



## Office of Children and Family Services

ANDREW M. CUOMO  
Governor

SHEILA J. POOLE  
Acting Commissioner



# Commission on National and Community Service

## ***Request for Proposals New York State Empire Corps***

### ***2016-2017 New York State AmeriCorps (Formula Pool) New Funding – (New York State Empire Corps) And 2016-2017 Continuation Requests***

#### **Grant Procurements**

***June 6, 2016***

#### **Proposal Submission:**

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

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

#### **Note:**

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

#### **Timetable of Key Events:**

##### **Event:**

Proposals Due  
Technical Assistance Call  
Submittal of Question Deadline  
Posted Date of Answers  
Awards Announced (Tentative)  
Contract Start Date (Projected)

##### **Date:**

06/06/16 (5:00 pm EDT)  
05/18/16 (1:00 pm EDT)  
05/20/16  
05/24/16  
Summer 2016  
10/01/16

**Inquiries:**

From the issuance of this Request For Proposal (RFP) until contractors are selected, all contacts with the State Office of National & Community Service personnel, except as otherwise specified herein, concerning this RFP must be made via email at [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line "2016-2017 AmeriCorps Formula RFP" inquiry in the subject line, or land mail may be addressed to: New York State Office of National & Community Service, 52 Washington Street, North Building - Suite #338 Rensselaer, New York 12144-2796, Attn: Stefanie Perez

To request a paper copy of this Application and worksheets, please call 518-473-8882 or mail your request to [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line "2016-2017 AmeriCorps Formula RFP" or mail your request to: New York State Office of National & Community Service, 52 Washington Street, North Building - Suite #338 Rensselaer, New York 12144-2796, Attn: Stefanie Perez. All inquiries must be submitted in writing, and will be answered in writing.

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**FOREWORD – PLEASE READ THOROUGHLY**

## BEFORE BEGINNING YOUR APPLICATION

**Please note: The Commission has changed its application and review procedures. Even if you have applied to New York State for AmeriCorps funding previously, it is important that you understand the procedures explained here.**

The New York State Commission on National and Community Service (hereafter “the Commission”) is a Governor-appointed Commission. It is a diverse, non-partisan body of, among others, representatives of business, labor, education, government, human service agencies and community-based organizations. The Commission directs national service policy for the state and directly administers funding awarded by the Corporation for National & Community Service (hereafter “the Corporation”) to support New York State AmeriCorps and Volunteer Generation programs.

The Commission, while independent, is hosted by the New York State Office of Children and Family Services (hereafter “OCFS”) for ease of administration. OCFS provides valuable and critical support to the Commission and is the designated state agency for purposes of issuing Commission Requests for Proposals and administering grant contracts. Therefore, you will see instances within this Request for Proposal (hereafter “RFP”) of documents, forms and other information requested by OCFS. You must submit all documents and forms requested by OCFS and, if awarded a grant, you must agree to comply with all OCFS contract and reporting procedures. However, all decisions made to either approve or not approve a proposal for funding, or any other actions by New York State with regard to proposals submitted in response to this RFP, are within the discretion of the Commission.

### THIS PROPOSAL IS FOR FORMULA FUNDING ONLY

This RFP is for a pool of AmeriCorps national service funding (hereafter the “formula pool”) that is determined by a formula based on each State’s population. The RFP (hereafter the “Formula RFP”) is designed to identify a proposal or proposals that the Commission believes is most consistent with the overall strategic goals and priorities of the State and the Commission. The actions taken by the Commission must be approved by the Corporation before grants can be awarded. The proposals considered by the Commission will identify a single or multiple organization(s) or agency(ies) to establish and administer an AmeriCorps program or programs.

In October, 2015, the Commission issued its “*2016-2017 New York State AmeriCorps Request for Proposals (Competitive Pool) Cost Reimbursement, Education Award, & Fixed-Amount Grant Procurement*” (hereafter the “Competitive RFP”). If you filed an application in response to the Competitive RFP, for new, recompeting or continuation AmeriCorps funding, please consult the chart below, which will explain what actions you must take, and what additional options may be available to you, to be considered for AmeriCorps formula funding through this RFP.<sup>1</sup>

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<sup>1</sup> As explained in further detail in the Competitive RFP, the Commission’s role in determining AmeriCorps grantees in the competitive pool of funding is limited to recommendations to the Corporation. The Commission has completed that process, and awaits the announcement of awards from the Corporation. The Commission’s competitive process, save for administrative and contracting work following the announcement of the awards, is complete. This Formula RFP is a separate, independent process, which will not reference the reviews, scores or rankings of applications in response to the Competitive RFP.

