



**New York State  
Office of Children and Family Services**

Andrew M. Cuomo  
Governor

Sheila J. Poole  
Acting Commissioner

**NYS Commission on National and Community Service**

**NYS VOLUNTEER GENERATION  
PROGRAM**

**REQUEST FOR PROPOSALS  
2014**

(Electronic Submission)

**Volunteer generation funding is provided by the New York State Commission on National and Community Service, in cooperation with the Corporation for National and Community Service and the New York State Office of Children and Family Services. The New York State Commission on National and Community Service is a governor-appointed Commission charged with administering and promoting volunteer and national service programs throughout New York State to serve the needs of New York's most vulnerable citizens.**



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Office of Children and Family Services**

***New York State Volunteer Generation Program***

**Request for Proposals**

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**Grant Procurements**

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***October 2014***

**Proposal Submission: November 25, 2014**

**See Section 2.2 Proposal Submittal Process/Application Documents**

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

**Note:**

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

**Timetable of Key Events:**

**Event:**

Proposals Due (Submitted into Grants Gateway)  
Submittal of Question Deadline  
Posted Date of Answers  
Awards Announced (Tentative)  
Contract Start Date (Projected)

**Date:**

November 25, 2014, at 5 pm  
November 12, 2014  
November 17, 2014  
December 15, 2014  
**January 1, 2015**

**Inquiries:**

From the issuance of this Request for Proposal (RFP) until contractors are selected, all contacts with the New York State Office of Children and Family Services personnel, except as otherwise specified herein, concerning this RFP must be made through Veronica Webster at 518-473-8882 or via email at [newyorkersvolunteer@newyorkersvolunteer.ny.gov](mailto:newyorkersvolunteer@newyorkersvolunteer.ny.gov) with **Volunteer Generation RFP** inquiry in the subject line.

*All inquiries submitted in writing will be answered in writing.*

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## Section One.... BACKGROUND

### NOTE: PREQUALIFICATION REQUIREMENT

Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16, 2014, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#). Complete information on Prequalification is available in Section 1.8 Contract Readiness, of this RFP.

#### 1.1 Introduction

In 2009, Congress passed the Edward M. Kennedy Serve America Act (SAA), the most sweeping expansion of national service in a generation. The SAA created the Volunteer Generation Fund (VGF) to develop and/or support community-based entities to recruit, manage, and support volunteers. This landmark law not only expands service opportunities, it focuses national service on key outcomes: builds the capacity of individuals, non-profits, and communities to succeed; and encourages innovative approaches to solving problems.

The New York State Commission on National and Community Service (hereafter the Commission) seeks applicants for its 2015 Volunteer Generation Fund (VGF) grant opportunity. New York's Volunteer Generation Program receives funding from The Corporation for National and Community Service and New York State. The NY Commission will accept proposals for VGF funding from interested nonprofit and municipal organizations that aim to alleviate poverty and increase opportunity for New Yorkers in need. Successful applicants will act as connector organizations and must commit to recruiting, training, placing and/or managing volunteers within their organizations and within nonprofit organizations in their communities. Applicants must identify an issue area(s) of focus, under the macro goal of alleviating poverty, and will articulate how the volunteers they recruit, train and manage will make a demonstrable impact in their communities.

Governor Cuomo has long stressed the importance of combatting poverty, protecting those most in need, and in increasing opportunities for all New Yorkers. He has governed New York under this principle, and as recently as January of this year, he reiterated its importance, stating "Building our communities as part of a society rooted in opportunity, fairness and justice has been a crucial goal of the past three years, and the State will continue to build on these achievements." -- Governor Andrew M. Cuomo, 2014 State of the State address. See Section 1.2.

#### 1.2 Purpose and Funding Availability

In order to achieve Governor Cuomo's goal of "a society rooted in opportunity, fairness and justice" the NY Commission's 2015 Volunteer Generation Program will increase the number of New Yorkers who volunteer and focus their efforts toward providing increased opportunities for struggling children, families and the elderly throughout the State. Two of the most prominent and practical strategies for doing so are to combat hunger and homelessness. Funded organizations can have a significant, quantifiable impact on these issues in two ways: first, by recruiting committed volunteers for opportunities that directly relate to these areas of need, as described and documented in the following paragraphs, and second, by increasing the capacity of related nonprofit organizations to better meet their missions.

##### HEALTHY FUTURES/HUNGER

In New York, nearly 14 percent of households struggle with hunger, and at least 1 million children live in households that do not have consistent access to food. (Map the Meal Gap: Child Food Insecurity 2012, [feedingamerica.org](#)). Under Governor Cuomo's leadership, New York has taken significant steps to expand food assistance:

- In 2011, the Governor launched FreshConnect, which brings fresh, locally grown food to underserved communities. The program includes youth markets, delivery of products to low-income housing facilities, and new initiatives at traditional farmers' markets.

- In December of 2013, the Governor created the New York State Anti-Hunger Task Force, bringing together experts, advocates, and government officials to develop and implement recommendations to combat hunger and improve access to locally grown foods.

Populations most in need of education about hunger and the nutrition assistance programs are identified by staggering statistics: during 2012 more than 625,150 New York households experienced food hardship (not being able to purchase the food that the household needed). During 2011, over 1 million New York children lived in food-insecure households, and it is estimated that by the time they are 20 years old, 49.2 percent of them will have at some point lived in a home that received SNAP.

Over 1.4 million students in NYS qualify for free or reduced-price (F/RP) school meals. Of the 1.1 million students who eat F/RP lunch, only 4 out of 10 eat school breakfast. When school lets out, these children all lose access to the nutritious meals that are available during the regular school year. Only 1 out of 4 children who access F/RP lunch eat summer meals.

Older adults (over age 60) make up a large sector of the population eligible for, but underutilizing, nutrition assistance programs. According to census data, New York is home to more than 3.6 million older adults. The New York State Office of the Aging states that one in four older adults living at home is nutritionally at-risk, which is a factor in half of all older adult hospital admissions and readmissions. <http://hungersolutionsny.org/hunger-nys/overview>

Volunteers are more critical than ever. Food pantries have recently seen an 8 percent increase in people fed on top of significant annual increases since the Great Recession. In 2012, 81 percent of New York EFPs saw an increase in guests. Half saw an increase in the number of employed individuals. Children represent about a third of the guests.

To address the issue of hunger, the Commission will accept applications from organizations that identify strategies to use volunteers to address hunger needs and nutrition education in New York State. Volunteers may assist with the needs highlighted in the aforementioned Hunger Action Network report or with other needs serving the objectives of alleviating hunger.

Together, New York State's Volunteer Generation Program subgrantee organizations will recruit/place 300 volunteers with anti-hunger organizations throughout the state each year, for the next three years.

### HOMELESSNESS

Homelessness has social, economic, and health consequences for individuals and families. In addition to experiencing higher rates of hunger, sickness, and mental illness than those with homes, homeless children also show lower levels of educational attainment, and homeless adults find it more difficult to find employment.

