



**Office of Children  
and Family Services**

**KATHY HOCHUL**  
Governor

**SHEILA J. POOLE**  
Commissioner

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

**Grant Procurement**

**REQUEST FOR PROPOSALS**

**RFP # 1080  
Grants Gateway # CFS01-FOC-2022**

**Family Opportunity Centers**

**Issued: July 13, 2022  
Amended: August 18, 2022**

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## 1.0 GENERAL INFORMATION/CALENDAR OF EVENTS

The New York State Office of Children and Family Services (OCFS) in partnership with the New York State Education Department (NYSED) has released this Request for Proposals (RFP) to solicit applications to fund Family Opportunity Centers (FOC) to meet emerging needs of at risk families by increasing their protective factors and facilitating connections/coordination with community partners, including schools and mental health and substance use disorder service providers, to strengthen and support families.

This initiative is designed to support community-based efforts to develop, operate, expand, enhance, and coordinate services to prevent child abuse and neglect and to support the coordination of resources and activities to better strengthen and support families to reduce the likelihood of child abuse and neglect, and promote permanency by implementing a protective factors framework. FOC programs will offer a wide range of prevention services that will include formal and informal parenting education, building social connections, meeting families' concrete needs, and overcoming barriers to accessing mental health and/or substance use disorder services if needed. Through these services, FOC's will also support improved student mental health, school climate, and student attainment for grants awarded to school districts. This RFP is intended to serve organizations, public agencies and educational institutions in the fifty-seven counties outside of New York City and/or any school district statewide with a 2019-20 economically disadvantaged student rate above the state average (55.6%). See RFP Section 2.3 for more details.

This RFP is funded from the following sources as follows:

\$3 million yearly (for a total of \$9 million) of OCFS federal Community-Based Child Abuse Prevention (CBCAP) program funding included in the American Rescue Plan (Attachment 10). Awards made under the CBCAP allocation can be made to community-based or faith-based not-for-profit organizations, public agencies, and public or private educational institutions serving students of any age and their families.

\$1 million yearly (for a total of \$3 million) in awards made under the NYSED allocation will be made to school districts to serve middle or junior high school students and their families for the purposes of supporting student mental health or school climate through activities including but not limited to school mental health centers and school and family engagement resources.

\*Please note: All applicants must propose to start a FOC program.

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

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

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

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

### 1.1 Procurement Contact

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

Director of Contracts  
**Questions for RFP # 1080 Family Opportunity Centers**  
 NYS Office of Children and Family Services  
 Bureau of Contract Management  
 52 Washington Street  
 Room 202S – Procurement Unit  
 Rensselaer, NY 12144

### 1.2 Calendar of Events **AMENDED 8/18/2022**

<b>RFP # 1080 Family Opportunity Centers</b>	
<b>EVENT</b>	<b>DATE</b>
Issuance of RFP	7/13/2022
<b>Informational Meeting/Applicant Webinar</b> <i>(see section 1.3 for additional information)</i>	<b>7/26/2022</b> <b>at 10:00 AM Eastern Time</b>
<b>Deadline for submission of written questions</b> <i>(see section 1.4 for additional information)</i>	<b>7/27/2022</b> <b>by 11:59 PM Eastern Time</b>
Responses to written questions posted <i>(on or about)</i>	<del>8/10/2022</del> <b>8/18/2022</b>
<b>Recommended deadline for not-for-profits to prequalify in the NYS Grants Gateway</b>	<del>8/17/2022</del> <b>8/25/2022</b>
<b>Deadline for submission of proposals</b> <i>(see section 5.5 for additional information)</i>	<del>8/31/2022</del> <b>9/8/2022</b> <b>by 4:00 PM Eastern Time</b>
<b>Anticipated</b> Notification of Award <i>(not earlier than)</i>	<del>10/28/2022</del> <b>11/3/2022</b>
<b>Anticipated</b> contracts start date <i>(not earlier than)</i>	3/1/2023

### 1.3 **Bidder's Conference**

Offerors are encouraged to attend the Bidder's Conference, which will be in the form of an interactive webinar. The webinar will provide important information to organizations intending to submit applications in response to the Family Opportunity Centers RFP # 1080.

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

- To join for both video and audio conference, access the webinar at [THIS LINK](#), and if prompted, use the meeting password: FOC2022
- To join by telephone for the audio conference only, the number to call is 1-518-549-0500; use the participant code: 1619 60 1795

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

A direct link to the Bidder's Conference webinar invitation is also available at the following website, which can be copied and pasted into the address bar of most modern internet browsers:

<https://meetny.webex.com/meetny/j.php?MTID=mcdf77a6205127bb02f4ef710324253bc>

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

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

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

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

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

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

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

### **1.6 Submission of Proposals**

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

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

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

- F. [OCFS-4821, CMS User Authorization](#) (Required for the OCFS contract Management System)

### **1.7 OCFS Reserved Rights**

OCFS reserves the right to

1. place a monetary cap on the funding amount made in each contract award;
2. change any of the schedule dates stated in this RFP before the due date for the submission of proposals;
3. reject any or all proposals received in response to the RFP;
4. withdraw the RFP at any time at the agency's sole discretion;
5. make an award under the RFP in whole or in part;
6. disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
7. reject any proposal if, in the sole discretion of OCFS, it determines the bidder is not a responsible vendor;
8. seek clarification and revisions of proposals. Request bidders to present supplemental information clarifying their proposals either in writing or by formal presentation. Other than the requested clarification and supplemental information, submission of new information is not permitted;
9. require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal, which may include an oral presentation of their proposal. Any such demonstration or presentation may be considered in the evaluation of the proposal;
10. amend any part of this RFP before opening of bids, with notification to all bidders, and direct all bidders to prepare modifications addressing RFP amendments, if necessary. Expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP are the sole responsibility of the bidder or other party and will not be incurred or reimbursed by OCFS;
11. make funding decisions that maximize compliance with and address the outcomes identified in this RFP;
12. fund only one portion, or selected activities, of the selected bidder's proposal and/or adopt all or part of the selected bidder's proposal based on federal and state requirements;
13. eliminate any RFP requirements that cannot be met by all prospective bidders upon notice to all parties that submitted proposals;



14. waive procedural technicalities or modify minor irregularities in proposals received after notification to the bidder involved;
15. correct any arithmetic errors in any proposal or make typographical corrections to proposals with the concurrence of the bidder;
16. negotiate with the selected bidder(s) before contract award.
17. conduct contract negotiations or award a contract to the next highest bidder if contract negotiations with the selected bidder(s) cannot be accomplished within an acceptable time frame. No bidder will have any rights against OCFS arising from such actions;
18. award contracts to more than one bidder or to other than the lowest bidder;
19. require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing;
20. fund any or all of the proposals received in response to this RFP. However, issuance of this RFP does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted and reserves the right to withdraw or postpone this RFP without notice and without liability to any bidder or other party for expenses incurred in the preparation of any proposals submitted in response to this RFP and may exercise these rights at any time;
21. use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract;
22. utilize any and all ideas submitted in the proposals received where an award is ultimately made;
23. require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal and/or to determine an offerer's compliance with the requirements of the solicitation;
24. make additional awards based on the remaining proposals submitted in response to this RFP and/or provide additional funding to awardees if such funds become available;
25. make inquiries of third parties, including but not limited to, bidder's references, with regard to the applicants' experience or other matters deemed relevant to the proposal by OCFS. By submitting a proposal in response to this RFP, the applicant gives its consent to any inquiry made by OCFS;
26. require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these

purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information;

27. consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals;
28. rescind awards for failure of awardees to meet time frames that OCFS is required by statute to meet for contract development and approval;
29. cancel this RFP, in whole or in part, at any time and to reject any and all proposals when appropriate in the best interests of the state;
30. make adjustments to the funding amount requested based on program need and based on the total dollar value of the applications submitted; and
31. reject any extraneous terms, alternate activities/work to be performed, added conditions, or exceptions stated by applicants within their proposal(s). This includes, but is not limited to, proposed changes to the standard terms and conditions of the resulting contract(s).

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

## **2.0 EXECUTIVE OVERVIEW**

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

Neither the child welfare system nor schools can address all of the social and psychosocial needs of children and families alone. They need the Office of Children and Family Services to be familiar with and provide robust resources in collaboration with other governmental agencies, not-for-profit providers, community based organizations, and philanthropic partners to address issues of poverty, education barriers, substance use disorders, and lack of quality physical and mental health care. Meaningful prevention efforts must center upon addressing the social, emotional, and economic needs of families and their networks of natural supports well before involvement with social services is necessary. Toward that end, OCFS, in partnership with NYSED, is pleased to announce this funding opportunity aimed at improving the safety and well-being of children and families who may be at risk of abuse, maltreatment, family violence, and/or trauma and improve connections/coordination with community partners, including schools and mental health and substance use disorder service providers, to strengthen and support families.

This RFP includes increased federal CBCAP program funding contained in the American Rescue Plan. This funding is designed to implement primary and

secondary prevention and to support community-based programs with the goal of preventing child abuse/maltreatment and/or preventing the recurrence of child abuse/maltreatment; and improving outcomes for families at risk of or experiencing child abuse and/or maltreatment.

NYSED funding is available to provide student mental health and/or school climate supports to school districts serving middle and junior high school students and their families through the establishment of Family Opportunity Centers. Districts eligible under this funding stream, those with a 2019-20 economically disadvantaged student rate above the State average (55.6%), must emphasize family engagement, characterized by strong partnerships and additional supports for students and families designed to counter environmental factors that impede student achievement.

Research shows that:

- building on five (5) protective factors with families reduces child abuse and maltreatment, increases family stability, and enhances child development;
- child abuse is one of the most significant factors affecting rates of juvenile delinquency, substance abuse, foster care, and teen pregnancy;
- children under three (3) are most likely to be victimized and involved in the child welfare system;
- occurrences of trauma range from 25% in the general population of children and youth to 90% for children in specific child serving systems such as child welfare;
- incidents of child maltreatment and trauma may be preventable through education geared towards giving parents the tools to effectively parent;
- where domestic violence exists in a family, there is a high probability that child abuse or maltreatment is co-occurring, and that witnessing domestic violence can have significant effects on the child's well-being;
- early childhood maltreatment is associated with significantly lower academic outcomes;
- parents' involvement in their children's education is an important factor for school success; and
- children's school success is an important factor in their future economic success.

Additionally, research shows that as the number of adverse childhood experiences (ACEs) increase, the risk for numerous long-term health problems increases significantly. Investing in prevention can reduce the need for more costly intervention services resulting from abuse and maltreatment. Additional CBCAP funds became available with the passing of the American Rescue Plan Act due to an increased need of parenting support and prevention services caused by the COVID-19 pandemic.

OCFS is seeking proposals that will improve the safety, permanency, and well-being for children and families throughout New York State (NYS). Due to the complex issues facing families, better aligning public and private resources to support effective neighborhood-based interventions can create a continuum of care to improve outcomes for all community residents. The proposed Family Opportunity Centers (FOC) will be an enhancement to the Family Resource Center (FRC) model currently funded by OCFS. FRCs are community-based or school-based, flexible, family-focused, and culturally sensitive hubs of support and resources that provide programs and intentionally selected services based on the needs and interests of families. FRCs solicit the input of key community stakeholders and parents in designing and implementing program services and ongoing administration of the program.

Research on the effectiveness of FRCs demonstrates that:

- FRC services contributed to a 45% reduction in cases of child abuse and neglect;
- FRC services contributed to a 20% increase in parents' self-reports of their ability to keep children in their care safe from abuse; and
- FRC services resulted in statistically significant gains in family self-sufficiency.

The enhanced FRC/FOC approach fits within OCFS's reliance on community-based programs working with local departments of social services (LDSS) and other community partners to help strengthen and support families, including through schools and mental health and substance use disorder service providers. These partnerships are crucial to improving the safety and well-being of children, youth, and families in New York's highest need communities. Additionally, the interplay between a child's well-being and the parenting or caregiving environment is equally important. Attention must be paid to the family and caregiver's well-being to encourage healthy family relationships and strengthen the attachment to a caring and reliable adult for children. True engagement of parents that is strength-based and engages the parent in a partnership to improve the safety, permanency, and well-being of their child is critical.