<b>Applicant Type</b>	<b>Action Taken in Response to Competitive AmeriCorps RFP Issued October 2015 <sup>2</sup></b>	<b>Action Allowed/Required in Response to this Formula AmeriCorps RFP</b>
<b>New Applicants</b> (Do Not currently Have an AmeriCorps contract with NYS)	Applied for Competitive Funds OR Did Not Apply for Competitive Funds	<b>MUST</b> apply for Formula funding as a new program
<b>Existing Formula Programs</b> Completing First or Second Year of a Three-Year grant cycle (Continuation)	<b>N/A</b> to these Formula Programs <b>UNLESS</b> an application was submitted for a different program design	<b>MUST</b> submit a Continuation Request; <b>CAN</b> also submit an application for new funds with a different program design
<b>Existing Competitive Programs</b> Completing First or Second Year of a Three-Year Grant Cycle (Continuations)	Submitted a Competitive Continuation Request	<b>SHOULD NOT</b> submit a continuation request for formula funds; <b>CAN</b> submit an application for new funds with a different program design
<b>Applicants Currently Operating the Third Year of an AmeriCorps Contract with NYS</b> Applying for a New Three-Year Cycle of AmeriCorps funding (Recompeting)	Applied for Competitive Funds	<b>MUST</b> apply for Formula Funding as a New Program

If you are currently operating an AmeriCorps formula program in its first or second year of operation, please see the instructions for **Continuation requests at Section 2.3 (Selection Criteria CONTINUATION REQUESTS ONLY)** Throughout the body of this RFP, the use of the terms “continuation request(s),” or “continuation funds” or “funding”, will only refer to applications to continue a current New York State formula program into its second or third year of operation. Please do not submit a continuation application or request that is not consistent with your program’s current design and operation.

You should only respond to this RFP if you are proposing a new AmeriCorps program, a proposal for an additional three years of funding for a current AmeriCorps program OR if you are submitting a formula continuation request.

This RFP will be reviewed by the Commission with two overall goals as guideposts:

- That the agency or agencies selected by the Commission to establish and administer new AmeriCorps program(s) will run high-quality AmeriCorps programs which will add value to New York State citizens and are consistent with the goals of the Commission’s Statewide Service Plan for 2015-2017 (see [www.newyorkersvolunteer.ny.gov](http://www.newyorkersvolunteer.ny.gov)) and with the Empire State Poverty Reduction Initiative.
- That the agency or agencies selected by the Commission are the best candidate(s) to establish and administer these programs, and to adhere to all applicable AmeriCorps and New York State statutes, rules, regulations and policies.

<sup>2</sup> The Commission does not anticipate that the Corporation for National and Community Service will have made final decisions with regard to applicants for national competitive funding before this RFP is issued. Applicants who are selected by the Corporation to receive grants awards through the competitive pool will not be considered by the Commission for funding through the formula pool and will be removed from the rankings **UNLESS** the formula request is for a different program design than that submitted for competitive review.

Please design your proposed programming and write your proposal with these twin goals in mind.

To assist you, we have attached as appendices the Notice of Funding Opportunity (NOFO) issued by the Corporation and the Corporation's application instructions for 2016-2017. The material we have included contains definitions and other material that applies to all AmeriCorps programs, including formula grants. **Your proposal must respond to this New York State RFP**, and must meet all the minimum requirements, deadlines and criteria called for in this RFP.

