to Contract Awardees ONLY)

During the contract development stage, the awardee must provide an M/WBE Utilization Plan 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. During the term of the contract **OCFS requires that all entities awarded State funded contracts submit M/WBE utilization plans electronically via the website** (known as New York State Contract System – NYSCS) located at <https://ny.newnycontracts.com>. The completed document should be signed and emailed to: M/WBEinfo@ocfs.ny.gov.

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

Information relating to the M/WBE utilization in the performance of the contract must be reported periodically throughout the term of the contract. This form is to be completed and submitted by contractor within 30 days following the end of each applicable reporting quarter over the term of the contract, documenting the progress made toward achievement of the M/WBE goals of the contract. Contracts containing State funds must report this information through the New York State Contract System (“NYSCS”). The NYSCS website address is

<https://ny.newnycontracts.com>, The completed document should be signed and emailed to: M/WBEinfo@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 (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 due to 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 of the NYS Executive Law (the "Human Rights Law") and all other State and Federal statutory and constitutional nondiscrimination provisions, the contractor and subcontractors 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 nondiscrimination 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 <https://ny.newnycontracts.com>. 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: M/WBECertification@esd.ny.gov
<https://ny.newnycontracts.com>

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 M/WBEs, 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 by listing any such positions with the Community Services Division of the New York State Department of Labor, providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The agency agrees to document these efforts and to provide said documentation to OCFS upon request.
5. Bidders located in a foreign country are notified that the State may assign or otherwise transfer offset credits to third parties located in New York State, and the bidders shall be obligated to cooperate with the State in any and all respects in making such assignment or transfer, including, but not limited to, executing any and all documents deemed by the State to be necessary or desirable to effectuate such assignment or transfer and using their best efforts to obtain the recognition and accession to such assignment or transfer by any applicable foreign government.
6. Bidders are hereby notified that State agencies and authorities are prohibited from entering into contracts with businesses whose principle place of business is located in a discriminatory jurisdiction. "Discriminatory jurisdiction" is defined as a State or political subdivision which employs a preference or price distorting mechanism to the detriment of or otherwise discriminates against a New York State business enterprise in the procurement of commodities and services by the same or a nongovernmental entity influenced by the same. A list of discriminatory jurisdiction is maintained by the Commissioner of the New York State Empire State Development.

3.3 OCFS Procedure for Handling Formal Protests and Appeals

Section 1: Applicability

The intent and purpose of these procedures is to set forth the steps that must be taken when an interested party challenges a contract award by OCFS. These procedures shall apply to all contract awards made by OCFS.

Section 2: Definitions

1. "Interested party" shall mean a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "Contract award" shall mean a written determination from OCFS to an offerer, indicating that OCFS has accepted the offerer's bid or offer.
3. "Formal 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.
6. "Formal protest determination" shall mean the determination of a formal protest by the Associate Commissioner for Financial Management of OCFS or his or her designee.
7. "Decision after appeal" shall mean the decision on the appeal of a formal protest by the Executive Deputy Commissioner of OCFS or his or her designee.

Section 3: Informal Complaints

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' response to the informal complaint or inquiry will indicate the existence of the Formal Protest and Appeal Procedure available to the interested party should the informal process fail to resolve the matter.

Final OCFS determinations or recommendations for award after any attempt to resolve the matter informally may be reconsidered only in the context of a formal protest.

Section 4: Formal Protest and Appeal 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 believes 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 formal protest. Formal protests will not be accepted by OCFS concerning a contract award after the contract between OCFS and the offerer who received the contract award has been approved by the Office of the State Comptroller (OSC).

B. Review and Formal Protest Determination

1. Formal protests must be filed with the OCFS Associate Commissioner for Financial Management. Any protests filed with the OCFS Program Division responsible for the procurement will be forwarded to the Associate Commissioner for Financial Management.

Copies of all formal protests will be provided by the Associate Commissioner for Financial Management to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Commissioner for Financial Management.

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

C. Appeal of Formal Protest Determination

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

D. Reservation of Rights and Responsibilities of OCFS

1. OCFS reserves the right to waive or extend the time requirements for protest submissions, decisions and appeals herein prescribed when, in its sole judgment, circumstances so warrant to serve the best interests of the State.
2. If OCFS determines that there are compelling circumstances, including the need to proceed immediately with contract award and development of final contracts in the best interests of the State, then these protest procedures may be suspended and such determination shall be documented in the procurement record.
3. OCFS will consider all information relevant to the protest, and may, at its discretion, suspend, modify, or cancel the protested procurement action, including solicitation of bids, or withdraw the recommendation of contract award prior to issuance of a formal protest decision.
4. OCFS will continue procurement and contract award activity prior to the formal protest determination. The receipt of a formal 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 formal protest and any appeal will be included in the procurement record. If a formal protest determination or a decision after appeal has been reached prior to transmittal of the procurement record and the contract(s) to OSC, a copy of the formal protest determination or decision after appeal will be included in the procurement record and with the contract(s).
 - b. If a formal protest determination or decision after appeal is made after the transmittal of the procurement record and contract(s) to OSC, but prior to OSC approval, a copy of the formal protest determination or decision after appeal will be forwarded to OSC when issued, along with a letter either a) confirming the original OCFS recommendation for award(s); b) modifying the proposed award recommendation; or c) withdrawing the original award recommendation.
5. All records related to formal protests and appeals shall be retained for at least one (1) year following resolution of the formal protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention.