Applicants are strongly encouraged to consider the following key concepts when writing their proposals:

- Early intervention opportunities to improve the lives of children, adults and families are often the most successful and should be emphasized;
- Program strategies, evidence-informed and evidence-based practices that are matched to community strengths and challenges result in the most successful outcomes;
- Collaboration with community service providers, LDSS, schools, and faith-based organizations across the different service delivery systems serving families supports common goals and leads to successful outcomes;
- Using and sharing data for planning and evaluation purposes and in identifying trends and outcomes informs practice and improve outcomes;
- Services designed to support families should be trauma informed, culturally responsive and sustaining, robust, visible, and readily accessible; and

- Where applicable, FOCs work collaboratively with community school initiatives to promote mutually supportive programming that avoids redundancy.

## **2.2 OCFS Statewide Considerations**

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

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

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

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

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

- **Disconnected/High-Need Youth**

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

- **Racial Equity and Cultural Competence**

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

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

Specific areas that every applicant and community are requested to consider in the design of their program and scope of services identified in their application for OCFS funding include, but are not limited to the following:

- Providing service strategies, approaches, and linguistic capacities that promote the delivery of services that are culturally competent and reflective of the population and community to be served

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

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

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

### **2.3 Purpose and Funding Availability AMENDED 8/18/2022**

\*Note: All applicants must propose to start a FOC program.

OCFS anticipates allocating \$3,000,000 per year in federal Community Based Child Abuse Prevention (CBCAP) American Rescue Plan funds and NYSED anticipates allocating \$1,000,000 per year in State funds. These funds are available for three (3) years from March 1, 2023 - February 28, 2026, for an aggregate total of \$12,000,000, to this Family Opportunity Center RFP. If additional funding becomes available, additional awards may be made to proposals approved but not initially awarded funding under this RFP.

Awards made under the \$1,000,000 per year NYSED allocation will be made to school districts to serve middle or junior high school students and their families by starting a FOC for the purposes of supporting student mental health or school climate through activities including but not limited to school mental health centers and school and family engagement resources. No district shall receive a grant in excess of the total actual grant expenditures incurred by the district in any year. Such funds shall only be used to supplement, and not supplant, current local expenditures of federal, state or local funds.

Federal CBCAP funds were made available through the American Rescue Plan to all states for child abuse and maltreatment prevention efforts. These funds are intended

to support community-based, prevention-focused programs designed to strengthen and support families, including services specific to young parents, fathers, homeless families, former adult victims of child abuse and domestic violence, families with disabilities and other underserved or underrepresented groups. (See Section 4.1 Desired Outcomes and Program Requirements).

Awards made under this RFP can be used for developing, operating, expanding, and enhancing community-based and prevention-focused programs and activities by starting a FOC program that:

- is designed to strengthen and support families to prevent child abuse and neglect;
- is designed to strengthen and support student mental health and/or school climate;
- is accessible, effective, culturally responsive and sustaining;
- builds upon existing strengths;
- offers assistance to families;
- provides early, comprehensive support for parents;
- promotes the development of parenting skills, especially in young parents and parents with very young children;
- increases family stability;
- improves family access to other formal and informal resources and opportunities for assistance available within communities, including access to such resources and opportunities for unaccompanied homeless youth;
- supports the additional needs of families that have children with disabilities through respite care and other services;
- demonstrates a commitment to partnering with parents in planning and program implementation, including collaborative planning with parents of children with disabilities, parents with disabilities, racial and ethnic minorities, and members of underrepresented and underserved groups;
- provides referrals to early health and developmental services; and
- increases supports, especially for black, brown, indigenous and LGBTQ+ children and families, in underserved communities to mitigate risks and prevent child abuse and neglect.

Projects awarded CBCAP funds should foster the development of a continuum of preventive services for children and families, including unaccompanied homeless youth, through state and community-based collaborations and partnerships, both public and private.

Through this solicitation, CBCAP federal funds are available to start new Family Opportunity Centers (FOC) with the goal of strengthening families, reducing incidents of child abuse and neglect, and avoiding foster care or other out-of-home placements. OCFS is seeking applicants who demonstrate a readiness to partner with other agencies, including LDSS, mental health and substance use disorder service providers, and local school districts, to address community challenges that affect the safety and well-being of families and who will:

- strengthen families by building protective factors to reduce the risks of child abuse and maltreatment (including reducing the incidents of educational neglect); and
- improve safety and well-being of children and families at risk of child abuse.



Applicants must demonstrate that their proposed FOC supports applicable local LDSS strategies/priorities, reflects cross-sector community planning to address specific needs, demonstrates community input (including parents/caregivers), provides local resources, and is consistent with State and federal enabling legislation. Applicants proposing to serve high-risk populations, through evidence-based programs and practices will receive higher points.

This funding is to support community-based Family Opportunity Centers that place an emphasis on the following:

- Family strengthening efforts specific to individuals and families at risk of child abuse and maltreatment;
- Developing parenting capacity in young parents and parents with children of all ages, especially children with developmental disabilities;
- Engaging in creative outreach to underserved participants and promote parent leadership opportunities;
- Supporting a continuum of preventive services through multidisciplinary, cross-sector partnerships;
- Providing services focused on the health and positive development of parents and children; and
- Programs serving middle or junior high school students and their families support student mental health and/or school climate.

Additional Funding Requirements for OCFS Funded Applicants:

- It is anticipated that a minimum of one application will be funded in the following regions: Buffalo, Capital, Long Island/Lower-Hudson, Mid-Hudson, North Country, Rochester, Southern Tier, and Syracuse
- Only one (1) application will be accepted per organization.
- **For all applicants except school districts:** the maximum annual request for an FOC **funded by OCFS** is listed below for each county to be served. Applicants may propose to serve multiple counties. **Applicants serving multiple counties are eligible to apply for up to the the combined total of the annual maximum award amounts for the counties they propose to serve.**
- **For applicants that are school districts: the maximum annual award is a maximum of \$200,000 per year of funding, regardless of funding source, even if the district's boundaries include more than one county.**

**School districts may receive NYSED funding or OCFS CBCAP funding, but not both. When making awards, OCFS will determine the funding source based upon the eligibility of the applicant, population proposed to be served, and availability of funding.**

Please see the list of counties **and their maximum annual funding amounts** on the following page.

County	Region	Maximum Request	County	Region	Maximum Request
Albany	Capital	\$400,000	Oneida	Syracuse	\$400,000
Allegany	Buffalo	\$250,000	Onondaga	Syracuse	\$400,000
Broome	Southern Tier	\$400,000	Ontario	Rochester	\$300,000
Cattaraugus	Buffalo	\$250,000	Orange	Mid-Hudson	\$400,000
Cayuga	Syracuse	\$250,000	Orleans	Rochester	\$350,000
Chautauqua	Buffalo	\$350,000	Oswego	Syracuse	\$350,000
Chemung	Southern Tier	\$300,000	Otsego	Syracuse	\$250,000
Chenango	Southern Tier	\$250,000	Putnam	Mid-Hudson	\$300,000
Clinton	North Country	\$300,000	Rensselaer	Capital	\$400,000
Columbia	Capital	\$250,000	Rockland	Long Island/Lower Hudson Valley	\$350,000
Cortland	Syracuse	\$250,000	Saratoga	Capital	\$400,000
Delaware	Southern Tier	\$250,000	Schenectady	Capital	\$400,000
Dutchess	Mid-Hudson	\$400,000	Schoharie	Capital	\$250,000
Erie	Buffalo	\$400,000	Schuyler	Southern Tier	\$200,000
Essex	North Country	\$250,000	Seneca	Syracuse	\$250,000
Franklin	North Country	\$300,000	St. Lawrence	North Country	\$350,000
Fulton	Capital	\$300,000	Steuben	Southern Tier	\$300,000
Genesee	Rochester	\$250,000	Suffolk	Long Island/Lower Hudson Valley	\$400,000
Greene	Capital	\$250,000	Sullivan	Mid-Hudson	\$300,000
Hamilton	North Country	\$250,000	Tioga	Southern Tier	\$300,000
Herkimer	North Country	\$300,000	Tompkins	Syracuse	\$250,000
Jefferson	North Country	\$350,000	Ulster	Mid-Hudson	\$400,000
Lewis	North Country	\$200,000	Warren	North Country	\$300,000
Livingston	Rochester	\$200,000	Washington	North Country	\$250,000
Madison	Syracuse	\$300,000	Wayne	Rochester	\$250,000
Monroe	Rochester	\$400,000	Westchester	Long Island/Lower Hudson Valley	\$400,000
Montgomery	Capital	\$300,000	Wyoming	Buffalo	\$250,000
Nassau	Long Island/Lower Hudson Valley	\$400,000	Yates	Rochester	\$250,000
Niagara	Buffalo	\$350,000			

**Please note: Maximum awards made to school districts are \$200,000 per year.**

#### Additional Funding Requirements for NYSED Funded Applicants:

- Eligible applicants are New York State P-12 Public School Districts (Charter schools are not eligible). To be eligible, districts must have a 2019-20 economically disadvantaged student rate above the State average (55.6%) (note this criterion is measured at the district level).
- Each eligible school district may submit only one application. In NYC, each eligible Geographic School District may submit only one application.
- Eligible school districts may be awarded a maximum of \$200,000 per year of NYSED funding even if the district's boundaries include more than one county. The combination of all awards made to New York City Geographic School Districts may not exceed \$400,000.
- See **Attachment 9** for a list of school districts eligible for NYSED funding.

#### Additional Program Requirements for All Applicants:

**Important Note:** A minimum of 25% (up to a maximum of 50%) of the requested grant amount must be set aside to address the concrete needs of families and/or overcome barriers that prevent families from accessing mental health and/or substance use disorder services.

- A local match is not required; however, programs are encouraged to include additional financial and/or in-kind services (unpaid work).
- Applicants may not use this funding source to provide child protective services, foster care services, mandated preventive services, or any other services otherwise available through the LDSS in the county(ies) in which the applicant's FOC(s) will be located.
- Notwithstanding any other provisions of the State Finance Law, OCFS will conduct a review of all applicable reports required for all contracts awarded as a result of this RFP, as well as any additional information obtained by OCFS during site visits and program reviews, to determine whether the program has effectively strengthened families or provided a necessary service. Programs that OCFS finds to be ineffective will not be eligible for contract renewal beyond the third year of the contract and will be notified by OCFS in accordance with the provisions of this RFP and the contract.
- Services provided must accommodate cultural and linguistic requirements of the population and/or community to be served.

Federal awarding agencies have certain responsibilities related to the federal awards they make. Code of Federal Regulations (CFR) Title 2 §200.210 of the "Pre-federal Award Requirements and the Contents of Federal Awards," of the Office of Management and Budget (OMB) Uniform Guidance (2014) provides the federal award information that must be provided to each subrecipient of a federal award. OCFS has determined that awardees under this procurement will be deemed Subrecipients as outlined in 2 CFR §200.330 for the purpose of carrying out a portion of a Federal award. OCFS is providing this information to assist the awardee meeting the Contract Provisions for Non-Federal Entities Appendix II to 2 CFR Part 200,

Requests for advance payments on federally funded contracts must be made in accordance with 2 CFR Part 200, and in particular with 2 CFR section 200.305 and other applicable laws, rules, and regulations. Requests for advance payments on federally funded contracts must be made, in writing, on the Federal Fund Advance Request form (OCFS-3900), pursuant to the process established by OCFS. OCFS will review and a determination will be made upon the contractor's submission of all required information. OCFS will recoup advance payments on federally funded contracts by crediting subsequent claims, so that the advance payment is recouped in full as soon as administratively feasible and in no event later than the third quarter of the contract period and in accordance with 2 CFR Part 200 and any other applicable laws, rules, and regulations and in accordance with the Federal Fund Advance Request Form (OCFS-3900). In the event a request for an advance payment on a federally funded contract is made in or later than the second quarter of the contract period, and such request is approved by OCFS, OCFS will recoup such advance payment by crediting subsequent claims, so that the advance payment is recouped in full as soon as administratively feasible and in no event later than the fourth quarter of the contract period in accordance with 2 CFR Part 200 and any other applicable laws, rules and regulations and the Federal Fund Advance Request Form (OCFS-3900).