The Commission will use the following procedures to select the agency or agencies that will be awarded new AmeriCorps formula grant(s):

1. **All applicants must prequalify within the New York State Grants Gateway System** (hereafter "GGG") to submit a proposal for consideration. The RFP further explains how to prequalify within the GGS and who to contact for help regarding the GGS. (See Section 2.2).
2. **New, recompeting and continuation applicants must submit their proposals** electronically via the Corporation for National and Community Service (CNCS) web-based system, eGrants. It is recommended that applicants create an eGrants account and begin the application creation process as soon as possible before the deadline. Applicants should draft the application as a word document and copy and paste the document into the appropriate eGrants fields no later than 10 days before the deadline. Please note the length of a document in word processing software may be different than what will print out in eGrants. Following the deadline for submissions, Commission staff will review each proposal to determine if it meets the minimum criteria for consideration (See Section 2.3).
3. If a proposal meets the minimum criteria, it will be reviewed and scored by at least two readers selected by the Commission. These readers will review the proposal as a team and will be asked to agree on a consensus score sheet that will be used to rank proposals. The score sheet will align with the outline and points values specified in this RFP. If, and only if, the readers cannot come to consensus, an additional reader may be asked to review the proposal and to work with the original readers to submit a consensus score sheet.
4. The role of the Commission staff is to facilitate the best possible review by the readers, through technical assistance, training and support. Commission staff will be available to the readers for such support throughout the reading period.
5. At the conclusion of the reading period, the reviewers will submit their consensus score sheets for each proposal to the Commission and the proposals will be ranked according to score from highest to lowest.
6. The Commission will then evaluate and act upon which proposals to recommend to the Corporation for funding. The Commission will determine, within its discretion, the number of proposals it will fund, the amount of funding awarded, and any technical or other minor changes it determines are necessary before funding can be awarded.
7. After the Commission makes its decisions and they are approved by the Corporation, the Commission staff will notify applicants of the results.
8. If your proposal is selected for funding, you may be asked to work with Commission staff to make technical and other minor changes in your proposal so that your proposal adheres to all applicable laws, rules and regulations, including AmeriCorps statutes and regulations, and to clarify any areas that are vague, nonresponsive, or confusing. No changes made during this period will affect the funding decisions as previously determined by the Commission. You will also be asked to enter any changes in your proposal into the Corporation's eGrants online system by a date specified by the Commission. When you are crafting your proposal, please keep in mind the eGrants character and

page limits (see Section 1.12) to prevent the need to excise large portions of your proposal in eGrants.

9. The decisions of the Commission are not binding on the Corporation. If the Corporation rejects an application submitted by a State Commission the Corporation will promptly notify the State Commission of the reasons for the rejection of the application and provide the Commission with a reasonable opportunity to revise and resubmit the application for reconsideration.
10. The Corporation is expected to announce final approval of AmeriCorps formula programs between June and August 2016. However, that timeframe is solely within the discretion of the Corporation and is subject to change.
11. If your proposal is selected for funding by the Commission and approved by the Corporation, you will need to contract with the Commission and with OCFS before programming can begin and before you can receive any funds. The Commission and its host agency, OCFS, will be the administrators of any grant you are awarded through this RFP.
12. If your proposal is not selected by the Commission for funding, you may request feedback from the Commission, according to a process determined by the Commission. You will be notified, at a point subsequent to the announcement of final awards by the Corporation, on how to request feedback.

## **Section One.... BACKGROUND**

### **NOTE: PREQUALIFICATION REQUIREMENT**

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

### **1.1 Introduction**

On January 13, 2016, Governor Andrew M. Cuomo announced that New York State would launch the Empire State Poverty Reduction Initiative (hereafter ESPRI), a broad-based effort to assist high-poverty communities in creating and implementing comprehensive plans to reduce poverty. As an integral part of ESPRI, Governor Cuomo created the Empire Corps, to help “foster and leverage community spirit among young New Yorkers” to “join front line efforts to address poverty, hunger and homelessness across New York.” The Empire Corps will serve at “nonprofit agencies providing critical service such as health care, education and mentoring, financial literacy and skills development for disadvantaged New Yorkers.”<sup>3</sup>

The Governor’s Empire Corps will consist of two parts: (a) approximately \$1.08 million dedicated by the Commission to serve anti-poverty efforts in the following localities, which were chosen based on concentration of poverty: the Bronx, Rochester, Syracuse, Binghamton, Oneonta, Buffalo, Utica, Elmira, Jamestown, Oswego, Troy, Hempstead, Newburgh, Niagara Falls, Watertown, and Albany; and (b) this RFP, which will fund anti-poverty AmeriCorps programs in localities outside ESPRI. All AmeriCorps members funded through both the dedicated \$1.08 million and this RFP will be recognized as members of the New York State Empire Corps.