Section 5: Appeal to the Office of the State Comptroller

If the protesting party is still not satisfied with the result of its protest after conclusion of the formal protest and appeal procedure described above, the protesting party *must* file a written appeal with the OSC within ten business days of the date the protesting party received OCFS's protest determination. An appeal to the OSC, Bureau of Contracts, must be in writing and must contain the specific factual and/or legal allegations setting forth the basis upon which the protesting party challenges the contract award by OCFS. Such appeal must be filed with the Director of the Bureau of Contracts at the Office of the State Comptroller, 110 State Street, 11th Floor, Albany, NY 12236.

3.4 SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB)

[The Service-Disabled Veteran-Owned Business Act](#), signed into law by Governor Andrew M. Cuomo on May 12, 2014, allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB) in order to increase the participation of such businesses in New York State's contracting opportunities. The SDVOB Act, which is codified under Article 17-B of the Executive Law, acknowledges that SDVOBs strongly contribute to the economies of the State and the nation. Therefore, and consistent with its Master Goal Plan, OCFS strongly encourages vendors who contract with OCFS to consider the utilization of certified SDVOBs, that are responsible and responsive, for at least six percent (6%) of discretionary nonpersonnel service spending in the fulfillment of the requirements of their contracts with OCFS. Such partnering may include utilizing certified SDVOBs as subcontractors, suppliers, protégés or in other supporting roles to the maximum extent practical and consistent with the legal requirements of the State Finance Law and the Executive Law. Certified SDVOBs may be readily identified through the directory of certified businesses at http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf.

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

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

Section 4: Data Indicators

Total number of children adopted from foster care by county from 2008 through 2015:

Children Placed for Adoption by District 1995-2015								
	2008	2009	2010	2011	2012	2013	2014	2015
ALBANY	36	38	14	27	13	26	17	26
ALLEGANY	0	1	3	3	1	0	2	0
BROOME	14	24	22	26	15	45	27	11
CATTARAUGUS	11	9	19	19	21	20	0	0
CAYUGA	15	4	9	9	6	12	3	0
CHAUTAUQUA	23	22	13	17	16	13	13	16
CHEMUNG	19	5	22	4	1	0	0	0
CHENANGO	2	5	2	1	4	0	0	0
CLINTON	23	26	7	17	14	14	7	17
COLUMBIA	9	9	0	0	0	0	0	0
CORTLAND	18	9	17	25	42	24	25	12
DELAWARE	4	8	1	0	0	4	6	0
DUTCHESS	27	30	32	22	23	23	18	12
ERIE	154	106	121	122	93	110	120	80
ESSEX	0	1	2	0	1	5	2	3
FRANKLIN	2	5	3	1	0	0	0	0
FULTON	2	6	5	3	1	0	1	0
GENESEE	4	5	13	4	5	14	18	7
GREENE	4	3	1	0	3	5	1	0
HAMILTON	0	0	0	0	0	0	0	0
HERKIMER	8	10	11	8	9	7	8	10
JEFFERSON	34	17	25	16	28	29	13	19
LEWIS	0	4	11	3	0	0	0	0
LIVINGSTON	11	7	17	8	6	11	3	7
MADISON	0	0	2	0	1	5	0	3
MONROE	72	65	53	51	30	35	31	39
MONTGOMERY	1	0	0	3	4	3	0	0
NASSAU	0	0	0	0	0	1	0	0
NIAGARA	9	5	16	20	24	5	4	21
ONEIDA	10	1	26	16	25	12	19	9
ONONDAGA	40	27	63	41	27	30	69	38
ONTARIO	10	1	9	13	9	4	20	6
ORANGE	32	37	35	30	35	31	23	16
ORLEANS	0	0	0	0	5	4	5	2
OSWEGO	15	24	6	3	12	5	10	7
OTSEGO	8	1	3	1	8	9	13	1
PUTNAM	0	0	0	0	0	1	0	0
RENSSELAER	7	2	7	15	6	3	5	12
ROCKLAND	11	5	14	7	5	6	10	5
ST. LAWRENCE	14	26	20	17	24	23	20	9
SARATOGA	2	9	3	4	1	2	0	7
SCHENECTADY	7	16	20	19	29	14	13	14