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

## **2.4 Term of Contract**

The contract(s) awarded in response to this RFP will be for three (3) years. The anticipated start date is March 1, 2023, and the anticipated end date is February 28, 2026, with the option to renew for another two years at OCFS's sole discretion and upon agreement of contractors. Funding is currently available for all three (3) years of the contract, with the possibility for projects to be extended contingent on funding availability. Contractors may not begin to provide services prior to the contract start date; OCFS has no obligation to pay for services rendered prior to that time. Payments cannot be made prior to the formal execution of a contract and/or amendment and approval by the Office of the State Comptroller (OSC).

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

### **3.1 Minimum Qualifications AMENDED 8/18/2022**

1) Eligible applicants must be one of the following to receive **OCFS funding**:

- community-based or faith-based not-for-profit organizations, or
- public agencies. For the purposes of this RFP, "public agency" shall mean a local office, board, department, bureau, commission, division, agency, or other instrumentality of local government, or

- public educational institutions (including school districts, Boards of Cooperative Educational Services (BOCES), and individual elementary, middle, or high schools) serving students of any age and their families.

Applicants who meet the above requirements and the additional requirement below are eligible for **NYSED funding**:

- NYS school districts (not individual middle or high schools), that have a 2019-20 economically disadvantaged student rate above the State average (55.6%), **are listed on Attachment 9**, and are proposing to start a FOC program to serve middle and junior high school students and their families for the purposes of supporting student mental health or school climate through activities including but not limited to school mental health centers and school and family engagement resources. However, a school district may be awarded a maximum of \$200,000 per year of NYSED funding even if the district's boundaries include more than one county.

**Please note:** State agencies and for-profit entities are not eligible to apply.

- 2) **For OCFS funds:** Applicant must propose to serve one or more of the fifty-seven counties outside of New York City for OCFS funds. **School Districts outside NYC, serving any age youth and their families residing in the district are also eligible for OCFS funding up to a maximum of \$200,000 per year.** or for NYSED Funds: a school district that has a 2019-20 economically disadvantaged student rate above the State average (55.6%) for NYSED funds. See **RFP Section 2.3** for a full list of eligible counties for OCFS funds and **Attachment 9** for school districts eligible for NYSED funds.
- 3) Not-for Profit applicants must be prequalified, if not exempt, in the NYS Grants Gateway on the application deadline. (See **Section 3.2** for additional information)
- 4) To demonstrate alignment with local social service district strategies/priorities, applicants must collaborate with each LDSS the FOC proposes to serve to jointly identify service gaps and community needs. To comply with this requirement an LDSS Commitment Form must be completed by each LDSS for each county the applicant proposes to serve (using **Attachment 1**) and submitted with the application. These forms must be submitted in the "Pre-submission Uploads" section of your online application in the NYS Grants Gateway. If additional upload slots are required, the "Grantee Document Folder" may be used for subsequent LDSS Commitment Forms. **If the Applicant is an LDSS and is only proposing to serve their own county, they will not submit Attachment 1. However, if they are proposing to serve a different county, they must submit Attachment 1 for each other county they propose to serve.**
- 5) Applicants must submit Letters of Commitment from the local school district(s) and other local community partners, including domestic violence support services and substance abuse treatment providers they are proposing to partner with (using **Attachment 2**).

**Please Note:** The letters must specify areas of agreement and cooperation as well as the responsibilities of the partners, including sharing of space, service provisions, referral, and involvement in project development. Letters of Commitment are not letters of support. **If the applicant is a school district, they must submit letters of Commitment from their community partners.**

- 6) Applicant must propose to implement a Family Opportunity Center that operates as explained in **Section 4.1 Desired Outcomes and Program Requirements**.
- 7) Applicant must agree to use funding to provide primary and/or secondary prevention services as described in this RFP only and will not fund child protective services, foster care services, mandated preventive services, or any other services otherwise available through the LDSS or school district.
- 8) Applicant must propose to implement an evidence-based model/curriculum rated as well-supported, supported, or promising in either the California Evidence-Based Clearinghouse for Child Welfare (CEBC) or Title IV-E Prevention Services Clearinghouse (IV-E) as identified in **Attachment 6**. Applicants that propose to implement a model/curriculum that rated as promising in both clearinghouses must include an evaluation plan to assess the project's efficacy in meeting the RFP's desired outcomes.
- 9) Applicant must agree to enter participant-level data into the OCFS Prevention Database within established time frames and participate in all continuous quality improvement and evaluation activities directed and/or led by OCFS.
- 10) Applicants must agree to implement the Standards of Quality for Family Strengthening and Support.

### **3.2 Prequalification Process**

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

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

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

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. [The Vendor Prequalification Manual](#) on the [Grants](#)

[Management website](#) details the requirements and an [online tutorial](#) is available to walk users through the process.

### 3.2.1 Register for the Grants Gateway

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

### 3.2.2 Complete Your Prequalification Application

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

### 3.2.3 Submit Your Prequalification Application

- After completing your prequalification application, click the “Submit Document Vault” link located below the “Required Documents” section to submit your prequalification application for state agency review. Once submitted, the status of the document vault will change to “In Review.”

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

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

### **3.3 Vendor Responsibility Requirements**

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

OCFS reserves the right to reject any proposal if, in its sole discretion, it determines the bidder is not a responsible vendor. All proposals are subject to a vendor responsibility determination before the award is made, and the determination can be revisited at any point up to the final approval of the contract by the New York State Office of the State Comptroller (OSC). Vendors must maintain their vendor responsibility throughout the duration of the contract.



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

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

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

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

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

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

The New York State VendRep System offers the following benefits:

- Ease of completion, filing, access to and submission of the questionnaire; efficiencies are multiplied for vendors who bid and contract with the state frequently or with multiple state agencies.
- Questionnaire updates are easily filed by updating only those responses that require change from the previously saved questionnaire (as opposed to a paper copy where a new questionnaire is required each time there is a change).
- The stored questionnaire information eliminates the need to reenter data for each subsequent questionnaire submission.
- Reduction of costs associated with paper documents including copying, delivery and filing
- Online questionnaire information is secure and accessible to authorized vendor users only. State agencies can only view certified and finalized questionnaires.

- VendRep question prompts ensure that the correct forms are completed.
- The VendRep Online System contains links to all definitions of the terms used in the questionnaire.

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

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

## **4.0 PROGRAM REQUIREMENTS**

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

Proposals should be responsive to the desired outcomes identified in the RFP and contribute value to the OCFS mission. OCFS expects all project services funded by this initiative will be designed to be culturally and linguistically responsive and sustaining and cost efficient. Appropriate planning and development activities must be conducted by applicants to promote responsiveness to the population to be served by this RFP.

Proposals should address identified need(s) for families at risk of entering the child welfare system and respect and represent the language and culture of the community to be served. Only applications to start a new program will be considered. FRCs currently funded by OCFS are not eligible for this funding. OCFS seeks to support programs that are outcome focused and performance driven, valuable to families, and aligned with state and local strategies.

School districts applying to serve only middle and junior high school students and their families under the NYSED portion of funding must emphasize family engagement, strong partnerships, and additional supports that support student achievement. Proposals should address the community partnerships leveraged to offer school-based and school-linked services that, based on a needs assessment of the community, address the mental health needs of students and their families and work with families as essential partners in their child’s success. Where schools within the area to be served employ a community schools strategy, identify how services will be aligned to minimize redundancy and promote mutual support. Such applications should not seek to duplicate effective services that exist in their communities; rather, through partnerships and subcontracts, leverage existing high-quality programs and assets by linking them to the school and providing robust services to students and their families.

OCFS will only invest in evidence-based programs and practices included in the California Evidence-Based Clearinghouse for Child Welfare (CEBC) and Title IV-E Prevention Services Clearinghouse (IV-E) as identified in **Attachment 6** rated as well-supported, supported, or promising, with the expectation of meeting the needs of the identified population and achieving the desired outcomes. Projects that propose to implement a promising practice are required to include a program evaluation plan to assess project efficacy.

Desired program outcomes include the following:

- 1) Engage families in evidence-based programming to provide needed supports for caregivers of children;
- 2) Retain families in needed services and parenting education programs;
- 3) Assess families' strengths, challenges, and needs to best engage, retain, and provide appropriate services to families, including overcoming barriers to families accessing of services including mental health and/or substance use disorder services;
- 4) Strengthen families by building protective factors including parental resilience, nurturing and attachment, knowledge of parenting and child development, and concrete and social supports;
- 5) Develop parental leadership within the program and the larger community;
- 6) Improve connections to schools;
- 7) Improve access to community resources such as mental health services, additional services and supports, including prevention services; and
- 8) Improve school attendance and student attainment (only applicable to projects proposing to serve families with school-aged children).

Proposed FOCs shall have the following core components that are required:

- Family Support Services, including case management focusing on families with young children to strengthen families and prevent child abuse and neglect, typically short-term to assist families in meeting the identified family needs and desires;
- Formal and informal parenting education programs that include at least one curriculum/model in the California Evidence-Based Clearinghouse for Child Welfare or Title IV-E Prevention Services Clearinghouse rated as well-supported, supported, or promising on **Attachment 6**;
- Projects implementing a promising curriculum/model will include an evaluation plan to assess project efficacy;
- Inclusion of parent leadership and peer support strategies and the implementation of a standing Parent Advisory Board and/or parent representation on the program/agency advisory board to inform practice and program design;
- Programs address barriers to mental health and/or substance use disorder services, including prevention programs, including but not limited to completing mental health screenings, training staff on Mental Health First Aid (MHFA) (and/or becoming a center where MHFA trainings are held), fostering connections to crisis systems including mobile crisis response teams and Home-

Based Crisis Intervention programs, and making referrals to dyadic therapy/child and/or parent psychotherapy;

- Programs address family concrete needs, such as food insecurity, transportation costs to access services, etc.; and
- Programs provide information and referrals for services not provided directly by the FOC.

Proposed FOCs may provide the following optional services (may be provided as a direct service or referral to a community partner):

- Additional educational programs such as mentoring programs for students, adult education/literacy, educational programs that link families with the local school, and alternative educational programs such as BOCES.
- Educational advocacy to assist parents through the Individualized Education Program (IEP) process.
- Job skills training and self-sufficiency programs for adults and youth.
- Social, health, housing, homeless, food and nutrition, domestic violence support, recreation (including paying registration fees for youth sports/leagues, additional educational enrichment programs, etc.) services.
- Monitoring child development and early intervention.
- Promotion of school readiness.

The performance indicators included in **Attachment 3** are required of all awardees. Applicants should add additional indicators that reflect the curriculum/model from the California Evidence-Based Clearinghouse for Child Welfare or Title IV-E Prevention Services Clearinghouse being implemented as well as indicators as needed for other services provided. Indicators have been defined for the required performance indicators. Applicants should add indicators for curricula or model specific indicators. These will be finalized during the contract development process. Progress will be reported quarterly (as appropriate), with overall indicator achievement being evaluated for a full contract year.

Practice principles being supported include:

- Strength-based – services based on family strengths; family decisions, and family input strongly influence their interventions.
- Culturally responsive and sustaining – services reflect an understanding of the family’s culture, ethnicity, and social and economic context; families feel respected and cultures are valued and maintained.
- Community-based – services strategically located to be readily accessible to the identified populations.
- Comprehensive – programs provide an array of engagement and retention strategies and services that address the unique multitude of challenges faced by families.
- Continuous quality improvement – programs use customer satisfaction surveys, and input from the community and other stakeholders; data is analyzed and incorporated in the program design to produce the best outcomes.
- Racial and social justice – programs promote racial and social justice.

Successful applicants will incorporate the preceding practice principles in their program design.

The overall goal of the community and neighborhood based FOCs is to support family strengths, promote community investment and ownership, and provide the needed resources to families to improve overall family well-being and build protective factors that reduce the risk of child abuse and maltreatment.