A 2013 report from the National Alliance to End Homelessness estimated that 69,566 New Yorkers experienced homelessness during 2012, making New York the state with the 4th highest rate of homelessness. According to the same report, homelessness in New York State increased 9.6 percent between 2011 and 2012, and family homelessness increased 9.2 percent during the same time period.

While homelessness is an ongoing issue in New York State, severe weather events can exacerbate the problem. Over 300,000 homes were damaged or destroyed during Superstorm Sandy in 2012; according to Enterprise Community Partners, an affordable housing finance firm, 68 percent of renters and 24 percent of homeowners who made FEMA claims following Sandy were low-income. Individuals who live at or near the poverty level are more likely than middle- and high-income individuals to live in neighborhoods that are susceptible to floods and other disasters, and they are less well-equipped to recover and rebuild their homes when they are damaged or destroyed.

To ensure that more New Yorkers have access to housing, the NY Commission will accept applications from organizations that identify strategies to use volunteers in one or more of the following ways: 1) to help economically disadvantaged and homeless individuals find appropriate housing; 2) to prevent eviction and/or homelessness; and 3) to assist individuals in accessing

appropriate housing and in finding the resources to do so. Applications will also be accepted from organizations that identify strategies to use volunteers to assist low-income victims of Super Storm Sandy and other disasters with hands-on housing development and repair activities.

Together, New York State's Volunteer Generation Program subgrantee organizations will recruit/place 300 volunteers with housing organizations throughout the state each year.

**Total subgrantee funding available** for New York State's Volunteer Generation Program during the 2015 program year is \$566,000. The Commission expects to fund applicant organizations at no more than \$100,000 per year, depending on the size/scope of the proposal. This grant requires a 20 percent match each year from other-than-federal funds.

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

### 1.3 Term of Contract

"The contracts awarded in response to this RFP will be for three years with an anticipated start date of January 1, 2015 and end date of December 31, 2017. Terms and conditions of a multi-year contract can be found in the State Of New York Master Contract For Grants and Attachment A-1 documents, located in **Section Six: Contract Documents**.

### 1.4 Eligible Applicants

Local and statewide not-for-profit and municipal organizations are eligible to apply for this opportunity. The following organizations are eligible to apply to the Commission for funding through this RFP: Private not-for-profit corporations, local governments, educational institutions, labor organizations, community-based organizations including but not limited to secular and faith-based, with a chapter, office or similar entity operating solely in New York State; partnerships or consortia consisting of the aforementioned so long as a single applicant entity is defined. Applicants that have never received funding through the New York State Commission on National and Community Service are encouraged to apply for funding under this notice. **For Not-for-Profit applicants: OCFS will only contract with not-for-profit organizations whose governing board (board of directors) includes a minimum of three (3) members.**

### 1.5 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.

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

On January 18, 2012 Governor Andrew M. Cuomo issued Executive Order Number 38 "Limits on State-Funded Administrative Costs & Executive Compensation", which requires that state agencies establish limits on state reimbursement of administrative and executive compensation costs for contracts and programs that provide direct services to clients. Contracts, payment requests and reporting must comply with this Executive Order. Based upon 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 need not 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. The Executive Order can be found at the following website address: <https://www.governor.ny.gov/executiveorder/38>

## 1.7 Contract Readiness

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

Prior to submitting an application for funding, applicants are responsible for various verifications that validate their capacity and organizational authority to receive public funding and operate as a not-for-profit corporation in the State of New York, or both. These verifications include prequalification in the [New York State Grants Gateway System \(GGS\)](#). Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16<sup>th</sup>, 2014, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

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

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

### 1) Register for the Grants Gateway.

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

### 2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov).
- **PLEASE NOTE: If you have prequalified for the Grants Gateway and you open your vault for any reason, whether inadvertently or intentionally, you will be required to**

**requalify in order to respond to this RFP/**. Please exercise care in working within the Grants Gateway system.

### **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.
- If Prequalification Application is approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

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

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

[http://www.osc.state.ny.us/vendor\\_management/index.htm](http://www.osc.state.ny.us/vendor_management/index.htm)

Not-for-profit vendors must be registered with the Attorney General's Office as a charitable organization, and the registration must be up to date at the time of contracting. Vendors must be sure all their documents are up to date and comply with the Vendor Responsibility requirements as outlined below. To determine the status of your Charities Registration information, contact: [http://www.charitiesnys.com/RegistrySearch/show\\_details.jsp?id](http://www.charitiesnys.com/RegistrySearch/show_details.jsp?id)

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

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

#### **1.9 Grants Gateway System (GGS)**

All awards resulting from this RFP amy be processed on the **GGS**.

## Section Two.... GENERAL REQUIREMENTS / INSTRUCTIONS

### 2.1 Desired Outcomes and Program Requirements

Applicants must identify an issue area of focus, under the macro goal of alleviating poverty, and will be expected to articulate how the volunteers they recruit, train, place and manage will make a demonstrable impact in their communities. The applicant's partner organizations will be clearly identified within each application and the applicant shall demonstrate how each partner nonprofit, as those closest to the need and with the most expertise in the focus area, will be instrumental in identifying the use of volunteers in an effective manner and in formulating units of measure to demonstrate success. Partner organizations must be dedicated to a focused mission in an area of economic need and must agree to collaborate with the applicant for the purposes of capacity building in the areas of volunteer recruitment, training, placement and/or management of volunteers. While they will not be directly funded through the Volunteer Generation Fund (VGF), the partner organizations will reap widespread benefits in terms of increased organizational, staff, and volunteer management capacities.

To ensure that more New Yorkers experience less hunger each year, the Commission will consider applications from organization that identify strategies to assist hunger organizations to more effectively recruit and manage volunteers in one or more of the following ways: (1) to help economically disadvantaged families and individuals find a stable source of food; (2) educate families about nutrition, resources and available federal and state programs; or (3) identify and employ another strategy, described clearly in the application, that assists families in need to reduce hunger.

To ensure that more New Yorkers have access to housing, the NY Commission will consider applications from organizations that identify strategies to use volunteers in one or more of the following ways: (1) to help economically disadvantaged and homeless individuals find appropriate housing; (2) to prevent eviction and/or homelessness; and (3) to assist individuals in accessing the appropriate housing and in finding the resources to do so. Applications will also be accepted from organizations that identify strategies to use volunteers to assist low-income victims of Superstorm Sandy and other disasters with hands-on housing development and repair activities. 300 volunteers will be recruited and placed with housing organizations throughout the state.

While the Commission specifically invites applications that focus on hunger and homelessness, it will accept and consider for funding well-constructed, well-researched, and well-documented applications that focus on needs other than hunger and homelessness. Such applications must clearly demonstrate how the proposed subject area and the mission of the proposed project, and those of the applicant's partner organizations, will address and ultimately contribute to the alleviation of poverty in New York State.

All applicants must meet all criteria for a high-scoring application as outlined below.

All VGF-funded programs in New York are expected to build volunteer management capacity within organizations and, must commit to providing support and mentoring to at least three smaller, less resourced partner organizations in the areas of recruiting, managing and retaining volunteers.