The Commission also places a high priority on programs that support the New York State Mentoring Program (NYSMP). In 2015, Governor Cuomo reaffirmed the State’s commitment to mentoring by reinstating the New York State Mentoring Program, which once again is chaired pro bono by Mrs. Matilda Cuomo. The program pairs private sector and nonprofit partners with nearby schools to mentor school-dependent children on the verge of success. It operates completely through school sites and sessions occur on a weekly basis lasting for one hour each. Sessions are mentee-driven, for the purpose of meeting students at their level and in their

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<sup>3</sup> Governor Andrew M. Cuomo, “*Built to Lead: 2016 State of the State Address*, pp.167-168

comfort zone. To support NYSMP and its goals, the Commission will award extra points, as described in Section 2.3, to applications that propose an AmeriCorps program which will participate in NYSMP (See Section 2.3 for instructions on how to participate in NYSMP, and the goals and benefits to the community of the mentoring program).

In keeping with its adopted New York State Service Plan for 2015-2017, and specifically Goal One, "Utilize AmeriCorps to create a focused response to the State's most pressing needs", and Action Step (f), to "Focus volunteer efforts funded by and through the Commission on efforts to alleviate poverty in New York State, including anti-hunger, anti-homelessness, and other anti-poverty programming," the Commission will use its new formula funding for 2016 to fund additional AmeriCorps programs designed to address the amelioration of poverty statewide and to meet the overall goals established by Governor Cuomo in announcing the ESPRI initiative. Specifically, the Commission is requesting proposals that will address one or more of the following New York State priorities: 1) Increasing access for the poorest citizens to critical services such as health care, health education, financial literacy, job training, skills development, etc.; 2) increasing services to youth and children living in poverty in either in-school, after-school, or out-of-school settings or 3) identifying and supporting interventions by AmeriCorps programs and members in the delivery and quality of education, anti-hunger, and anti-homelessness services in New York State.

Combatting poverty is a major goal of the Commission and requires a unique combination of experience, expertise and innovation to establish and operate. The Commission is pleased to request applications for funding to establish and administer these new AmeriCorps program(s), and anticipates awarding grants totaling approximately \$1.53 million to applicants selected for funding. These grants will provide additional resources to impoverished communities outside the specifically designated ESPRI localities: the Bronx, Rochester, Syracuse, Binghamton, Oneonta, Buffalo, Utica, Elmira, Jamestown, Oswego, Troy, Hempstead, Newburgh, Niagara Falls, Watertown, and Albany.

## **1.2 OCFS Statewide Considerations (This section intentionally left blank)**

## **1.3 Purpose and Funding Availability**

The Edward M. Kennedy Serve America Act (SAA) reauthorizes and expands national service programs administered by the Corporation, a federal agency created through the National and Community Service Trust Act of 1993. In accordance with this Act, AmeriCorps grant funding is distributed to Governor-appointed State Service Commissions, according to a formula based on each state's population, to subgrant to eligible applicants, which include: a public or private nonprofit organization, including faith-based and other community organizations; an institution of higher education; a state agency or other government entity within New York State (e.g., cities, counties); an Indian Tribe; a labor organization; a partnership or consortium; or an intermediary that will operate solely in New York State and focus on the following focus areas identified by the SAA: Education, Healthy Futures, Veterans and Military Families, and Economic Opportunity. In order to maximize the impact of the public investment in national service, an application or applications will be selected for funding which demonstrate community impact and solve community problems using an evidence-based or evidence-informed approach (e.g. performance data, research, theory of change). The Commission encourages applications from a consortium of eligible agencies joining together to target a specific program area (you must designate a lead agency) or from intermediary agencies (see Glossary for definition).

This Grant award has two components: AmeriCorps Member Positions and Operating Funds.

### **AmeriCorps Member Positions**

An AmeriCorps member is an individual who engages in community service through an approved national service position. AmeriCorps members will be recruited, trained, supervised and managed by the funded organization. Members may receive a living allowance and other benefits while serving. Upon successful completion of their service, members earn a Segal AmeriCorps Education Award from the National Service Trust that members can use to pay for higher education expenses or apply to qualified student loans.