All FOCs must:

- be based upon Protective Factors Framework;
- administer the Protective Factors Instrument to assess program effectiveness in building protective factors in families;
- enter program and individual level data into OCFS' Prevention Database;
- be culturally responsive and sustaining; work includes addressing racial equity and reducing racial disparities, valuing and encouraging practice of families' and communities' cultures within the program, including through décor reflecting diverse cultures;
- have signage that reflects a welcoming, child and family centered program;
- have space for adults arranged so they can see and interact with their children;
- have a play area that allows for large motor activities, small group activities and reading area developmentally appropriate for pre-school age children;
- have adult-size furniture for informal conversation with space large enough to conduct parenting workshops;
- have an inviting outdoor space for parent and child interaction and social events if possible;
- have an area set aside for brochures, resources, books, videos, and other materials for parents to view and select;
- have an area available for preparing snacks and potluck meals for workshops and parenting programs;
- have office space available for private conversations, administrative duties, and data entry;
- have community space for things like supervised parenting time (supervised visitation); and
- have a flexible schedule to include work outside normal business hours which is defined as after 5 PM on weekdays and weekend hours.

FOC's prevention-focused, voluntary program offers comprehensive, culturally sensitive services universally accessible to ALL families in a central location; with awards made under CBCAP funding reflecting an emphasis on families with young children, and awards made under NYSED funding services for middle and junior high school students and their families. Programs will be located in easily accessible locations within the community. The design is based on a local needs assessment, building on an existing planning process with interdisciplinary participation, including parents, local provider, health, social services, local government, school, youth bureau, childcare agency, and community residents. The list of recommended community collaborations include:

- Linkages with Department of Health Early Intervention and Infant/Child Assessment Programs
- Infant and Toddler centers
- Programs/services for children/adults with disabilities

- Employment programs
- Libraries and literacy programs
- Family support services
- Home visiting and crisis nursery programs
- Adolescent pregnancy and prevention services
- School Districts and Head Start programs
- Local Committees on Special Education
- Local Early Intervention Programs
- After school programs
- Childcare resource and referral services
- Schools, churches and civic groups
- Local Department of Social Services
- Medical providers including pediatricians
- Mental health providers, including school-based mental health clinics
- Cultural organizations
- Faith-based organizations
- Youth development programs

FOCs will engage in focused outreach to families with the following risk factors: families affected by domestic violence, mental health, substance use disorders, families who may be isolated, lack sufficient personal, social, or community supports and/or who can benefit from support related to their family situation. Examples include teen parents and single parents, families without sufficient employment/income, grandparents and kinship caregivers, caregivers with mental health issues, families with children who have developmental needs or disabilities and families that have come together through adoption or foster care.

FOCs that include the provision of mental health services in their proposal may deliver services directly or through a partner agency. Vendors awarded contracts through this RFP must ensure clinicians operate within their scope of license. Proposers are strongly encouraged to collaborate with the county [Single Point of Access](#) (SPOA) and other local New York State Office of Mental Health initiatives such as [Project TEACH](#), school-based mental health clinics, and Systems of Care. Applicants that include the provision of substance use disorder services may deliver services directly or through a partner agency. The applicant is encouraged to collaborate with New York State Office of Addiction Services and Supports (OASAS) certified or funded treatment or prevention programs and/or other OASAS initiative such as the Screening, Brief Intervention and Referral for Treatment (SBIRT).

The FOCs will work in partnership with other community agencies and parents to strengthen protective factors identified in research to contribute to positive outcomes for children. These factors include parental resilience, social connections, knowledge of parenting and child development, healthy social and emotional development, and availability and connection to concrete supports in the community. For more information on the Strengthening Families Protective Factors: <https://www.childwelfare.gov/topics/preventing/promoting/protectfactors/>.

The FOCs will assist families in their caregiving roles, strengthen informal support among families, offer needed resources either directly or through community partnerships, and

promote community investment. Programming will be determined by local needs, building on existing planning processes with community and interdisciplinary participation. Community partnerships will result in additional resources and services to be offered at the center. Programs will be required to demonstrate strong and clearly defined partnerships, with community providers of domestic violence support services and substance abuse treatment services. These partnerships will be detailed in memorandums of understanding (MOU) or similar agreements submitted during the contract process

The location of services is based on a community assessment to determine what is needed and where there is a lack of similar services. Consideration is given to the accessibility of the site. This includes both transportation needs and handicap accessibility. Programs should typically be located in highly visible locations. Satellite sites, outreach program events and home visits may be needed to reach geographically remote areas of the community and broaden the program's reach. Co-location of services provided through community partners, especially schools, is encouraged.

All FOCs will be required to implement the *Standards of Quality for Family Strengthening and Support*. This will include certification training for all staff, annual completion of a program self-assessment, and a plan for continuous quality improvement. For more information on the Standards of Quality: <https://www.nationalfamilysupportnetwork.org/standards-of-quality>.

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

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

### **5.0 PROPOSAL CONTENT AND SUBMISSION**

#### **5.1 Technical Proposal Content/Work Plan AMENDED 8/18/2022**

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

The purpose of the Work Plan is to provide a clear description of what requested project funds will pay for, the expected outcomes for the proposed project services and the programmatic rationale for the proposed project budget. The Work Plan must be in compliance with all applicable state and federal laws, rules,

and regulations and be responsive to the desired outcomes identified in **Section 4.1 Desired Outcomes and Program Requirements** of the RFP and provide value to the OCFS mission. OCFS expects that all project services funded by this initiative will be designed to be culturally and linguistically responsive, sustaining and cost efficient. Appropriate planning and development activities must be conducted by applicants to promote responsiveness to the population to be served by this RFP.

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

1. Download the Work Plan template from the “Pre-Submissions Uploads” folder in your grant application.
2. Complete the Word document, and save it to refer to later when responding to questions as part of your proposal submission in the grants gateway system. This document **will not** be submitted into the GSS with your application.
3. Save the Work Plan for future reference, because if the applicant is awarded a contract, this document will be the basis for the Work Plan in the subsequent contract for services.

The Work Plan consists of the following sections:

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

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

### **Guidelines for Each Section**

#### **A. Community (10 Points)**

The proposals in response to this RFP must apply to provide FOC services in at least one of the fifty-seven counties outside of New York City or a school district whose 2019-20 economically disadvantaged student rate is above the State average (55.6%), including New York City. See **RFP Section 2.3** for a full list of eligible counties and Attachment 9 for eligible school districts. For CBCAP funding, one proposal may propose to serve multiple counties, but no more than one proposal will be approved for funding to provide services in a county. All proposals must clearly demonstrate the applicant’s knowledge of the demographics, cultures,



linguistic requirements, strengths, issues, and service needs of the community to be served by the proposed project. Please include the following information:

- Describe the planning activities that were conducted that contributed to the development of the proposal, including how the community was involved in planning for the proposed project, including the population to be served and other stakeholders;
- Discuss trends that support the demand for the proposed project services, identify demographic data (including data on the community's racial and ethnic composition), and social and economic changes that may be of significance to the community to receive project services;
- Explain how the proposed project relates to the overall needs of the community including information on similar services available within the community and identify resources that were reviewed or consulted to develop your proposal, e.g., county plans, goals and/or statewide needs assessment(s);
- Identify community agency partners that will assist with the project and community readiness to receive project services, including schools, domestic violence support services, and substance abuse treatment service providers; and
- Where school districts are within the area to be served, the applicant must explain how they will employ a community schools strategy and identify how services will be aligned to minimize redundancy and promote mutual support.

### **B. Population(s) to be served (10 Points)**

The population to be served is the intended recipient of project services for whom proposed project outcomes will be achieved. This section must describe the characteristics of the population to be involved in the project, especially underserved communities such as black, brown, indigenous, and LGBTQ+ children and families, the geographic area or community to be served, the population's strengths and needs, and why the client group is identified to receive services.

Proposals eligible for NYSED funds must be school districts applying to provide FOC services to middle or junior high school students and their families for the purposes of supporting student mental health or school climate through activities including but not limited to school mental health centers and school and family engagement resources.

- Describe the population to be served, including their strengths, challenges, and the need for services that the project seeks to address.
- Describe how the project will conduct outreach to clients. The population to be served represents the individuals and/or families who will be the ultimate recipients of the proposed services, and those for whom you want to affect change in behavior.
- Discuss the number of persons to be served, including the number of students as well as family members. This number should be clear, justifiable, and supported by community demographics and resources.
- Describe where services will be strategically located to promote participant access in high need areas. As needed, services may be co-located, and/or provided in satellite locations, during times that meet the needs of the population. Where

partnerships include a community school, describe how partners are collaborating to ensure effective and efficient access to programs and services.

- Describe the high-risk populations that will be served.

### **C. Objectives, Tasks and Performance Measures (10 Points)**

Download the **Attachment 3 Performance Measures** (PMs) form from the Pre-submission Uploads section of the Grants Gateway, complete the form and upload them back into the same location.

It is critical to know the number of children, adults and families who successfully achieve performance outcomes, safety, and well-being as a result of project services.

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

Project objectives must be consistent with the desired RFP objectives and address identified problems, conditions, needs and behaviors of the population to be served. Proposals must use the indicators included in **Attachment 3** and include any additional objectives and indicators to measure outcomes for the proposed evidence-base model/curriculum being implement and any project specific objectives and indicators.

- Describe how objectives address significant identified needs of the population(s) to be served;
- Identify the actions to be taken that will significantly contribute to the achievement of the desired objectives;
- Clearly define objectives, tasks involved, and how objectives are measurable and achievable with the resources available to the project. Identify appropriate and realistic methods to verify task attainment; and
- Upload Attachment 3 including the required performance measures and any additional outcomes for curricula or model specific indicators.

For program evaluation purposes, steps may be taken by OCFS during contract development to further refine performance objectives of successful applicants.

### **D. Proposed Project Description (30 Points)**

This section describes the FOC's services and activities to be conducted by the applicant.

- Discuss how the proposed project will address the current status of the population to be served.
- Describe physical location of service delivery, why this location was chosen, and how it meets the needs of the population to be served. FOCs collocated within a school and/or that demonstrate a strong partnership with their local school district

and/or school-based mental health clinic or school-based health center **must** submitting any/all formal memorandum(s) of agreement, if available.

- Discuss which specific services, core and optional components, and other essential elements will be funded by the proposed project and how applicant will address the outcomes listed in **Section 4.1**. Describe evidence-based services including the California Evidence-Based Clearinghouse or Title IV-E Prevention Services Clearinghouse model/curriculum to be used to obtain intended results.
- Describe plans for outreach, collaboration, and coordination in and with the community. Plans should provide strategies likely to engage and retain the population to be served.
- Discuss how the project will interface with other in-house services and services available in the community, including through community schools where applicable. Submit any/all formal memorandums of agreement with community partners if available. Include an explanation on how the project will work with specific partners.
- Describe the role the population to be served had in the project design, why this approach is an effective way to achieve the expected objectives, and how the project will seek ongoing input from the population to be served. Describe plans for developing parent leadership opportunities within the project and within the larger community.
- Discuss cultural and linguistic considerations for the delivery of services to the population to be served and how the project will encourage successful objectives for the population to be served.
- Discuss how the applicant will obtain ongoing input regarding customer satisfaction with project services from the community.
- Describe the implementation plan and how minimal start-up time will be achieved.

### **E. Project Staff (10 Points)**

This section provides a comprehensive overview of the proposed project's staffing pattern, staff qualifications, staff development, promoting staff wellness, and project supervision.

- Describe the title and role of staff that are currently working for the applicant or will be hired by the project, required staff qualifications, how staff orientation and training will be provided, and how supervision of staff will be provided. Identify by title and number all staff to be assigned to this project. State whether they will be paid with requested project funds or other funding sources and briefly indicate their responsibilities. If proposed to be funded by grant funds provided by this RFP, they must be included in the budget proposal. If paid out of local share funds, include the cost in the local share column as applicable.
- Identify the staff titles that are currently or will become credentialed parenting educators, and describe how reflective supervision will be provided to project staff. Please see NYSPEP website: <https://nyspep.org/>.
- Describe how the staffing pattern for the proposed project is representative of the community, cultures and languages of persons identified to receive services. Cultural awareness and responsiveness will be considered critical factors. Discuss what activities will be conducted to instill staff diversity and cultural

responsiveness in project services. Describe how applicant will promote staff wellness.

## **F. Organization (10 Points)**

This section describes the history, attributes, and functions of the organization.