Applicants are required to provide letters of support or memoranda of understanding from partner organizations. They must also demonstrate excellence in development of materials, training sessions, and one-to-one consulting skills. Applicants must explain how they will measure results.

National/State Days of Service: Funded organizations must also commit to leading three National/State Days of Service events each year: Martin Luther King Jr. Day of Service; NYS I Love My Park Day (held the first Saturday in May); and September 11 Day of Service and Remembrance. The Commission will provide direction for those Service Days on a statewide level. Funded organizations should also work with other national service organizations in their region of the state to request participation in the 2015 Mayors Day of Recognition of National Service. In addition to the three National/State Days of Service named above, funded organizations will be expected to coordinate one additional Day of Service annually which will

address needs identified by the applicant and its partner organizations and align with the overall focus area of the program. Applicants should explain in some detail the activities that Day of Service will involve, how it will advance the missions of the partner organizations and the overall goal of alleviating poverty, and how outreach will be conducted to recruit supporters and volunteers not formally placed with partner organizations.

All applicants must demonstrate adequate financial systems, comfort with performance measurement and evaluation, staff capacity and supervision, Board involvement and investment, and must prequalify under the New York State Grants Gateway system.

Through these criteria and others, the NY Commission will identify applicants that have clearly demonstrated the ability to provide volunteer services focused on a specific need in alignment with New York State priorities.

The NY Commission is committed to fostering a volunteer network across the State of volunteers from a variety of backgrounds that serve diverse populations. In order to achieve this objective, the Commission will award the following bonus points to the final application score:

- **One** bonus point will be awarded to applicants that serve children or youth of color, in keeping with the President's "My Brother's Keeper" initiative.  
<http://www.whitehouse.gov/my-brothers-keeper>.
- **A total of five** bonus points will be awarded to applicants that propose to serve a county or counties in New York State with a poverty index of 15 percent or more, as indicated in the following linked index: <http://ers.usda.gov/data-products/county-level-data-sets/poverty.aspx>
- **A total of seven** bonus points will be awarded to applicants that propose to serve a county or counties in New York State with a poverty index of 18 percent or more, as indicated in the following linked index:  
<http://ers.usda.gov/data-products/county-level-data-sets/poverty.aspx>
- **A total of ten** bonus points will be awarded to applicants that propose to serve a county or counties with a poverty index of 15 percent or more **PLUS** are considered rural by the United States Department of Housing and Urban Development (HUD) HudExchange, as indicated in the following linked index:  
<https://www.hudexchange.info/resources/documents/FY2010ListofRuralCounties.pdf>

	"My Brother's Keeper"	Poverty index of 15%-17%	Poverty Index of 18% or more	Poverty Index 15% or more PLUS Designated "Rural"
1 Bonus Point	✓			
5 Bonus Points		✓		
6 Bonus Points	✓	✓		
7 Bonus Points			✓	
8 Bonus Points	✓		✓	
10 Bonus Points				✓
11 Bonus Points	✓			✓

## 2.2 Proposal Submittal Process

A complete Volunteer Generation Application consists of all application documents. **ALL APPLICANTS MUST BE PREQUALIFIED IN THE GRANTS GATEWAY.** Applications that do not meet these requirements for a complete application by the due date will not receive any further evaluation. All documents must be emailed to: [newyorkersvolunteer@newyorkersvolunteer.ny.gov](mailto:newyorkersvolunteer@newyorkersvolunteer.ny.gov) **by NOVEMBER 25<sup>th</sup> at 5pm.**

### Application Documents

The Application Documents consist of the following. All applications must include:

1. Applicant Cover Page & Agreement signed by authorized signatory- Section 5.2
2. Program Plan / Narrative (15 page limit) (Community Needs Statement, Project Design, Organizational Capacity, Budget Adequacy- please see Sections 2.1, 2.14, and 2.3 for more detail selection information).
3. Budget and Budget Narrative- Section 2.15
4. Performance Measure template format (Attachment C: Work Plan), can be found at the end of this RFP.
5. Proof of workers compensation and disabilities benefits- section 2.8

**Electronic Applications should be emailed to:**

[newyorkersvolunteer@newyorkersvolunteer.ny.gov](mailto:newyorkersvolunteer@newyorkersvolunteer.ny.gov) with “**Volunteer Generation Fund RFP Application**” in the Subject line. When possible, electronic proposal submissions should consist of a single Portable Document Format (PDF) file produced by Adobe Reader or a comparable application. Electronic copies of proposals in their original file format of Microsoft Word are acceptable, but not preferred.

### **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.

- All not-for-profits applying must contain a minimum of 3 members on the Board of Directors. This will be confirmed by checking the Document Vault during the application review process.
- The application including completed budget form must be received by the due date.
- Proposal narrative is limited to 15 pages.
- The bidding organization must be a not-for-profit or municipal organization to be eligible to apply. The applicant must be prequalified in the NYS Grants Gateway System.

All proposals that comply with the above minimum requirements of this RFP will be included in the State Application Review Process. During the Application Review Process, two independent reviewers will read each proposal as a team. Reviewers although not restricted to these categories, may be, representative of the following populations: Members of the State Commission; Staff of other State agencies not directly involved with the administration of Volunteer Generation programs; Staff of non-profit agencies or faith-based organizations with a working knowledge of non-profit management and/or national service programming and who do not represent an organization that is applying to the 2014 NYS Volunteer Generation RFP; Professors or Graduate level students in social work or similar areas of study from public or private higher education institutions.

No application will be opened or reviewed prior to the application due date. Immediately following the application due date, all proposals will be opened and reviewed by Commission staff for completeness of: (1) Application Components; and (2) Required Application Forms as outlined in this RFP. Those applications that are considered complete will then be logged into an electronic database. Applications that do not meet the minimum requirements specified in the RFP will be considered incomplete and not receive further evaluation.

#### **State Commission Competitive Selection & Funding Process**

Independent reviewers will be identified and trained to participate in the proposal review process using a score sheet which will follow the outlines and point values contained in this RFP. Prior to beginning any review, each reviewer will sign a Conflict of Interest form for each application read. Each application will be reviewed by a team consisting of two independent reviewers. Scores will be recorded and reported on a team-wide, consensus basis. If the review team cannot come to consensus on a final score-sheet, a third independent reviewer will be asked to read the application in question and to work with the review team to formulate a consensus score-sheet. Applicant scores will be charted and rank-ordered by score, from the highest scoring application to the lowest. All applications and the completed scoring chart are presented to the Commission for review, and the Commission will then determine which proposals will receive Volunteer Generation Funding.

In the event of a tie between two or more applications, the Commission reserves the right to fund the proposal requesting the lesser total amount.