## Operating Funds

Each State receives an annual formula allocation of funds to use in accordance with state strategic priorities as identified by the Governor and Commission. In 2016-2017, New York State has allocated approximately \$4.17 million to fund current formula programs continuing into their second or third year of operation. \$1.08 million will be dedicated to establishing and administering the Empire Corps, an initiative announced by the Governor in his Built to Lead agenda for 2016. The remainder of New York's formula allocation, at least \$1.53 million, will be used to select programs outside the 16 ESPRI localities, through this RFP process. OCFS reserves the right to place a monetary cap on the funding amount made in each contract award.

### AmeriCorps Grant Award & Application Types

#### A. Overview

AmeriCorps applications submitted to the Commission for new formula funding must be structured on a cost reimbursement basis. Fixed-cost grants are not available for new programming or funding. Continuation requests can be structured on a cost reimbursement or fixed amount basis. See Section 5, 2016 NOTICE GLOSSARY for an explanation of these two types of grants.

Applicants applying for new funding under this RFP must apply for a minimum of 10 Member Service Years, or MSYs. The Commission will not review new formula applications for a total number of MSYs which fall below this number. The program design may include full-time MSY's, half-time MSY's or other member service terms. Continuation requests must apply for a minimum of 10 MSYs. Continuation requests for fewer than 10 MSYs will likewise not be reviewed. A chart to calculate MSYs is included in Section 4.3 2016 APPLICATION INSTRUCTIONS <http://www.nationalservice.gov/documents/main-menu/2015/2016-application-instructions>

The Commission allows applicants certain flexibility in developing their budgets within limitations. The maximum cost per MSY for AmeriCorps grants through the Commission (full-time equivalent member) is \$13,500 for a Cost Reimbursement grant. This maximum cost per MSY is a New York State limit. The maximum cost per MSY is not to be confused with the maximum living allowance (see Section 1.3 - B and C).

The following table illustrates the types of AmeriCorps state grants under this RFP and gives brief outlines of the budgetary and program requirements. Applicants should review the detailed instructions to determine their eligibility for a particular type of AmeriCorps grant, and to ensure that this type of grant is allowable under this RFP.

AmeriCorps Grant Award Types	
Grant Award Type	Description
Cost Reimbursement Grants	Cost Reimbursement Grants: These grants fund a portion of program operating costs and member living allowances with flexibility to use all of the funds for allowable costs regardless of whether or not the program recruits and retains all AmeriCorps members. Cost reimbursement grants include a formal matching requirement and require the submission of a budget and financial reports.
Full-Time Fixed Amount Grants (Non-EAP) For Continuation Requests Only ( <b>Not Available for New Programs</b> )	These fixed amount grants are available for programs that enroll full-time members or less than full-time members that are serving in a full time capacity only, including Professional Corps. These grants provide a fixed amount of funding per Member Service Year (MSY) that is substantially lower than the amount required to operate the program. Organizations use their own or other resources to cover the remaining cost. Programs are not required to submit budgets or financial reports, there is no specific match requirement, and programs are not required to track and maintain documentation of match. Professional Corps programs applying for operational funding through a Fixed Amount Grant must submit a budget in support of their request for operational funds. However, the grant provides only a portion of the cost of running the program and organizations must still raise the additional resources needed to run the program. Programs can access all of the funds, provided they recruit and retain the members supported under the grant based on the MSY level awarded.

Application Type	Description
New	Applications submitted by an eligible organization for formula funds of up to \$1.5 million to establish and operate AmeriCorps programs specifically targeted to ameliorate poverty in New York State.
Continuation	Applications submitted by an eligible organization that is currently managing a New York State AmeriCorps grant from the Formula pool of funds moving from year one to year two or from year two to year three of their three-year contract cycle.

## B. Member Living Allowance

To receive a grant to operate an AmeriCorps program through this RFP, the proposed budget must include a living allowance for full-time members between \$12,530 (minimum) and \$25,060 (maximum) per member except as noted below. A living allowance is not considered a salary or a wage. However, the grantee is responsible for withholding income tax and FICA. In New York State, funded organizations do not withhold unemployment insurance premiums for AmeriCorps members, in accordance with the New York Department of Labor's memorandum issued in 1995 that service with AmeriCorps is not covered employment.

Cost reimbursement programs are not required to provide a living allowance for members serving in less than full-time terms of service. If a program chooses to provide a living allowance to a less than full-time member, it must comply with the maximum limits in the table below (Table 1. Minimum and Maximum Living Allowance). For Cost Reimbursement grants, the amount must be included in the proposed budget as either Corporation or grantee/subgrantee share.