- Describe the history of your organization, experience working within this subject area and with the population to be served, and provide evidence that the organization has the capacity and any required licenses or certifications to successfully manage the project. Include activities the organization has initiated to accommodate cultural and linguistic needs of the community, including readiness to implement the project and the hiring and maintenance of staff. Describe past accomplishments, special characteristics, and resources of your organization that are predictive of your success in achieving the stated performance objectives.
- Describe how the leadership of your agency supports this proposal. Identify the key people in the organization who will be primarily responsible for delivering the project and reaching the performance objectives. Please describe their capacity including knowledge, skills, expertise, professional credentials, commitment, and include resumes for existing staff.
- Provide an organizational chart in the “Pre-submission Uploads” section of your grant application that shows how this project fits into the applicant’s full organizational structure.
- Describe the applicant’s ability to sustain the project at the end of contract once funding has ended.

## **5.2 Proposed Budget (20 Points) **AMENDED 8/18/2022****

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

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

Follow these instructions carefully as you complete the budget. The budget for this project must be in compliance with all applicable state and federal laws, rules, and regulations. Use the following directions to briefly describe the expenses included in each budget category. The detail requested is essential to expedite the contract process. Accuracy and completeness are critical.

Please note that when you complete the budget in the Grants Gateway, you will be required to upload the budget document into the “Pre-submission Uploads” section of your application. Be aware that this document must be converted to a PDF before it can be uploaded to the system. Please note: your proposed budget should reflect expenses for an annual (one year) period for up to the maximum dollar amount for each county proposed to be served listed in the FOC funding chart in **Section 2.3, Purpose and Funding Availability** of this RFP. **Awards made to** School Districts are limited to \$200,000 per year, **regardless of**

**funding source, in NYSED funding** even if their district lines include service to more than one county.

Budgets shall include:

- The cost of items is described in the budget narrative and for every line item of expense, the specific calculations for determining the total cost of each item is included in the narrative.
- All items covered by OCFS and NYSED funds will be directly related to the provision of services indicated in the proposal, will be realistic, reasonable, necessary, allowable, and justified based on the project plan.
- Budget focuses on direct services rather than administrative expenses.
- A minimum of 25% and a maximum of 50% of the requested grant amount is set aside to overcome families' concrete, mental health, and/or substance use disorder service barriers.
- Administrative expenses do not exceed 15% of grant request.
- There is evidence of alternate community investments to support this project. i.e., a reasonable sustainability plan.
- All expenses will be incurred within the contract period.
- All shared costs will be prorated.
- Reimbursement for travel, lodging and mileage costs do not exceed the State rates currently in effect.
- All amounts listed on the budget summary form reconcile with the relevant budget narrative information.
- The total Grant Funds requested agrees with the total amount requested in the Grants Fund Column of the **Attachment 4**, Budget Template.

### **Non-Allowable Costs**

The following items *cannot be included* as grant-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, project outreach, and recruitment of participants.
- Entertainment costs, including social activities for program and staff, unless directly associated with the project.
- Costs for dues, attendance at conferences, or meetings of professional organizations, unless attendance is necessary in connection with the project.
- Costs associated with lobbying local, state, and federal officials.

## **Local Match**

There is no local match requirement, however, programs are encouraged to include additional financial and/or in-kind services (unpaid work).

### **A. Personal Services**

#### **1. Personal Services - Personnel**

##### Personal Services (Salaries):

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

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

#### **2. Personal Services – Fringe Benefits**

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

considered with justification; any such justification must be included with your application.

Fringe Benefits Narrative:

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

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

Use of MWBE for Discretionary Purchases

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

<b>NPS Budget Category</b>	<b>MWBE Goal</b>
1. Contractual/Consultant	Discretionary expenses in this category subject to goals
2. Travel	Travel expenses would be Non-discretionary – exempt, but Transportation (i.e., chartering of buses), is subject to goals
3. Equipment	Discretionary expenses in this category subject to goals
4. Supplies	Discretionary expenses in this category subject to goals
5. Other Expenses	
a. Space/Property (Own)	Non-discretionary - exempt
b. Utilities	Non-discretionary - exempt
c. Operating Expenses	Discretionary expenses in this category subject to goals
d. Printing Services	Discretionary expenses in this category subject to goals
e. Other Expenses/Miscellaneous	Discretionary expenses in this category subject to goals
f. Administrative Expense	Non-discretionary - exempt

\*If MBE/WBE are not going to be utilized, you should include enough detail in the applicable Budget Narrative section(s) to show why that spending

category line should not be considered discretionary and counted toward your goals (i.e., 'There are no M/WBE vendors for this commodity/service in our area.' 'We have established contracts with vendor xxx for this commodity/service.' etc.). The OCFS Contract Compliance Unit may reach out to you for further details/explanations and will require justification and information documenting good faith efforts.

### Discretionary Budget Narrative Worksheet

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

- In the right-hand column, enter the “Total Discretionary Funds” that will be subject to the MWBE spending goal.
- For any category where the “Total Discretionary Funds” is less than the “Total OCFS Funds,” provide an explanation in the appropriate category of the amount excluded and why it is non-discretionary.
- The amount that you must spend with an MWBE will automatically be calculated.
- Discretionary Determination: Indirect cost is not considered a discretionary expense and may be excluded.

### NPS Budget Categories

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

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

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

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



subcontract agreements, regardless of dollar value, must be submitted to OCFS before claim for services is submitted.

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

## **2. Travel**

- Travel costs include the following: air, train, bus and taxi fare; personal auto, parking fees, tolls, lodging and meals. Conference fees or outside training costs for staff to attend that are integral and essential part of this particular project and necessary in connection with the project to be funded.
- Explain which staff will be traveling and the destination, purpose, and frequency of travel.
- Include one overnight trip to Rensselaer, NY for an all-grantee meeting.
- For local/day travel and extended travel, list the following for each trip: destination, length of stay, purpose, number of travelers, mode of transportation and its cost, meals and lodging costs.
- Includes staff travel only.
  - Consultant travel should be shown under the "Contractual/Consultant Services" category.

- Client travel should be shown under the “Other Expenses” category.
- Reimbursement for travel, lodging, and mileage costs will not exceed the state rates then in effect.

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

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

### **3. Equipment**

This section is used to itemize the purchase of equipment.

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

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

### **4. Supplies**

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

- Delineate between administrative and project items.
- Describe items to be purchased and provide details showing how estimated costs were developed.
- Justify these costs in terms of number of staff and programmatic functions, and how the request relates to service provision.

## 5. Other Expenses

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

### a. Space/Property (Own)

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

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

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

### b. Utilities

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

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

### c. Operating Expenses

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

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

### d. Printing Services

- All agencies and subcontractors must make reasonable efforts to secure the lowest responsible bidder for printing services.

- In instances where the cost of a printing job exceeds \$5,000, documentation of three telephone bids is required showing that the lowest cost source has been used. This information must be provided with the *payment* claim. The state strongly encourages the participation and utilization of MBE and WBE owned printing firms.
- Program materials to be printed using these funds must be preapproved by OCFS.

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

#### e. Miscellaneous Expenses

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

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

#### f. Administrative Expense

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

**A. For Federally Funded Awards – All applicants that are not listed in B. below answering Eligibility Question 1a with “Yes” for OCFS funding.**

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

- OCFS will reimburse the federally approved indirect cost rate for federally funded contracts up to any statutory caps required by the funding streams and in accordance with the terms and conditions of the federal award. A copy of the federally approved

indirect cost agreement, with narrative, addendum, and an expiration date must be submitted as part of the proposal.

- If your agency does not have a federally approved indirect cost agreement, and your agency is a non-federal entity that has never received a negotiated indirect cost rate, except for a governmental department or agency unit that receives more than \$35 million in direct federal funding, you may elect to charge a de minimis rate of 10 percent of modified total direct costs (MTDC). Please see federal regulations at 2 CFR 200.414(f) for the applicable legal requirements for this option.
- MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000.
- Use of a federally approved indirect cost rate, or the de minimis rate, as described above, if applicable, must be in accordance with all applicable federal rules to include 2 CFR Part 200.

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

**B. For State-Funded Awards – School Districts Listed on Attachment 9 serving Junior and Middle School Students and their Families** ~~Only for applicants NOT seeking OCFS Funds who answer “No” to Eligibility Question 1a.~~

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

- Indirect costs are considered in the total administrative costs for this project (indirect cost plus any directly charged administrative personnel, related fringes and nonpersonal services).
- Some common methods of allocating indirect costs are based upon time, space, units of service or percentage of funding.
- All administrative costs must be individually identified.

All costs included in the direct cost categories must be directly attributable to the project. State Finance Law and Generally Accepted Accounting Principles require that any expense incurred

over more than one funding source or program must be charged proportionately, and the method of allocation must be documented.

Please Note: If **you are ultimately funded with with OCFS funds, your budget will be adjusted to allow for a federally approved indirect cost rate or the deminimis rate during contract development.** ~~only awards an eligible organization SED state funds, during contract development you may revise your budget to reflect the State Funded Award administrative cap.~~

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

### **5.3 Key Concepts AMENDED 8/18/2022**

California Evidence-Based Clearinghouse for Child Welfare (CEBC)

The CEBC is a critical tool for identifying, selecting, and implementing evidence-based child welfare practices that will improve child safety, increase permanency, increase family and community stability, and promote child and family well-being, <https://www.cebc4cw.org/>.

Title IV-E Prevention Services Clearinghouse

The Title IV- E Prevention Services Clearinghouse was established by the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services (HHS) to conduct an objective and transparent review of research on programs and services intended to provide enhanced support to children and families and prevent foster care placements. The Prevention Services Clearinghouse, developed in accordance with the Family First Prevention Services Act (FFPSA) as codified in Title IV-E of the Social Security Act, rates programs and services as well-supported, supported, promising, or does not currently meet criteria, <https://preventionservices.abtsites.com/>.

Disproportionate Minority Representation (DMR):

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

Evidence-based practice:

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

Evidence-informed practice:

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

Local Share:

Funds (or in-kind services) applied to the budget other than the funds awarded by OCFS to be granted as a result of this RFP.

Standards of Quality:

The Standards of Quality <https://www.nationalfamilysupportnetwork.org/standards-of-quality> provide the framework used to plan, provide, and assess quality practice and integrate the Principles of Family Support Practice as well as the researched-based, evidence-informed Protective Factors Framework. The Standards are organized into five areas of practice:

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

Organizational Qualifications:

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

Protective Factors:

Are the conditions or attributes in individuals, families, and communities that promote the health and well-being of children and families. The five protective factors are:

- Parental Resilience- parental resilience is the ability to manage and bounce back from all types of challenges that emerge in every family's life.
- Social Connections- Friends, family members, neighbors and community members provide emotional support, help solve problems, offer parenting advice and give concrete assistance to parents.
- Concrete Support in Times of Need- Meeting basic economic needs like food, shelter, clothing, and health care which are essential for families to thrive. **Allowable expenses would include food, diapers, school supplies, clothes, etc. Other one-time expenses that would be allowable are helping with a security deposit for a family to rent an apartment, making a rent payment to avoid eviction, helping with utility payments, etc. Gift cards to the local store for the family to make necessary purchases may potentially be used when other resources (like WIC, food pantry, etc.) are not available and when possible, should use merchants or gift card types**

**that restrict the types of products that can be purchased (no tobacco, alcohol, lottery tickets, etc.) For the purchase of food, staff from the FOC are encouraged to place the order online for a family to have picked up or delivered to ensure appropriate items are being obtained or provided. Organizations that utilize gift cards will be required to submit documentation with claims that report how many gift cards were purchased, their denominations, who they were given to, and what they were used for. All vendors must ensure the appropriate use of funds. Questions regarding allowability of a concrete need should be discussed with your Program Manager prior to purchase.**

- Knowledge of Parenting and Child Development- Accurate information about child development and appropriate expectations for children's behavior at every age help parents see their children and youth in a positive light and promote their healthy development.
- Nurturing and Attachment- Children nurtured and that develop a bond with a caring adult have better outcomes in all aspects of behavior and development.

#### Protective Factors Instrument (PFI)

The PFI is intended to measure protective factors in five areas that research has shown to be critical to building strong families: family functioning/resiliency, social support, concrete support, nurturing and attachment, and knowledge of parenting/child development.

#### Prevention Program Data Management System (PPDMS)

A collection of participant level information requiring input of registration and demographic information, services information, and protective factors inventory information.

#### Service Description:

Detailed explanation of the means (service model, plan, or approach) the provider will use to achieve its performance indicators and outcomes. This should include a description of the project's core features (i.e., the kinds of services provided, their intensity and duration, the essential elements, as well as theoretical approach, delivery strategies, involvement of population to be served in planning, etc.).