**Proposals will be rated by a Review Team using the following criteria:**

- Community Needs Statement (10 points)
- Capacity building and poverty performance measures (15 points)
  - Applicants must complete the logic model templates at the end of this document. Up to 15 points will be awarded, based on the quality of the logic models, whether they accurately reflect the Proposed Project Description and whether the targets are specific, measurable, achievable, reasonable and timely.
- Proposed Project Description (30 points)
  - Identification of a proposed subject matter focus of combatting hunger, homelessness, or other manifestation of poverty in New York.
  - Identification of partner organizations with expertise in the subject matter identified as a focus, accompanied by letters of support and/or MOU's. (up to 5 points. One bonus point will be awarded to applications that specifically demonstrate how the proposed program would correlate with the "My Brother's Keeper" initiative. See <http://www.whitehouse.gov/my-brothers-keeper>).
  - An outline of recruitment strategy or strategies showing how the applicant will identify and place volunteers in partner organizations.
  - An outline of the strategy or strategies showing how the applicant will provide assistance and training to its partners in developing capacity in the areas of volunteer recruitment, management, and enrichment, and a clear acknowledgment by the partner organizations that they have agreed to accept such assistance.
  - A detailed work plan committing to participation in the three State/National Days of Service, mentioned previously, and to develop a local Day of Service, working with the applicant's designated partner organizations, which will address needs related to the focus area selected by the applicant.
- Organizational Capacity (25 points)
  - Demonstration of the applicant's success in recruiting, training, placing and managing volunteers, accompanied by data (if available) demonstrating excellent retention rates, volunteer satisfaction, placement organization satisfaction, and value of volunteers recruited to the placement organizations.
  - Demonstration of staff expertise in the areas of volunteer management, and capacity building in volunteer organizations.
- Budget Adequacy (20 points)

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

No informational sessions are scheduled at this time

**2.5 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.

**2.6 Federal Requirements**

See Attachment A-2, Federally Funded Grants, for federally funded opportunities.

Attachment A-2, Federally Funded Grants is [located in Section Six: Contract Documents](#).

**2.7 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. While some of the information requested may be duplicative, submission of the Vendor Responsibility information is required in addition to, and not as a substitute for, prequalification in the Grants Gateway System. You must provide both sets of information to be awarded a contract

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, during the life of the contract, a stable financial entity. All proposals are subject to vendor responsibility determination before the award is made and such determination can be revisited at any point up to the final approval of the contract by OSC.

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

To access or enroll in the VendRep System, or update your existing online questionnaire click here: [On-line Questionnaire](#). Questionnaires in the VendRep System that have been completed in the last 6 months in response to contracts or bid announcements do not need to be updated. If the vendor is using the hardcopy notarized questionnaire, then it also has to be current within 6 months of the due date of the proposal.

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

Vendors are also encouraged to have subcontractors file the required Vendor Responsibility Questionnaire on line through the New York State VendRep System. 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](mailto:ciohelpdesk@osc.state.ny.us).

The New York State VendRep System offers the following benefits:

- Ease of completion, filing, access to and submission of the questionnaire. Efficiencies are multiplied for vendors who bid and contract with the state frequently or with multiple state agencies.
- Questionnaire updates are easily filed by updating only those responses that require change from the previously saved questionnaire. (As opposed to a paper copy where a new questionnaire is required each time there is a change.)
- The stored questionnaire information eliminates the need to re-enter data for each subsequent questionnaire submission.
- Reduction of costs associated with paper documents including copying, delivery and filing.
- On-line questionnaire information is secure and accessible to authorized vendor users only. State agencies can only view certified and finalized questionnaires.
- VendRep question prompts ensure that the correct forms are completed.
- The VendRep On-Line System contains links to all definitions of the terms used in the questionnaire.

**Note:** All Vendor Responsibility Questionnaires must be dated within 6 months of the proposal due date. Any subcontractors under that proposed contract must also complete a Vendor Responsibility Questionnaire when the value of the subcontract is projected to be \$100,000 or more for the contract term. Refer to Section 2.8 for information about general Vendor Responsibility Questionnaire Requirements and the automated New York State VendRep System.

## 2.8 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 Office of the State Comptroller has determined that municipalities are not required to show proof of coverage.

### Proof of Workers' Compensation Coverage

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a state contract submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage. The forms can be accessed at: <http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

- **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carriers, or **Form U-26.3** issued by the State Insurance Fund ; or
- **Form SI-12** – Certificate of Workers' Compensation Self-Insurance; or **Form GSI-105.2** Certificate of Participation in Workers' Compensation Group Self-Insurance; or
- **CE-200** – Certificate of Attestation of Exemption from NYS Workers' Compensation and/or Disability Benefits Coverage.

### Proof of Disability Benefits Coverage

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a state contract must submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage. The forms can be accessed at: <http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

- **Form DB-120.1** - Certificate of Disability Benefits Insurance; or
- **Form DB-155** - Certificate of Disability Benefits Self-Insurance; or
- **CE-200** – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

## 2.9 Required Electronic Payments and Substitute Form W-9

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

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

Please note that the contractor payee name and address provided to OSC for the epay program must match exactly the contractor name and address contained in the contractor's contract with the New York State Office of Children and Family Services. If these do not match, then a check

is printed and mailed to the payee. Note that limited exemptions may be granted for extenuating circumstances.

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

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

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

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

## **2.10 Organizational Chart**

The bid must include a current Organization Chart that depicts the entire organization structure and indicates where the organization head or the Chief Administrative Officer and the Contract Developers, Contract Signatories and Claim Signatories appear in relation to the Board of Directors and the organization as a whole. **Please update this document in Grants Gateway Document Vault.**

## **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 received, after notification to the bidder involved.
10. Correct any arithmetic errors in any proposal, or make typographical corrections to proposals, with the concurrence of the bidder.
11. Negotiate with the selected bidder(s) prior to contract award.
12. Award contract to the next highest bidder, if contract negotiations with the selected bidder(s) cannot be accomplished within an acceptable time frame. No bidder will have any rights against OCFS arising from such actions.
13. Award contracts to more than one bidder, or to other than the lowest bidder.

14. Require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing.
15. Fund any or all of the proposals received in response to this RFP. However, issuance of this RFP does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted and reserves the right to withdraw or postpone this RFP, without notice, and without liability, to any bidder, or other party, for expenses incurred in the preparation of any proposals submitted in response to this RFP, and may exercise these rights at any time.
16. Use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract.
17. Make additional awards based on the remaining proposals submitted in response to this RFP and/or to provide additional funding to awardees if additional funds become available.
18. Make inquiries of third parties, including but not limited to bidders references, with regard to the applicants' experience, or other matters deemed relevant to the proposal by OCFS. By submitting a proposal in response to this RFP, the applicant gives its consent to any inquiry made by OCFS.
19. Require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information.
20. Consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals.

## **2.12 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/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such contract any subcontractor that is identified on the Prohibited Entities List. Additionally, bidder/contractor is advised that should it seek to renew or extend a contract awarded in response to the solicitation, it must provide the same certification at the time the contract is renewed or extended.

During the term of the contract, should OCFS receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, OCFS will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then OCFS shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the contractor in default.