For Continuation Requests ONLY: While fixed amount grant applicants are not required to submit detailed budgets, they are still required to provide a living allowance that complies with the minimum and maximum requirements to members (EXCEPTION: see Exception to the Living Allowance Requirements Most fixed amount grant applicants are not required to indicate that amount in the application and should request those positions as "without living allowance" in the budget.

**Table 1. Minimum and Maximum Living Allowance**

Service Term	Minimum # of Hours	Minimum Living Allowance	Maximum Total Living Allowance
Full-time	1700	\$12,530	\$25,060
One-year Half-time	900	n/a	\$13,265
Reduced Half-time	675	n/a	\$9,950
Quarter-time	450	n/a	\$6,635
Minimum-time	300	n/a	\$4,420

## Exception to the Living Allowance Requirements

**If a program existed prior to September 21, 1993, a living allowance is not required.** If an applicant chooses to offer a living allowance, it is exempt from the minimum requirement of \$12,530, but not the maximum requirement of \$25,060.

## C. Maximum Cost per Member Service Year (MSY)

Maximum Costs per MSY are set forth in the table below. The CNCS cost per MSY is determined by dividing the CNCS share of budgeted grant costs by the number of MSYs requested. It does not include child care or the value of the education award a member may

earn. The maximum amount an applicant may request from CNCS per MSY is determined on an annual basis.

Applicants to this RFP must not exceed the maximum cost per MSY for their grant type.

**Table 2. 2016 Maximum Cost per MSY**

<b>Grant Program</b>	<b>Maximum</b>
Individual Competitive State/Territory Program (cost reimbursement)	\$13,500

**For Continuation Requests Only:** Programs operating in rural communities and programs that recruit opportunity youth (See Section 5 Glossary) as AmeriCorps members may request up to \$13,930 cost per MSY for the AmeriCorps members that will be serving in rural areas or who are opportunity youth. The applicant must include in this narrative a compelling case as to why the applicant's cost per MSY must be higher.

**D. Amount of the Segal AmeriCorps Education Award for FY 2016**

AmeriCorps members serving in programs funded through this RFP who successfully complete a term of service will receive an Education Award from the National Service Trust of \$5,775 for a year of full-time service, with correspondingly smaller awards for less than full-time service. The amount of the Education Award is linked to the value of the Pell Grant, and is therefore subject to change after 2016. A member has seven years after his or her term of service to use the Education Award.

**Table 3. Term of Service and FY16 Education Award**

<b>Term of Service</b>	<b>Minimum # of Hours</b>	<b>FY16 Education Award</b>
Full Time	1700	\$5,775.00
One-Year Half Time	900	\$2,887.50
Reduced Half Time	675	\$2,119.92
Quarter Time	450	\$1,512.45
Minimum Time	300	\$1,221.96

**Match Requirements**

**For Continuation Requests Only:** *Fixed Amount Grants and Education Award Program Grants*

Although there is no specific match requirement for Fixed Amount grants, the Corporation does not provide all the funds necessary to operate the program. Organizations must raise the additional revenue required to operate the program. (See Section 2.16 of the RFP for more detail).

**Cost Reimbursement Grants**

A first-time successful applicant for a new AmeriCorps program is required to match at 24 percent for the first three-year funding period. If the program is re-funded after the first three-year period, and starting with year four, the match requirement gradually increases every year to 50 percent by year 10, according to the minimum overall share chart found in 45 CFR §2521.60. and Pub. L. 113-76, Division H, Title IV, § 402.

<https://beta.congress.gov/113/plaws/publ76/PLAW-113publ76.htm>

Section 121(e)(5) of the National and Community Service Act of 1990, as amended, requires programs that use other federal funds as match for an AmeriCorps grant to report the amount and source of these funds to the Corporation on a Federal Financial Report. To accomplish this, all New York State AmeriCorps grantees/subgrantees must track and be prepared to report on that match to the Commission on a schedule that will be included in your OCFS contract, should you be selected for competitive funding. The living allowance or salary provided to AmeriCorps members in Professional Corps programs (see Section 5, 2016 NOTICE GLOSSARY) does not count toward the matching requirement.