SCHOHARIE	0	0	0	0	0	0	0	2
SCHUYLER	4	3	2	3	1	5	6	2
SENECA	1	0	0	2	4	3	2	3
STEUBEN	7	13	15	14	8	19	16	10
SUFFOLK	67	49	76	58	73	71	72	54
SULLIVAN	4	1	5	0	2	1	6	3
TIOGA	2	9	1	3	4	6	3	2
TOMPKINS	12	18	33	31	33	47	31	25
ULSTER	6	10	20	6	7	8	0	0
WARREN	8	7	4	5	2	9	3	4
WASHINGTON	4	6	8	9	10	12	6	6
WAYNE	2	2	9	12	8	14	15	16
WESTCHESTER	13	9	6	4	6	6	11	6
WYOMING	1	2	1	1	0	1	0	3
YATES	6	1	1	0	0	0	0	0
ST. REGIS MOHAWK	0	0	0	0	0	0	0	0
NEW YORK CITY	1,303	1,281	1,267	1,383	1,160	1,183	1,057	927
UPSTATE	795	703	828	723	705	757	697	545
NEW YORK STATE	2,098	1,984	2,095	2,106	1,865	1,940	1,754	1,472

Source of Data:

MAPS

Please note: If there are any questions about the data, please refer to the MAPS package for definitions and explanations.

Table 1: Number of Children Entering KinGAP

Report Date: 03/01/2016	Data As of Date: 02/25/2016	Year: 2014
LDSS	2014	Cumulative since 04/01/2011
ALBANY	0	4
ALLEGANY	3	17
BROOME	6	15
CATTARAUGUS	0	4
CAYUGA	4	14
CHAUTAUQUA	1	1
CHEMUNG	0	1
CHEMUNGO	0	0
CLINTON	0	0
COLUMBIA	1	12
CORTLAND	0	0
DELAWARE	0	0
DUTCHESS	0	9
ERIE	0	4
ESSEX	0	5
FRANKLIN	1	8
FULTON	0	0
GENESEE	0	0
GREENE	0	2
HAMILTON	0	0
HERKIMER	0	0
JEFFERSON	0	0
LEWIS	0	0
LIVINGSTON	4	10
MADISON	0	0
MONROE	0	1
MONTGOMERY	0	0
NASSAU	2	9
NIAGARA	0	0
ONEIDA	3	9
ONONDAGA	3	11
ONTARIO	0	0
ORANGE	4	25
ORLEANS	0	0
OSWEGO	0	0
OTSEGO	0	0
PUTNAM	0	0
RENSSELAER	0	0
ROCKLAND	0	4
ST LAWRENCE	5	11
SARATOGA	0	0
SCHENECTADY	0	13
SCHOHARIE	2	2
SCHUYLER	0	0
SENECA	0	0
STEBUBEN	0	0
SUFFOLK	10	36
SULLIVAN	0	0
TIOGA	0	1
TOMPKINS	2	4
ULSTER	3	14
WARREN	0	2
WASHINGTON	0	0
WAYNE	0	3
WESTCHESTER	6	13
WYOMING	0	0
YATES	0	0
ST REGIS	0	1
Rest of State Total	60	265
New York City Total	275	798
New York State Total	335	1,063

Table 1: Number of Children Entering KinGAP

Report Date: 03/01/2016	Data As of Date: 02/25/2016	Year: 2015
LDSS	2015	Cumulative since 04/01/2011
ALBANY	1	4
ALLEGANY	10	17
BROOME	3	15
CATTARAUGUS	3	4
CAYUGA	5	14
CHAUTAUQUA	0	1
CHEMUNG	1	1
CHENANGO	0	0
CLINTON	0	0
COLUMBIA	0	12
CORTLAND	0	0
DELAWARE	0	0
DUTCHESS	0	9
ERIE	2	4
ESSEX	2	5
FRANKLIN	3	8
FULTON	0	0
GENESEE	0	0
GREENE	0	2
HAMILTON	0	0
HERKIMER	0	0
JEFFERSON	0	0
LEWIS	0	0
LIVINGSTON	0	10
MADISON	0	0
MONROE	1	1
MONTGOMERY	0	0
NASSAU	2	9
NIAGARA	0	0
ONEIDA	1	9
ONONDAGA	1	11
ONTARIO	0	0
ORANGE	10	25
ORLEANS	0	0
OSWEGO	0	0
OTSEGO	0	0
PUTNAM	0	0
RENSSELAER	0	0
ROCKLAND	3	4
ST LAWRENCE	1	11
SARATOGA	0	0
SCHENECTADY	4	13
SCHOHARIE	0	2
SCHUYLER	0	0
SENECA	0	0
STEBEN	0	0
SUFFOLK	13	36
SULLIVAN	0	0
TIOGA	0	1
TOMPKINS	0	4
ULSTER	0	14
WARREN	0	2
WASHINGTON	0	0
WAYNE	0	3
WESTCHESTER	3	13
WYOMING	0	0
YATES	0	0
ST REGIS	0	1
Rest of State Total	69	265
New York City Total	272	798
New York State Total	341	1,063

Section 5: GLOSSARY

5.1 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 of 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. Performance targets must include a description of the methods that will be used to verify target achievement.

Milestones: *Measurable interim* changes in the condition or behavior of the target population used to track whether the program is on course to achieve its performance targets. These are critical points of change or target population achievement that must occur to progress towards the performance targets. 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 6: 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 B: Budget and Instructions
6. Attachment C: Work Plan
7. Attachment D: Payment and Reporting Schedule