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

## **2.13 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 form is **located at the end of this RFP**. **Please upload the completed form with the proposal.**

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

In addition to the narrative, which is described in the paragraphs below, applications must include three performance measures. The Performance Measure template format (Attachment C: Performance Measure), **can be found at the end of this RFP.**

### The Narrative Describes the Overall Project Design

The purpose of the Narrative 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 narrative must be responsive to the desired outcomes identified in the RFP, and provide value to the NY Commission's 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. **Page limit: 15 pages, excluding budget, performance measures and any attachments.**

You must complete each section of the narrative:

1. Community Needs Statement
2. Performance Measures
3. Proposed Project Description
4. Organizational Capacity
5. Budget Adequacy

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) in each section below. The Commission reserves the right to add additional bonus points to the final score/rating for proposals that are responsive to criteria outlined at the end of Section 2.1. The criteria used to award additional bonus points, are described in Section 2.3 Selection Criteria.

### Guidelines for Each Section

#### **1. Community Needs Statement (10 points):**

Provide a clear and concise need statement within the applicant's community, with cited research. The proposal must clearly demonstrate the applicant's knowledge of the demographics, 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. local 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), 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.

Provide a description of how the community was involved in planning for the proposed project. Identify at least three community partner organizations that will assist with implementation of the project, and describe community readiness to receive project services.

Describe the target population (individual, community, families, children, etc.): Who 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. 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.

- #### **2. Performance Measures (15 points):** The Performance Measure template format (Attachment C: Work Plan), can be found at the end of this RFP.

The New York State Commission is required to meet two capacity building Performance Measures and one poverty alleviation Performance Measure relative to the Volunteer Generation Grant. Individual subgrantees (ie: funded organizations) will contribute to the State meeting these targets. Please demonstrate how your organization will meet the targets outlined below.

- A. At least 20 anti-poverty organizations will increase their capacity to recruit/place/manage volunteers throughout New York State.
  - In order to reach this target, each NYS Volunteer Generation funded organization will demonstrate a partnership with at least three organizations that will implement a minimum of three effective volunteer management practices.
  - Funded organizations will be expected to utilize New York State's Volunteer Management System to recruit, place & track volunteer activity. All VGF recruited volunteers and partner organizations will manage their volunteer time and report to the Commission via this statewide database. Funded organizations and partner organizations will be required to track the activity of the VGF volunteers independent of other volunteers serving with their organizations, preventing any duplication in reporting of volunteers/volunteer activity funded through other initiatives.
  - Funded organizations will conduct pre/posttests designed to demonstrate the increased capacity of partner organizations in at least three volunteer management practices. The test will be designed by the Commission and will be utilized throughout the State. Pre-assessment must take place prior to any capacity building activities commencing.
- B. At least 600 community volunteers must be recruited/placed/managed by anti-poverty organizations throughout New York State.
  - In order to reach this target, funded organizations and their partners must each recruit a minimum of 80 volunteers that will serve an average of 2 hours/week for a minimum of six months to help the state meet a target of 31,200 total hours served by anti-poverty volunteers.
- C. At least 2,000 families and or individuals in poverty receive assistance throughout New York State.
  - In order to reach this target, volunteers placed by funded organizations and their partners must provide information and/or direct assistance with the goal of poverty alleviation to at least 350 families and or individuals.

For evaluation purposes, steps may be taken by the Commission and/or by OCFS prior to program implementation to further refine performance objectives of successful applicants. Applicants will be required to participate in a statewide volunteer recruitment database that will collect information such as: volunteer names, relevant demographic information including location of residence, method of recruitment, participation in orientation and/or training activities, planned and actual role, assignment or activities, start and end dates of service and hours served related to the program's anti-poverty focus. Volunteers must be unduplicated from those recruited/supported by other national service programs.

**3. Proposed Project Description (30 points):**

Provide a proposed subject matter focus of combatting hunger, homelessness or other manifestation of poverty in New York State. Describe 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.

Outline a recruitment strategy or strategies showing how the applicant will identify and place volunteers in partner organizations. Identify plans for outreach, collaboration and coordination in and with the community. Describe the characteristics of the prototype volunteer you will seek for these positions.

Outline a strategy demonstrating how the applicant will provide assistance to its partners in developing capacity in the areas of volunteer recruitment, management and enrichment and include a clear acknowledgement by the partners that they have agreed to accept this assistance, Describe the role the partner organizations had in the design of the program and why this approach is the best way to achieve the expected objectives.

Discuss how pre/post tests will be administered and how enrichment will be provided, based on the needs of each partner agency. Discuss how the applicant will obtain ongoing input regarding customer satisfaction with project services from partner agencies and the community.

Identify partner organizations with expertise in the subject matter identified as a focus, accompanied by letters of support and/or MOUs from partner organizations. Provide a plan to provide volunteer management capacity building to a minimum of three organizations with either hunger or homeless focus, or other anti-poverty focus. What volunteer management practices will you employ? How will you track whether partner agencies have increased their knowledge or enhanced their volunteer management practices? Please confirm: 1) that the applicant organization will utilize the Commission-designed volunteer management pre/post assessment tool, 2) that the pre-assessment will be administered before any capacity-building services are provided, and 3) that post-assessment will be conducted following any capacity building services.

Provide a detailed plan to develop a “Day of Service”, working with the applicant’s designated partner organizations, which will address needs related to the focus area selected by the applicant. Applicants are also required to affirm that they will recruit for, plan activities for and otherwise participate in the Commission-sponsored Days of Service, including September 11 Day of Recognition and Service, Martin Luther King Jr. Day of Service, and I Love My Park Day (first Saturday in May).

#### **4. Organizational Capacity (25 points):**

Demonstrate the applicant’s success in recruiting, training, placing and managing volunteers, accompanied by data (if available) demonstrating excellent retention rates, volunteer satisfaction, placement organization satisfaction, and value of volunteers recruited to the placement organizations. 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.

Demonstrate staff expertise in the areas of volunteer management and capacity building in volunteer organizations. Identify the key people in the organization who will be primarily responsible for delivering the program and reaching the performance objectives. Please describe them in terms of capacity including knowledge, skills, expertise, and professional credentials. Describe the history of your organization, experience working with or in the target population, and provide evidence that your organization has the capacity and any required licenses to successfully manage the project. Indicate steps that will be taken to ensure readiness to implement the program on a timely basis.

Provide evidence of the organization’s ability to hire and maintain staff, 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 be sure this document is current in the Grants Gateway Document Vault.](#) Include any affiliations with other community groups.

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. State whether resumes are required. When

completing the budget, identify by title and number, all staff to be assigned to this program whether or not they will be paid with requested project funds. Also indicate staff responsibilities. Confirm that all staff members on the program budget will undergo Criminal Background Checks required by the Commission and the Corporation for National and Community Service.

**5. Budget Adequacy (20 points)**

Proposal budgets must demonstrate a clear relationship between funds requested and the program activities and objectives. The proposal budget must include sufficient funds to operate the program successfully. The federal share of proposed budgets may not exceed \$100,000 and requires a minimum 20 percent match, the source of which must not be federal funds. The size of each budget depends on the scope of the project proposed and must be directly related to the program design.

## Instructions for Budget & Budget Narrative

### New York State Volunteer Generation Fund

Follow these instructions carefully as you complete the Budget Forms. 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.