#### Verification:

Methods used to verify performance indicator attainment. Minimally this would include pre-and post-assessments at consistent times during the contract period. See FRIENDS National Resource center website for a list of evaluation tools. <http://friendsnrc.org/evaluation-toolkit/compendium-of-annotated-tools/>

#### Vendor Responsibility:

Compliance with New York State Finance Law and guideline provisions related to vendor integrity providing reasonable assurance that the potential contractee demonstrates the capacity to perform the requirements of the contract. This includes having authority to do business in the state, having capacity and acceptable previous performance, if applicable, in addition to aforementioned integrity.



**5.4 Proposal Content AMENDED 8/18/2022**

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

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

**Eligibility Questions**

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

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

No.	Question	Yes/No
<b>1. Eligibility Questions</b>		
1a.	<p>Is the applicant eligible to receive OCFS funding by being a:</p> <ul style="list-style-type: none"> <li>• community-based or faith-based not-for-profit organization, or</li> <li>• public agency. For the purposes of this RFP, “public agency” shall mean a local office, board, department, bureau, commission, division, agency, or other instrumentality of local government, or</li> <li>• public educational institution (including school districts, Boards of Cooperative Educational Services (BOCES), and individual elementary, middle, or high schools) serving students of any age and their families (eligible for CBCAP funding only).</li> </ul> <p><b>Please note:</b> State agencies and for-profit entities are not eligible to apply.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1b.	<p>Using the above list of eligible entities, clearly identify the applicant’s organization type. Provide ONLY the organization type of the entity submitting the application in this text field.</p>	Text Field

1c.	Is the applicant eligible for NYSED funding by being a school district that has a 2019-20 economically disadvantaged student rate above the State average (55.6%) listed in <b>Attachment 9</b> proposing to serve middle and junior high school students and their families for the purposes of supporting student mental health or school climate through starting a FOC with activities including but not limited to school mental health centers and school and family engagement resources?	<input type="checkbox"/> Yes <input type="checkbox"/> No* <input type="checkbox"/> N/A
1d.	If your response to question 1c. was “yes” please clearly identify the name of the school district (including BEDS Code) and clearly state whether your proposal serves middle school students and their families, junior high students and their families, or both.	Text Field
1e.	Is the applicant eligible for OCFS funding by proposing to serve one or more of the fifty-seven counties outside of New York City? See <b>RFP Section 2.3</b> for a full list of eligible counties for OCFS funds.	<input type="checkbox"/> Yes <input type="checkbox"/> No* <input type="checkbox"/> N/A
1f.	If your response to question 1e. was “yes” please clearly identify the county(ies) proposed to be served by this application. Provide <b>ONLY</b> the names of the counties proposed to be served in this text field.	Text Field
1g.	Are you prequalified, if not exempt, in NYS Grants Gateway on the application deadline (see RFP <b>Section 3.2 Prequalification Process</b> )?	<input type="checkbox"/> Yes <input type="checkbox"/> No* <input type="checkbox"/> N/A
1h.	Is an LDSS Commitment Form from each county or school district to be served (use <b>Attachment 1</b> ) submitted in the “Pre-Submission Uploads” section of your online application in the NYS Grants Gateway? Note: If additional upload slots are required, the “Grantee Document Folder” may be used for subsequent LDSS Commitment Forms. <b>If the Applicant is an LDSS and is only proposing to serve their own county, they will not submit Attachment 1. However, if they are proposing to serve a different county, they must submit Attachment 1 for each other county they propose to serve.</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1i.	Did you consult with or provide a copy of your proposal to the LDSS in each county or school district served? Instructions can be found in <b>Attachment 1</b> .	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1j.	Did you submit Letters of Commitment from the local school district(s), and other local community partners, including domestic violence support services and substance abuse treatment providers (using <b>Attachment 2</b> ) that the applicant is proposing to partner with? The letter must specify areas of agreement and cooperation, including sharing of space, service provisions, referral, and involvement in project development. Please Note: Letters of Commitment are not letters of support; they are for describing specific contributions to the project. <b>If the</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No*

	<b>applicant is a school district, they must submit Letters of Commitment from their community partners.</b>	
1k.	Does the applicant propose to implement a Family Opportunity Center that operates in line with <b>Section 4.1 Desired Outcomes and Program Requirements</b> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1l.	Does the applicant agree to use funding to provide primary and/or secondary prevention services as described in this RFP only and not fund child protective services, foster care services, mandated preventive services, or any other services otherwise available through the LDSS or school district?	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1m.	Does the applicant propose to implement an evidence-based model/curriculum rated as well-supported, supported, or promising in either the California Evidence-Based Clearinghouse for Child Welfare (CEBC) or Title IV-E Prevention Services Clearinghouse (IV-E) as identified in <b>Attachment 6</b> ? Applicants that propose to implement a promising model/curriculum must include an evaluation plan to assess the project's efficacy in meeting the RFP's desired outcomes.	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1n.	Does the applicant agree to enter participant-level data into the OCFS Prevention Database within established time frames and participate in all continuous quality improvement and evaluation activities directed and/or led by OCFS?	<input type="checkbox"/> Yes <input type="checkbox"/> No*
1o.	Does the applicant agree to implement the Standards of Quality for Family Strengthening and Support?	<input type="checkbox"/> Yes <input type="checkbox"/> No*
<b>* A "No" response to any Eligibility Questions in this section or failure to submit the required documentation with your application may result in disqualification of your application.</b>		

### Administrative Questions

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

2j.	Provide the EMAIL ADDRESS of the primary contact.	Text Field
<b>3. Second Contact Information</b>		
<b>The second contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
3a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the second contact.	Text Field
3b.	Provide the FIRST NAME of the second contact.	Text Field
3c.	Provide the LAST NAME of the second contact.	Text Field
3d.	Provide the JOB TITLE of the second contact.	Text Field
3e.	Provide the PHONE NUMBER of the second contact.	Text Field
3f.	Provide the EMAIL ADDRESS of the second contact.	Text Field
<b>4. Third Contact Information</b>		
<b>The third contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
4a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the third contact.	Text Field
4b.	Provide the FIRST NAME of the third contact.	Text Field
4c.	Provide the LAST NAME of the third contact.	Text Field
4d.	Provide the JOB TITLE of the third contact.	Text Field
4e.	Provide the PHONE NUMBER of the third contact.	Text Field
4f.	Provide the EMAIL ADDRESS of the third contact.	Text Field
<b>5. Fourth Contact Information</b>		
<b>The fourth contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
5a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the fourth contact.	Text Field
5b.	Provide the FIRST NAME of the fourth contact.	Text Field
5c.	Provide the LAST NAME of the fourth contact.	Text Field
5d.	Provide the JOB TITLE of the fourth contact.	Text Field
5e.	Provide the PHONE NUMBER of the fourth contact.	Text Field
5f.	Provide the EMAIL ADDRESS of the fourth contact.	Text Field
<b>6. Fifth Contact Information</b>		
<b>The fifth contact is another authorized individual who will receive official electronic notifications from OCFS regarding this procurement.</b>		
6a.	Provide the PREFIX (Mr./Ms./Dr./etc.) of the fifth contact.	Text Field
6b.	Provide the FIRST NAME of the fifth contact.	Text Field
6c.	Provide the LAST NAME of the fifth contact.	Text Field
6d.	Provide the JOB TITLE of the fifth contact.	Text Field
6e.	Provide the PHONE NUMBER of the fifth contact.	Text Field
6f.	Provide the EMAIL ADDRESS of the fifth contact.	Text Field
<b>7. Administrative Questions</b>		
7a.	Have you completed the Vendor Responsibility Questionnaire and has it been recently certified? (If applicable. See RFP <b>Section 3.3 Vendor Responsibility Requirements.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
7b.	Is your Charities Registration current? (If applicable. See RFP <b>Section 7.5 Charities Registration.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

7c.	Do you certify under penalty of perjury that, by submission of this bid, each bidder and each person signing on behalf of any bidder, and in the case of a joint bid each party thereto as to its own organization, has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees, and that such policy does, at a minimum, meet the requirements of section two hundred one-g of the labor law? Please note that a bid will not be considered for award nor will any award be made to a bidder who is not able to make this certification in compliance with State Finance Law section 139-l; provided, however, that if the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therein. (See RFP <b>Section 7.16 State Finance Law §139-l; Statement on Sexual Harassment in Bids.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7d.	Do you certify that, by submission of this application, your organization is not a Russian or Russia supporting entity, as those terms are defined in Executive Order No. 14 dated February 27, 2022?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7e.	Do you certify that, by submission of this application, your organization is not conducting business operations in Russia, as those terms are defined in Executive Order No. 16 dated March 17, 2022?	<input type="checkbox"/> Yes <input type="checkbox"/> No
7f.	Do you understand that OCFS recommends submitting your proposal well in advance of the <b>Deadline for Submission of Proposals</b> ? Waiting until the last day to submit your application is NOT RECOMMENDED. (See RFP <b>Section 1.2 Calendar of Events</b> and <b>Section 5.5 Proposal Submittal Process.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7g.	Do you understand that a “No” response to any <b>Eligibility Questions</b> MAY RESULT IN THE DISQUALIFICATION OF YOUR APPLICATION? Please review your responses to these questions carefully. (See RFP <b>Section 3.1 Minimum Qualifications</b> and <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7h.	Do you understand that failure to upload and submit the required documentation outlined in RFP <b>Section 3.1 Minimum Qualifications</b> with your online application OR failure to meet the following documentation requirements of LDSS Attestation Form(s) and Letter(s) of Commitment WILL RESULT IN THE DISQUALIFICATION OF YOUR APPLICATION? (See RFP <b>Section 3.1 Minimum Qualifications</b> and <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No

7i.	Do you understand that specific grantee user roles are needed in order to submit proposals in the Grants Gateway? OCFS recommends contacting the Grants Gateway Help Desk for assistance with grantee user credentials when starting an application. (See RFP <b>Section 5.5 Proposal Submittal Process.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7j.	Do you understand that all questions in the Grants Gateway will only allow ONE document to be uploaded per question? Multiple documents should be combined into ONE SINGLE FILE no larger than 10MB in size. If this is not possible, it is permissible to submit additional uploads to the “ <b>Grantee Document Folder</b> ”. Please ensure all uploads are clearly identified and labeled (in both the document filename <u>and</u> on the document itself) with the applicable question number.	<input type="checkbox"/> Yes <input type="checkbox"/> No
7k.	Do you understand that you MUST NOT UPLOAD PASSWORD PROTECTED OR SECURED DOCUMENTS? ENSURE ALL PASSWORDS ARE REMOVED BEFORE UPLOADING IN THE GRANTS GATEWAY. If an uploaded document cannot be viewed, and it is for a minimum qualification, THE PROPOSAL WILL BE DISQUALIFIED. If other uploaded documents cannot be viewed, THE PROPOSAL MAY LOSE POINTS during the scoring process. (See RFP <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7l.	Have you DOUBLE CHECKED all documents uploaded to your proposal? Uploads may be located in the “ <b>Program Specific Questions</b> ”, “ <b>Pre-Submission Uploads</b> ”, and “ <b>Grantee Document Folder</b> ” sections of your online application. APPLICANTS ARE RESPONSIBLE FOR VERIFYING ALL UPLOADED DOCUMENTS are complete, correct, viewable, and comply with the requirements of the RFP. OCFS recommends performing this verification before submitting your application. Your verification may include, but is not limited to: signatures, dates, required fields, confirming all pages are included, text is legible, scanner artifacts, necessary information, etc. If an uploaded document does not meet the requirements of the RFP, and it is for a minimum qualification, THE PROPOSAL WILL BE DISQUALIFIED. For other uploaded documents with missing information, THE PROPOSAL MAY LOSE POINTS during the scoring process. (See RFP <b>Section 5.4 Proposal Content.</b> )	<input type="checkbox"/> Yes <input type="checkbox"/> No
7m.	Provide your organization’s Unique Entity Identifier (UEI) created in SAM.gov by entities doing business with the federal government (if applicable).	Text Field
7n.	Do you understand that each applicant may submit only one proposal in response to this RFP? Note: For CBCAP funded awards, one proposal may propose to	<input type="checkbox"/> Yes <input type="checkbox"/> No

	serve multiple counties. If an applicant submits more than one proposal, only the first proposal received will be scored. Any subsequent proposals received from the same applicant will be disqualified.	
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**Work Plan Questions (Up to 80 points)**