#### **Consider the Following:**

- The cost of items is described in the budget narrative, and for every line item of expense, include in the narrative the specific calculations for determining the total cost of each item.
- All items covered through State Funds must be directly related to the provision of services indicated in the proposal.
- All expenses must be incurred within the contract period.
- All shared costs are prorated.
- Reimbursement for travel, lodging, and mileage costs will not exceed the State rates then in effect.
- All amounts listed on the budget summary form reconcile with the relevant budget narrative information.
- The total 'Requested State Funds' must agree with the amount requested on the Contract Cover Page and on Appendix D (Application Cover Page).

#### **Non-Allowable Costs:**

The following items cannot be included as State 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.
- Costs for dues, attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project.
- Construction/renovation work.

#### **Grantee Share Requirements:**

- Other Federal funds cannot be used as a match.
- The Grantee Share may be reflected in any budget category.
- The Grantee Share source can be cash or in-kind.



## Personnel Narrative

Attach a description of the role/responsibility of each position included in the "Summary of Personnel Costs" Section on the previous page. Resumes of key project staff should be included as an addendum to the Project Narrative Section.

Position Title:

Enter Role/Responsibility Below

## 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 then in effect.
- The State 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 the State.

Item	State Share	Grantee Share	Total Costs
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
<b>Total Travel Costs</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Enter Budget Narrative Below:**

## 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 pro-rated.
  - > Delineate between Administrative and Program Items.

Item	State Share	Grantee Share	Total Costs
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
<b>Total Equipment Costs</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Enter Budget Narrative Below:**

## Supplies

- Supplies are those items consumed during the term of this contract.
- Describe items to be purchased and provide details showing how estimated costs were developed.
- List major supply items (office, program, janitorial, etc.).
  - > Justify these costs in terms of number of staff and programmatic functions, and how the request relates to service provision.
  - > Delineate between Administrative and Program items.

Item	State Share	Grantee Share	Total Costs
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
<b>Total Supplies Costs</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Enter Budget Narrative Below:**

## Contractual and Consultant Costs

- Consultants may not be paid more than \$617/day, per federal guidelines.
- This category includes costs for institutions, individuals, or organizations external to the agency.
- Justify the need and/or purpose for the contractual/consultant services in the narrative.
- 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 then in effect. Refer to: <http://www.osc.state.ny.us/agencies/travel/travel.htm>
- 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.

Item	State Share	Grantee Share	Total Costs
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
			\$0
<b>Total Contractual/Consultant Costs</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**Enter Budget Narrative Below:**









## BUDGET SUMMARY

AGENCY NAME: \_\_\_\_\_

CONTRACTOR NAME: \_\_\_\_\_

PERIOD OF BUDGET: \_\_\_\_\_

The purpose of this form is to document the budget for the proposed project. Indicate the amount of funds being requested to support the proposed project under "State Funds."

Expense Category	State Share	Grantee Share	Total Project Cost
1	2	3	4
<b>A. Personnel Services</b>			
1. Project Staff Salaries			
2. Fringe Benefits			
3. Total Personnel Services (Add Lines 1 & 2)			
<b>B. Non-Personnel Services</b>			
4. Travel			
5. Equipment			
6. Supplies			
7. Contractual and Consultant Services			
8. Training			
9. Evaluation			
10. Total Non-Personnel Services (Add Lines 3 through 9)			
<b>C. Administrative Costs</b>			
<b>D. Project Total (Add Line 3 + Line 10 + Line C)</b>			
		<b>Grantee Share</b> *Use calculation below	

**\*Grantee Match Calculation** = Total Amount of Grantee Share divided by Total Project Cost

**Total costs** entered for each budget category above must reflect totals from previous Budget Sections.

**Grantee Share** refers to all funds other than this grant award, including in-kind contributions to support the project as described in the narrative section of the application. The type and amount of in-kind contributions should be specifically identified under the appropriate Budget Section. Total amount of the in-kind portion of Local Share should be entered in parenthesis next to Local Share Project Total space.

**State Funds** are the funds you are requesting through this application.

**Budget Narrative:** Complete the narrative section for each part of the budget. Instructions are included on the following application budget pages.

**Note:** All items in the Budget must be consistent with the goals and objectives of the Project Narrative. Additional budget narrative pages may be attached as necessary.

## Section Three.... CONTRACT POLICY INFORMATION

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

This section outlines contractor requirements and procedures for business participation opportunities for New York State certified Minority- and Women-Owned Business Enterprises (MWBE), and Equal Employment Opportunities (EEO) for minority group members and women.

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

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

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

#### **Business Participation Opportunities for M/WBEs – OCFS Established Goals**

For purposes of this solicitation, OCFS hereby establishes an overall goal of 22.5 percent for M/WBE participation with a recommended breakdown of 9.5 percent for Minority-Owned Business Enterprises (MBE) participation and 13 percent for Women-Owned Business Enterprises (WBE) participation (based on the current availability of qualified MBEs and WBEs). It is expected that all Contractors make a good-faith effort to utilize M/WBEs when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS.

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

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

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

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

[http://www.esd.ny.gov/MWBE/Data/122210\\_MWBE15-ARegs.pdf](http://www.esd.ny.gov/MWBE/Data/122210_MWBE15-ARegs.pdf)

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

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

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

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

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

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

**Required Documentation**

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

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

- [OCFS-4629 - Project Staffing Plan Form](#) \* (Submit with Proposal)  
This form is to be completed by the bidder and submitted as part of their proposal identifying the anticipated work force to be utilized on the contract. Any modifications or changes to the Project Staffing Plan form after a contract is awarded must be reported on a revised Project Staffing Plan form, on a quarterly basis. **Submit with proposal to (Program contact name, division and bureau, address).** If there are no personal service dollars committed to the contract then the Project Staffing Plan form is not required.
- [OCFS-3460 – M/WBE – Equal Employment Opportunity Policy Statement](#) \* (Applies to Contract Awardees ONLY)  
This document is to be completed by the contractor and submitted to OCFS, pursuant to Article 15-A of the NYS Executive Law. OCFS-3460 is provided to contractors/subcontractors as a model Policy Statement and may be used if the contractor/subcontractor lacks an M/WBE-EEO Policy Statement that is acceptable pursuant to Article 15-A. The contractor/subcontractor has the option to use this model statement or create an appropriate M/WBE–EEO Policy Statement to be submitted to OCFS for approval. More information on the M/WBE-EEO Policy Statement can be found in the [MWBE Appendix](#). **Completed Document: To be signed and emailed to: [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).**
- [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) \* (Applies to Contract Awardees ONLY)  
This form is to be completed and submitted by the contractor during the contract development stage for the purpose of identifying anticipated M/WBE utilization and during the term of a contract to report actual M/WBE participation goals achieved. Contractors should attempt to utilize, in good faith, any MBE or WBE identified on the Subcontracting/Suppliers Utilization Form, during the performance of the Contract. **Completed Form: To be signed and emailed to: [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).**
  - [OCFS-4630 - Subcontractors and Suppliers Letter of Intent to Participate Form](#) (Applies to Contract Awardees ONLY)  
This form is to be completed and submitted by the proposed M/WBE Subcontractor/Supplier during the contract development stage, **and attached** to the [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) for each certified M/WBE the contractor proposes to utilize as subcontractors, service providers or suppliers. If the MBE or WBE proposed for any portion of this proposal/contract is a part of a joint venture or other temporarily-formed business arrangement, the name and address of the joint venture or the temporarily formed business entity should be indicated. If the subcontractors are unknown at the time of the award, enter prime contractor information and enter “unknown” in the “subcontractor/supplier” section. **Completed form: To be signed and emailed to: [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).**
- [OCFS-4441 - M/WBE Quarterly Report Form](#) (Applies to Contract Awardees ONLY)  
This form is to be completed and submitted by contractor within 15 days following the end of each applicable reporting quarter over the term of the contract, documenting the progress made toward achievement of the MWBE goals of the contract. **Completed Form: To be signed and emailed to [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).**

## Equal Employment Opportunity (EEO) Requirements

By submission of this proposal, the bidder/contractor agrees with all of the terms and conditions of the State of New York Master Contracts for Grants, including Section IV. Additional Contractor Obligations, Representations and Warranties, J. Equal Opportunities for Minorities and Women; Minority and Women Owned Business Enterprises and Appendix M/WBE. The contractor is required to ensure that any subcontractors awarded a subcontract over \$100,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "work") except where the work is for the beneficial use of the contractor, shall undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed (religion), color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

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

### 3.2 Omnibus Procurement Act

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

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

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

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

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

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

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

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

1. The contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors on this project, and has

- retained the documentation of these efforts to be provided upon request to the State of New York.
2. Document their efforts to encourage the participation of New York State business enterprises as suppliers and subcontractors by showing that they have:
    - Solicited bids, in a timely and adequate manner, from New York State Empire State Development business enterprises, including certified minority/ women-owned businesses, or
    - Contacted the New York State Empire State Development to obtain listings of New York State business enterprises and MWBEs, or
    - Placed notices for subcontractors and suppliers in newspapers, journals or other trade publications distributed in New York State, or
    - Participated in bidder outreach conferences.
    - If the contractor determines that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, the contractor shall provide a statement indicating the method by which such determination was made.
    - If the contractor does not intend to use subcontractors, the contractor shall provide a statement verifying such.
  3. The contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-961), as amended.
  4. The contractor will be required to notify New York State residents of employment opportunities through listing any such positions with Community Services Division of the New York State Department of Labor, providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The agency agrees to document these efforts and to provide said documentation to OCFS upon request.
  5. Bidders located in a foreign country are notified that the state may assign or otherwise transfer offset credits to third parties located in New York State, and the bidders shall be obligated to cooperate with the state in any and all respects in making such assignment or transfer, including, but not limited to, executing any and all documents deemed by the state to be necessary or desirable to effectuate such assignment or transfer, and using their best efforts to obtain the recognition and accession to such assignment or transfer by any applicable foreign government.
  6. Bidders are hereby notified that state agencies and authorities are prohibited from entering into contracts with businesses whose principle place of business is located in a discriminatory jurisdiction. "Discriminatory jurisdiction" is defined as a state or political subdivision which employs a preference or price distorting mechanism to the detriment of or otherwise discriminates against a New York State business enterprise in the procurement of commodities and services by the same or a non-governmental entity influenced by the same. A list of discriminatory jurisdiction is maintained by the Commissioner of the New York State Empire State Development.

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

- Section 1: Applicability
- Section 2: Definitions
- Section 3: Informal Complaints or Protests
- Section 4: Formal Protest Procedure
- Section 5: Appeal of Formal Protest Decision

#### **Section 1: Applicability**

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

## **Section 2: Definitions**

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

## **Section 3: Informal Complaints or Protests**

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

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

## **Section 4: Formal Protest Procedure**

Any interested party who believes that there are errors or omissions in the procurement process, who believes they have been aggrieved in the drafting or issuance of a bid solicitation or who believe they have been treated unfairly in the application, evaluation, bid award, or contract award phases of the procurement, may present a formal protest to OCFS and request administrative relief concerning such action.

### A. Submission of Bid or Award Protests

1. Deadline for Submission
  - a. Concerning Alleged Errors, Omissions or Prejudice in the Bid Specifications or Documents: Formal protests that concern alleged errors in the drafting of bid specifications must be received by OCFS at least ten (10) calendar days before the date set in the solicitation for receipt of bids.
  - b. Concerning Proposed Contract Award: Formal protests concerning a pending contract award must be received within five (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the protest. Formal protests will not be accepted by OCFS concerning a contract award after the contract between OCFS and the offeror who received the contract award has been approved by the Office of the State Comptroller.

### B. Review and Final Determination

1. Formal protests must be filed with the OCFS Associate Deputy Commissioner of Administration. Any protests filed with the OCFS Program Division responsible for the procurement will be advanced to the Associate Deputy Commissioner of Administration. Copies of all protests will be provided by the Associate Deputy Commissioner of Administration to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Deputy Commissioner of Administration.

2. Formal protests shall be resolved through written correspondence; however, either the protesting party or OCFS may request a meeting to discuss a formal protest. Where further formal resolution is required, the program division responsible for the procurement may designate a state employee not involved in the procurement action ("designee") to determine and undertake the initial resolution or settlement of any protest.
3. The OCFS program division responsible for the procurement will conduct a review of the records involved in the protest, and provide a memorandum to the Associate Deputy Commissioner of Administration or the Associate Deputy Commissioner's designee summarizing the facts, an analysis of the substance of the protest, and a preliminary recommendation including: (a) an evaluation of the findings and recommendations, (b) the materials presented by the protesting party and/or any materials required of or submitted by other bidders, (c) the results of any consultation with the OCFS Division of Legal Affairs, and (d) a draft response to the protest.
4. A copy of the 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 protest, except that upon notice to the protesting party such period may be extended. The final protest determination will be recorded and included in the procurement record, or otherwise forwarded to the Office of the State Comptroller (OSC).

#### C. Appeals

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

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

1. OCFS reserves the right to waive or extend the time requirements for protest submissions, decisions and appeals herein prescribed when, in its sole judgment, circumstances so warrant to serve the best interests of the State.
2. If OCFS determines that there are compelling circumstances, including the need to proceed immediately with contract award and development of final contracts in the best interests of the state, then these protest procedures may be suspended and such determination shall be documented in the procurement record.
3. OCFS will consider all information relevant to the protest, and may, at its discretion, suspend, modify, or cancel the protested procurement action, including solicitation of bids, or withdraw the recommendation of contract award prior to issuance of a formal protest decision.
4. OCFS will continue procurement and contract award activity prior to the final protest determination. The receipt of a formal bid protest will not stop action on the procurement and award of the contract(s) or on development of final contracts.
  - a. The procurement record and awarded contract(s) will be forwarded to OSC, and a notice of the receipt of a protest and any appeal will be included in the procurement record. If a final protest determination, or a final decision on an appeal, has been reached prior to transmittal of the procurement record and the contract(s) to OSC, a copy of the final determination or decision will be included in the procurement record and with the contract(s).