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

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

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

No.	Question	Max. Points
<b>A. Community (up to 10 points)</b>		
A1.	Describe the planning activities that were conducted that contributed to the development of the proposal, including how the community was involved in planning for the proposed project, including the population to be served and other stakeholders.	4
A2.	Discuss trends that support the demand for the proposed project services, identify demographic data (including data on the community’s racial and ethnic composition), and social and economic changes that may be of significance to the community to receive project services.	2
A3.	Explain how the proposed project relates to the overall needs of the community including information on similar services available within the community and identify resources that were reviewed or consulted to develop your proposal, e.g., county plans, goals and/or statewide needs assessment(s).	2
A4.	Identify community agency partners that will assist with the project and community readiness to receive project services, including schools, domestic violence support services, and substance abuse treatment service providers.	2
A5.	Where school districts are within the area to be served, the applicant must explain how they will employ a community schools strategy and identify how services will be aligned to minimize redundancy and promote mutual support.	Not Scored

<b>B. Population(s) to be served (up to 10 points)</b>		
B1.	Describe the population to be served, including their strengths, challenges, and the need for services that the project seeks to address.	2
B2.	Describe how the project will conduct outreach to participants. The population to be served represents the individuals and/or families who will be the ultimate recipients of the proposed services, and those for whom you want to affect change in behavior.	2
B3.	Discuss the number of persons to be served, including the number of students as well as family members. This number should be clear, justifiable, and supported by community demographics and resources.	2
B4.	Describe where services will be strategically located to promote participant access in high need areas. As needed, describe how services will be co-located, and/or provided in satellite locations, during times that meet the needs of the population. Where partnerships include a community school, describe how partners are collaborating to ensure effective and efficient access to programs and services.	2
B5.	Describe the high-risk populations that will be served.	2
<b>C. Objectives, Tasks, and Performance Measures (up to 10 points)</b>		
C1.	Describe how objectives address significant identified needs of the population(s) to be served.	4
C2.	Identify the actions to be taken that will significantly contribute to the achievement of the desired objectives.	2
C3.	Clearly define objectives, tasks involved, and how objectives are measurable and achievable with the resources available to the project. Identify appropriate and realistic methods to verify task attainment.	2
C4.	Upload <b>Attachment 3</b> including the required performance measures and any additional outcomes for curricula or model specific indicators.	2
<b>D. Proposed Project Description (up to 30 points)</b>		
D1.	Discuss how the proposed project will address the current status of the population to be served.	2
D2.	Describe physical location of service delivery, why this location was chosen, and how it meets the needs of the population to be served. FOCs collocated within a school and/or that demonstrate a strong partnership with their local school district and/or school-based mental health clinic or school-based health center <b>should</b> submitting any/all formal memorandum(s) of agreement, if available.	10
D3.	Discuss which specific services, core and optional components, and other essential elements will be funded by the proposed project and how applicant will address the outcomes listed in <b>Section 4.1</b> . Describe evidence-based services including the California Evidence-Based Clearinghouse or Title IV-E Prevention Services	5



	Clearinghouse model/curriculum to be used to obtain intended results.	
D4.	Describe plans for outreach, collaboration, and coordination in and with the community. Plans should provide strategies likely to engage and retain the population to be served.	3
D5.	Discuss how the project will interface with other in-house services and services available in the community, including through community schools where applicable. Submit any/all formal memorandums of agreement with community partners if available. Include an explanation on how the project will work with specific partners.	2
D6.	Describe the role the population to be served had in the project design, why this approach is an effective way to achieve the expected objectives, and how the project will seek ongoing input from the population to be served. Describe plans for developing parent leadership opportunities within the project and within the larger community.	2
D7.	Discuss cultural and linguistic considerations for the delivery of services to the population to be served and how the project will encourage successful objectives for the population to be served.	2
D8.	Discuss how the applicant will obtain ongoing input regarding customer satisfaction with project services from the community.	2
D9.	Describe the implementation plan and how minimal start-up time will be achieved.	2
<b>E. Project Staff (up to 10 points)</b>		
E1.	Describe the title and role of staff that are currently working for the applicant or will be hired by the project, required staff qualifications, how staff orientation and training will be provided and how supervision of staff will be provided. Identify by title and number all staff to be assigned to this project. State whether they will be paid with requested project funds or other funding sources and briefly indicate their responsibilities. If proposed to be funded by grant funds provided by this RFP, they must be included in the budget proposal. If paid out of local share funds, include the cost in the local share column as applicable.	3
E2.	Identify the staff titles that are currently or will become credentialed parenting educators, and describe how reflective supervision will be provided to project staff. Please see NYSPEP website: <a href="https://nyspep.org/">https://nyspep.org/</a> .	3
E3.	Describe how the staffing pattern for the proposed project is representative of the community, cultures and languages of persons identified to receive services. Cultural awareness and responsiveness will be considered critical factors. Discuss what activities will be conducted to instill staff diversity and cultural responsiveness in project services. Describe how applicant will promote staff wellness.	4

<b>F. Organization (up to 10 points)</b>		
F1.	Describe the history of your organization, experience working within this subject area and with the population to be served, and provide evidence that the organization has the capacity and any required licenses or certifications to successfully manage the project. Include activities the organization has initiated to accommodate cultural and linguistic needs of the community, including readiness to implement the project and the hiring and maintenance of staff. Describe past accomplishments, special characteristics, and resources of your organization that are predictive of your success in achieving the stated performance objectives.	4
F2.	Describe how the leadership of your agency supports this proposal. Identify the key people in the organization who will be primarily responsible for delivering the project and reaching the performance objectives. Please describe their capacity including knowledge, skills, expertise, professional credentials, commitment, and include resumes for existing staff.	3
F3.	Provide an organizational chart in the “Pre-submission Uploads” section of your grant application that shows how this project fits into the applicant’s full organizational structure.	2
F4.	Describe the applicant’s ability to sustain the project at the end of contract once funding has ended.	1

### **Budget Questions (Up to 20 points)**

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

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

Ensure that:

- The cost of items is described in the budget narrative and for every line item of expense, the specific calculations for determining the total cost of each item are included in the narrative.
- All items covered by OCFS or NYSED funds will be directly related to the provision of services indicated in the proposal, will be realistic, reasonable, necessary, allowable, and justified based on the project plan.
- Budget focuses on direct services rather than administrative expenses.
- A minimum of 25%, and a maximum of 50%, of the requested grant amount is set aside to meet families’ concrete needs and overcome mental health, and/or substance use disorder service barriers.
- Administrative expenses do not exceed the federal 10% deminimis or the organization’s approved Federal Indirect Cost Rate Agreement, for all

applicants answering Eligibility Question 1a with “Yes” for OCFS funding. For applicants NOT seeking OCFS Funds who answer “No” to Eligibility Question 1a – Administrative expenses do not exceed the State Funded Award 15% limit on administrative costs.

- If a local share of funding and/or in-kind (unpaid) services is proposed to support the project include these funds or services in the proposed budget in the local share column.
- All expenses will be incurred within the contract period.
- All shared costs will be prorated.
- Reimbursement for travel, lodging and mileage costs do not exceed the State rates currently in effect.
- All amounts listed on the budget summary form reconcile with the relevant budget narrative information.
- The total Grant Funds requested agrees with the total amount requested in the Grants Fund Column of the **Attachment 4**, Budget Template.

**Please note: your proposed budget should reflect expenses for an annual (one year) period for up to the maximum dollar amount for each county or school district proposed to be served as listed in the FOC funding chart in Section 2.3, Purpose and Funding Availability of this RFP. Awards made to School District applicants will not exceed ~~cannot receive more than~~ \$200,000 per year regardless of funding source ~~of NYSED funding~~.**

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

No.	Question	Max. Points
<b>G. Budget Section (Up to 20 points)</b>		
G1.	Demonstrate a clear relationship between funds requested, the program activities, and performance targets/outcomes.	5
G2.	Explain how funds requested are within RFP guidelines, are sufficient to comply with RFP requirements, and includes sufficient funds to operate the program effectively.	5
G3.	Identify how expenses are realistic, reasonable, necessary, allowable and justified based on an annual program plan.	5
G4.	Describe how the budget focuses on program expenses and direct services rather than administrative costs.	5
G5.	If being requested, clearly identify the amount of funds being proposed for indirect costs and provide a description of the expenses. Upload a copy of your approved Federal Indirect Cost Rate Agreement in response to this question, if applicable. If your organization does not have an approved Federal Indirect	Not Scored

	Cost Rate Agreement your indirect cost request cannot exceed a de minimis rate of 10% of modified total direct costs (MTDC) as explained in Section 5.2.5.f.A.	
G6.	Did you upload the budget into the Grants Gateway in accordance with the requirements of RFP <b>Section 5.2 Proposed Budget</b> ? The budget template can be found in the “ <b>Pre-Submission Uploads</b> ” section of the RFP in the Grants Gateway System. The completed operating budget is uploaded as an attachment in the “ <b>Pre-Submission Uploads</b> ” section of your application.	<input type="checkbox"/> Yes <input type="checkbox"/> No
G7.	Is your proposed budget for a <b>one-year</b> period consisting of <b>the first year of March 1, 2023 to February 29, 2024</b> of your proposed project? Additionally, do you understand that new FOC projects may apply for up to the <b>maximum award amount indicated for each county <del>or school district</del> proposed to be served as listed in the FOC chart and discussion in Section 2.3 of this RFP? School District applicants will not <del>cannot</del> receive more than \$200,000 per year <del>of NYSED</del> regardless of funding source.</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
G8.	Please indicate the total one-year budget amount being requested for each county or school district proposed to be served by this proposal. Include both the name of the county(ies) or school district proposed to be served and the amount requested for each county or school district. Enter the nearest whole number for amounts requested.	Text Field

## 5.5 Proposal Submittal Process

### How to Submit a Proposal

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

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

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

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

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

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

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

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

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

### **Helpful Links**

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

- NYS Grants Gateway: <https://grantsgateway.ny.gov>
- Grants Management Website: <https://grantsmanagement.ny.gov/>
- Grants Management Videos (includes a document vault tutorial and a grant application tutorial) are available on YouTube:  
<https://grantsmanagement.ny.gov/videos-grant-applicants>
- **Grants Gateway Help Desk: 518-474-5595**
- **Grants Gateway Email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov)**

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

## 6.0 MINIMUM CRITERIA/EVALUATION PROCESS

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

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

### 6.2 Evaluation Process **AMENDED 8/18/2022**

Multiple awards will be made. Recommendations will be based on the highest scoring applications and the counties proposed to be served.

Only one application may be submitted by each applicant. For CBCAP funding, if the applicant proposes to serve more than one county the applicant must include in its proposal the names of all counties to be served and the funding being requested for each county, not to exceed the amounts listed in Section 2.3 Purpose & Funding Availability. If an applicant submits more than one proposal, only the first proposal received will be scored. Any subsequent proposals received from the same applicant will be disqualified.

Applications will be reviewed and scored by trained reviewers using a structured, pre-approved review instrument. The final score will be based on the average reviewer scores. Applications that receive an average score of seventy (70) points or more will be considered for funding. Awards will be made beginning with the highest score. Any proposal that achieved a minimum passing score of seventy (70) or more but is not selected to receive an award through this RFP will be designated as “approved but not funded” (ANF). Should additional funding become available to support additional projects, awards will be made to fund these ANF proposals in accordance with the purpose and funding availability described in section 2.3 and Attachment 9 of the RFP.

School districts eligible for funding through the NYSED allocation to serve middle or junior high school students and their families will first be awarded in score order from highest score to lowest out of the NYSED funds until they are exhausted. School district applicants are also eligible to receive OCFS CBCAP funding to support community-based efforts to develop, operate, expand, enhance, and coordinate services to prevent child abuse and neglect, and will be awarded in score order. **School districts may receive NYSED funding or OCFS CBCAP funding, but not both. When making awards, OCFS will determine the funding source based upon the eligibility of the applicant, location of the project, population proposed to be served, and availability of funding.**

Awards for CBCAP eligible applicants will continue to be made out of CBCAP funds in order of score (from highest to lowest) until all funding is exhausted.