- b. If a final protest determination is made after the transmittal of the procurement record and contract(s) to OSC, but prior to OSC approval, a copy of the final OCFS determination will be forwarded to OSC when issued, along with a letter either: a) confirming the original OCFS recommendation for award(s); b) modifying the proposed award recommendation; or c) withdrawing the original award recommendation.
5. All records related to formal protests and appeals shall be retained for at least one (1) year following resolution of the protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention

**Section 5:           Appeal of Formal Protest Decision**

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

## Section Four.... GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

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

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

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

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

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

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

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

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

**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.

**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.

## Section Five.... CONTRACT DOCUMENTS

### 5.1

Selected applicants will have a contract with New York State. A template of this contract includes items listed below and can be found at:

[http://grantsreform.ny.gov/sites/default/files/docs/nys\\_master\\_contract\\_for\\_grants\\_42913.pdf](http://grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_42913.pdf)

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

## 5.2 Application Cover Page – Agreement

<b>I. Incorporated Agency Name:</b>				
<b>II. Project Title:</b>				
<b>III. New York State Vendor ID:</b>				
<b>IV. Amount of OCFS Funds Requested:</b>				
<b>V. Proposed Dates of Project:</b>				
<b>VI. Address: (Include Street, City, State, Zip Code)</b>	<b>Mailing</b>	<b>Payment</b>	<b>Site</b>	<b>Agency Record</b>
<b>VII. Federal Tax Identification Number or Municipality Code:</b>				
<b>VIII. Data Universal Numbering System (DUNS) Number:</b>				
<b>IX. Is the Business Entity a:</b> <b>(a) For Profit entity; and</b> <b>(b) A New York Certified Minority Owned Business Enterprise (MBE), Women Owned Business Enterprise (WBE), New York State Small Business or a Federally Certified Disadvantaged Business Enterprise (DBE)?</b>	<input type="checkbox"/> <b>Yes</b>		<input type="checkbox"/> <b>No</b>	
<b>If yes, please specify the type of entity:</b>	<input type="checkbox"/> Minority Owned Business Enterprise (MBE) <input type="checkbox"/> Women Owned Business Enterprise (WBE) <input type="checkbox"/> Disadvantaged Business Enterprise (DBE) <input type="checkbox"/> New York State Small Business			
<b>X. Is the Business Entity a:</b> <b>(a) Not-For-Profit entity; and</b> <b>(b) A Minority Community-Based Organization (MCBO)</b>	<input type="checkbox"/> <b>Yes</b>		<input type="checkbox"/> <b>No</b>	
<b>XI. Has the Business Entity filed all required periodic or annual written reports with the Office of the Attorney General's Charities Bureau?</b>	<input type="checkbox"/> <b>Yes</b>		<input type="checkbox"/> <b>No</b>	
<b>XII. Charities Registration Number: (If exempt, enter reason for exemption)</b>				
<b>XIII. Has the business entity registered in the System for Award Management (SAM)?</b>	<input type="checkbox"/> <b>Yes</b>		<input type="checkbox"/> <b>No</b>	

<b>XIV. Congressional/Legislative District Information: (If Known)</b>					
Federal Congressional District(s):					
State Assembly District(s):					
State Senate District(s):					
<b>XV. County:</b>					
<b>XVI. Contact Person(s):</b>					
<b>Key Contacts</b>	<b>Name</b>	<b>Address</b>	<b>Telephone &amp; E-Mail Address **</b>	<b>Authorized to Sign Contracts</b>	<b>Authorized to Sign Vouchers</b>
Board Chairperson					
Chief Administrative Officer <sup>1</sup>					
Contract Contact					
Chief Fiscal Officer					
<b>**An E-mail address is required. If you do not have a personal e-mail address, please supply your Organization's shared e-mail address.</b>					

<sup>1</sup> The Chief Administrative Officer is defined as the person who is responsible for the contractor's overall administration, eg. Executive Director, County Executive, or Agency Commissioner

### 5.3 Encouraging Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women- owned businesses, consistent with current State law.

Utilizing New York State businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its New York State business partners. New York State businesses will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects bidders/proposers to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

Bidders/proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State businesses be used in the performance of and contract resulting from this solicitation?

\_\_\_\_\_ Yes      \_\_\_\_\_ No      \_\_\_\_\_ Contract will not include subcontractors or supplies

If yes, please complete the table below to identify businesses that will be used. Please use multiple forms if required.

Vendor Name	Street Address	City	Zip	Est Value
█	█	█	█	█
█	█	█	█	█
█	█	█	█	█
█	█	█	█	█

**See Section 2.14 above  
(Performance Measures)**

(Attachment C)

NEED	INTERVENTION			RESULT
PROBLEM	INPUTS	ACTIVITIES	OUTPUTS	OUTCOMES
<p><b>VOLUNTEER GENERATION</b></p> <p><b>Problem:</b> Describe the need your proposal seeks to address (lack of housing/hunger volunteer resources in community)</p>	<p>Describe the resources provided by the Program or Partners (staff, curriculum, consultants)</p>	<p>Describe activities that will garner increased volunteers</p>	<p>Describe products resulting from Volunteer Program activities (Statements should start: Number of... trainings, technical support sessions, recruitment events, etc.)</p>	<p>Describe a Resulting change (knowledge, attitude, behavior, or condition) from Volunteer Program activities</p>

NEED	INTERVENTION			RESULT
PROBLEM	INPUTS	ACTIVITIES	OUTPUTS	OUTCOMES
<p><b>Capacity Building</b></p> <p><b>Problem:</b> Describe the need your proposal seeks to address (lack of Volunteer Management Capacity)</p>	<p>Describe the resources provided by the Program or Partners (staff, curriculum, consultants)</p>	<p>Describe activities that will garner increased Volunteer Management capacity</p>	<p>Describe products resulting from Volunteer Program activities (Statements should start: Number of... trainings, technical support sessions, recruitment events, etc.)</p>	<p>Describe a Resulting change (knowledge, attitude, behavior, or condition) from Volunteer Program activities</p>

NEED	INTERVENTION			RESULT
PROBLEM	INPUTS	ACTIVITIES	OUTPUTS	OUTCOMES
<p><b>Poverty</b></p> <p><b>Problem:</b> Describe the identified issue in the community you wish to address. This section should include statistics and reference to related studies/reports. Please choose from the following priorities:</p> <ol style="list-style-type: none"> <li>1) Lack of food;</li> <li>2) Homelessness; and/or</li> <li>3) Other poverty issues.</li> </ol>	<p>Describe the resources provided by the Program or Partners (staff, meals, educational materials, etc.)</p>	<p>Describe activities that volunteers perform to garner decreased human need.</p>	<p>Describe products resulting from Volunteer Program activities (Statements should start: Number of... informational sessions, meals served, families who attended support sessions, persons who received food/housing or food/housing assistance, etc.)</p>	<p>Describe a Resulting change (knowledge, attitude, behavior, or condition) from Volunteer Program activities</p>