In the event of a tie between two or more proposals, the applicant who scores

higher in Proposed Project Description Section 4b will be awarded. If the proposals remain tied, the applicant who scores higher in Project Staff Section 5a will be awarded.

**Applications that propose to serve more than one county will be considered in their entirety and if awarded a grant, will be funded for the entire proposal up to the cumulative maximum award amounts per county. If another proposal with a higher score is funded to serve a county included in a lower scoring multi-county proposal, the final award amount of the lower scoring multi-county proposal will be decreased to remove the award amount for the duplicative county.**

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

### **6.3 Bonus Points**

Not Applicable.

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

#### **A. Applicability**

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

#### **B. Definitions**

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

7. "Formal protest determination" shall mean the determination of a formal protest by OCFS' deputy commissioner for administration of OCFS or his or her designee.
8. "Decision after appeal" shall mean the decision on the appeal of a formal protest by OCFS' commissioner or his or her designee.

### C. Debriefing Request

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

1. OCFS will provide notice in writing or electronically to all unsuccessful offerers that the offerer will not receive a funded award under the RFP. An unsuccessful offerer wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receiving the notice from OCFS that the offerer's proposal did not result in an award.
2. When OCFS receives of a timely written request from the unsuccessful offerer, will schedule the debriefing to occur within a reasonable period of time. Debriefings will be conducted in-person, unless OCFS and the offerer mutually agree to utilize other means, including, but not limited to, telephone, video-conferencing or other types of electronic communications.
3. Such debriefing will include: (a) the reasons that the proposal, bid or offer submitted by the unsuccessful offerer was not selected for an award; (b) the qualitative and quantitative analysis employed by OCFS in assessing the relative merits of the proposals, bids or offers; (c) the application of the selection criteria to the unsuccessful offerer's proposal; and (d) when the debriefing is held after the final award, the reasons for the selection of the winning proposal, bid or offer. The debriefing will also provide, to the extent practicable, general advice and guidance to the unsuccessful offerer concerning potential ways for their future proposals, bids or offers to be more responsive.

### D. Formal Protest and Appeal Procedure

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

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

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

In addition, formal protests concerning a pending contract award **must** be in writing and received by OCFS within 10 business days from notice



of award/non-award or, if a debriefing was requested by the interested party, within five business days from the date the debriefing was held (whichever is later).

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

## 2. Review and Formal Protest Determination

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

### 3. Appeal of Formal Protest Determination

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

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

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

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

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

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

### **7.0 MANDATORY CONTRACTING REQUIREMENTS**

#### **7.1 Contract Readiness**

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

#### **7.2 Standard Contract Language**

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

complete contract for development and signature before submitting it to the OAG and to OSC for approval.

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

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

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

#### **1. Proof of Workers' Compensation Coverage**

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

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

#### **2. Proof of Disability Benefits Coverage**

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

- **Form DB-120.1<sup>3</sup>** - *Certificate of Disability Benefits Insurance*; or
- **Form DB-120.2** – *Certificate of Participation in Disability Benefits Group Insurance*; or
- **Form DB-155<sup>7</sup>** - *Certificate of Disability Benefits Self-Insurance*; or

- **CE-200<sup>6</sup>** - *Certificate of Attestation of Exemption* from New York State Workers' Compensation and/or Disability Benefits Coverage.

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

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

**7.4.1 Confidentiality** - New York State law requires that any client identifiable information be kept confidential. Any awardee, or contractor, employee or volunteer of the awardee, who will be provided with confidential information of recipients served by the awardee must complete and sign form OCFS-4715, [Confidentiality Non-Disclosure Agreement](#). This form must be completed before the start date of the contract and before any such awardee, contractor, employee or volunteer is permitted access to youth served by an awardee or to any financial or client identifiable information concerning such youth. For additional information see Attachment A-1, **Section 7 Confidentiality and Protection of Human Subjects**, located at the link to a standard contract listed in section 7.2 above.

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

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

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

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

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

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

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

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

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

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

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

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

## **7.8 Iran Divestment Act**

By submitting a bid in response to this solicitation or by assuming the responsibility of a contract awarded hereunder, bidder/contractor (or any assignee) certifies that it is not on the "Prohibited Entities List," as defined by the

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

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

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

## **7.9 Statewide Financial System**

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

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

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

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

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

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

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

For purposes of this solicitation, OCFS strongly encourages MWBE participation. A contractor (“Contractor”) on any contract resulting from this procurement (“Contract”) should make a good faith effort to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. The respondent agrees that OCFS may withhold payment pursuant to any Contract awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>.

### **7.10.3 Contract Compliance**

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

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

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

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

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

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



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

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

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

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

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

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

By submitting a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the work), except where the work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff,

termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the contract; or (ii) employment outside New York State.

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

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

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

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

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

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

[The Service-Disabled Veteran-Owned Business Act](#), signed into law by Governor Andrew M. Cuomo on May 12, 2014, allows eligible veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB) in order to increase the participation of such businesses in New York State's contracting opportunities. The SDVOB Act, which is codified under Article 17-B of the Executive Law, acknowledges that SDVOBs strongly contribute to the economies of the state and the nation. Therefore, and consistent with its Master Goal Plan, OCFS strongly encourages vendors who contract with OCFS to consider the utilization of certified SDVOBs, including utilizing certified SDVOBs as subcontractors, suppliers, protégés, or in other supporting roles to the maximum extent practical. Certified SDVOBs may be readily identified through the directory of certified businesses at: [List of Certified](#)

## 7.12 **Omnibus Procurement Act**

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

1. The contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors on this project and has retained the documentation of these efforts to be provided upon request to the State of New York; and has
2. documented their efforts to encourage the participation of New York state business enterprises as suppliers and subcontractors by showing that they have done the following:
  - Solicited bids, in a timely and adequate manner, from ESD business enterprises, including certified minority/women-owned businesses; or
  - Contacted ESD to obtain listings of New York State business enterprises and MWBE; or
  - Placed notices for subcontractors and suppliers in newspapers, journals or other trade publications distributed in New York State; or
  - Participated in bidder outreach conferences; and
  - Provided a statement indicating the method by which they determined that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, *if the contractor has determined such*; and
  - Provided a statement verifying no intention of using subcontractors if *the contractor has no such intention*.
3. The contractor has complied with the federal Equal Opportunity Act of 1972 (P.L. 92-961), as amended.
4. The contractor will be required to notify New York State residents of employment opportunities by listing any such positions with the Community Services Division of the New York State Department of Labor, providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The agency agrees to document these efforts and to provide said documentation to OCFS upon request.
5. Bidders located in a foreign country are notified that the state may assign or otherwise transfer offset credits to third parties located in New York State, and the bidders shall be obligated to cooperate with the state in any and all respects in making such assignment or transfer, including, but not limited to, executing any and all documents deemed by the state to be necessary or desirable to effectuate such assignment or transfer and using their best efforts to obtain the recognition and accession to such assignment or transfer by any applicable foreign government.

6. Bidders are hereby notified that state agencies and authorities are prohibited from entering into contracts with businesses whose principal place of business is located in a “discriminatory jurisdiction.” Discriminatory jurisdiction is defined as a state or political subdivision which employs a preference or price distorting mechanism to the detriment of or otherwise discriminates against a New York State business enterprise in the procurement of commodities and services by the same or a nongovernmental entity influenced by the same. A list of discriminatory jurisdictions is maintained by Commissioner of the New York State Empire State Development Corporation.

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

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

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

Executive Orders 14 and 16 include the following definitions:

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

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

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

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

In accordance with the requirements of Executive Order No. 175, contractor will be expected to adhere to net neutrality principles in the provision of internet

services under any contract entered into as a result of this RFP, regardless of delivery method unless the director of contracts, or his/her designee as noted in **Section 1.1 Procurement Contract**, determines that adherence to net neutrality principles for a particular purpose is not in the best interests of the state. Nothing in this provision supersedes any obligation or authorization a provider of broadband Internet access service may have to address the needs of emergency communications or law enforcement, public safety, or national security authorities, consistent with or as permitted by applicable law, or limits the provider's ability to do so. As used herein, "net neutrality" means that contractor will not block, throttle, or prioritize internet content or applications or require that end users pay different or higher rates to access specific types of content or application. For the purposes of this contract, the prohibition against blocking or throttling of internet content or applications does not apply to reasonable network management practices.

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

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

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

New York State Finance Law §139-I, effective January 1, 2019, requires, in relevant part, that "[e]very bid . . . made to the state or any public department or agency thereof, where competitive bidding is required by statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, shall contain [a] statement subscribed by the bidder and affirmed by such bidder as true under the penalty of perjury. . . [that] '[b]y submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.'" The contractor must provide the foregoing certification before any award being made by OCFS. For additional guidance on drafting an appropriate sexual harassment policy and developing appropriate training please refer to State Finance Law §139-I and <https://www.ny.gov/combating-sexual-harassment-workplace/employers#top>

#### **7.17 Other Requirements**

OCFS has implemented the Standards of Quality for Family Strengthening and support for primary and secondary prevention programs funded by the NYS Children and Family Trust Fund. Critical program staff will be required to attend training and

complete an annual Program Self-Assessment. When appropriate, a plan will be developed to improve quality of services families. Additional information regarding the Standards of Quality is available at: <https://www.nationalfamilysupportnetwork.org/standards-of-quality>. Program staff will be required to attend programmatic meetings three to four times per year in Rensselaer and regionally and should allow for this in their budget. Programs are required to have ongoing staff development to improve staff skills in providing services to families and children, and keep current with local trends in child care/welfare, including recognizing possible signs of child maltreatment. Programs will also have a policy and procedure for the reporting of suspected cases of child maltreatment. Programs must use evidence based or evidence informed curricula and must hold the required certifications to administer these curricula. Programs that use assessment tools or screens, such as the Ages and Stages Questionnaire or Patient Health Questionnaire-9, are required to have all staff trained on the use of the assessment tools or screens prior to first administration. Programs will be required to enter timely information into the Prevention Programs data management system. Programs will be required to provide plans and activities that demonstrate programs work towards self-sufficiency.

## 8.0 CONTRACT DOCUMENTS

The contract documents consist of the documents listed below.

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

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

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

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

- A. [OCFS-2633, MacBride Fair Employment Principles Certification Form](#)
- B. [OCFS-2634, Non-Collusive Bidding Certification](#) (Required by section 139d of the State Finance Law)
- C. [Attachment A-2, Federal Assurances and Certifications](#) (If applicable.)

D. For complete proposal and contract requirements for the Minority-and-Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO) requirements, refer to the [Attachment MWBE](#) that is referenced in section 7.10. The following are forms to be completed and submitted with your Administrative Proposal:

- [OCFS-4629, Project Staffing Plan Form](#)
- [OCFS-3460, Minority and Women-Owned Business Enterprises \(MWBE\) Equal Employment Opportunity \(EEO\) Policy Statement](#)
- [OCFS-4631, MWBE Utilization Plan Form](#)

E. [OCFS-2647, EO 177 Certification](#) (See section 7.15 for more information)

F. [OCFS-4821, CMS User Authorization](#) (Required for the OCFS contract Management System)

## 9.0 GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

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

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

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

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

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

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

**Outcomes:** The desired benefits or changes for the target population following their interaction with a program. These are the expected results of program intervention. Outcomes may relate to knowledge, skills, attitudes, behaviors or conditions. Either

the investor or provider may set them. (They are broader, and more general than performance targets. They do not require numerical projection). In some instances, the outcome may be a system change rather than an individual behavior change.

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

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

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

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

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

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

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

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

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

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



## 10.0 PROGRAM-SPECIFIC REQUIREMENTS AND FORMS

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

**Attachment 1 – LDSS Attestation Form\***

**Attachment 2 – LSD & Community Partners Affirmation of Support\***

**Attachment 3 – Performance Measures\***

**Attachment 4 – Budget Template\***

Attachment 5 – Workplan Template (reference document)

Attachment 6 – Approved Title IV-E Prevention Services Clearinghouse & CBEC

Attachment 7 – Protective Factor Instrument – Form A

Attachment 8 – Protective Factor Instrument – Form B

Attachment 9 – Economically Disadvantaged School Districts

Attachment 10 – Federal Grant Award

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