## Alternative Match

Under certain circumstances, applicants may qualify to meet alternative matching requirements that increase over the years to 35 percent instead of 50 percent as specified in the regulations at 45 CFR §2521.60(b). To qualify, applicants must demonstrate that the proposed program is either located in a rural county or in a severely economically distressed community as defined in the Application Instructions (See Section 4.3, 2016 APPLICATION INSTRUCTIONS <http://www.nationalservice.gov/documents/main-menu/2015/2016-application-instructions>).

**Programs operating solely in New York State must send their requests to the Commission for review and approval via email to [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line “2016-2017 AmeriCorps Formula RFP” inquiry in the subject line by the application due date of June 6, 2016.** The Commission will then forward the approved request to CNCS for consideration

## AmeriCorps Focus Areas

In order to carry out Congress’ intent and to maximize the impact of investment in national service, the Commission is targeting its new formula funds to the following four focus areas:

<b>AmeriCorps Focus Areas</b>
<b>Economic Opportunity</b>
Grants will provide support and/or facilitate access to services and resources that contribute to the improved economic well-being and security of economically disadvantaged people; help economically disadvantaged people, including youth identified in My Brother’s Keeper to have improved access to services that enhance financial literacy; transition into or remain in safe, healthy, affordable housing; and/or have improved employability leading to increased success in becoming employed.
<b>Education</b>
Grants will provide support and/or facilitate access to services and resources that contribute to improved educational outcomes for economically disadvantaged children; improved school readiness for economically disadvantaged young children; improved educational and behavioral outcomes of students in low-achieving elementary, middle, and high schools; and/or support economically disadvantaged students prepare for success in post-secondary educational institutions.
<b>Healthy Futures</b>
Grants will provide support for activities that will improve access to primary and preventive health care for communities served by Corporation-supported programs; increase seniors’ ability to remain in their own homes with the same or improved quality of life for as long as possible; and/or increase physical activity and improve nutrition in youth with the purpose of reducing childhood obesity.
<b>Veterans &amp; Military Families</b>
Grants will positively impact the quality of life of veterans and improve military family strength; increase the number of veterans, military service members, and their families served by Corporation-supported programs; and/or increase the number of veterans and military family members engaged in service through THE CORPORATION-supported programs.

## **New York State RFP Information**

### **Selection Process**

All AmeriCorps proposals submitted in response to this RFP that are received in eGrants by 5:00 pm EDT on, June 6, 2016, and that comply with the minimum requirements of this RFP will be included in the Application Review Process. During the Application Review Process, two independent reviewers will read each proposal as a team. Reviewers may, but are not restricted to be, representative of the following populations: members of the State Commission; staff of other State agencies not directly involved with the administration of AmeriCorps programs; staff of non-profit agencies or faith-based organizations with a working knowledge of non-profit management and/or national service programming and who do not represent an organization that is applying to this RFP; professors or graduate level students in social work or similar schools of study from public or private higher education institutions; or individuals with specific expertise in the subject areas that are the focus of this RFP.

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

### **Application Fields and Page Limits**

In eGrants, applicants will enter text in the following fields:

- Executive Summary
- Program Design
- Organizational Capability
- Cost Effectiveness and Budget Adequacy
- Evaluation Plan

Applications may not exceed 15 pages for the Narratives (18 pages for Multi-Focus Intermediaries), including the Executive Summary and the title page. The Commission and CNCS strongly encourage applicants to print out the application prior to submission to check that the application does not exceed the page limit. This limit does not include the narrative portion of the evaluation plan or the logic model, budget, performance measures, or the supplementary materials, if applicable.

### **State Commission Formula Review Process**

Independent reviewers will be identified and trained to participate in the proposal review process using a score sheet which will follow the outlines and point values contained in this RFP. Prior to beginning any review, each reviewer will sign a conflict of interest waiver. Each application will be reviewed by a team consisting of at least two reviewers who will be asked to agree on a consensus score sheet that will be used to rank proposals. Scores will be recorded and reported on a team wide, consensus basis. If, and only if, a review team cannot come to consensus on a final score sheet, a third reviewer will be asked to read the application in question and to work with the original review team to formulate a consensus score sheet. Applicant scores will be charted and rank-ordered by score from highest to lowest. All applications and the completed scoring chart are presented to the Commission for evaluation, and the Commission will then act on which proposals to recommend to the Corporation for funding consideration.

All organizations that have submitted proposals in response to this RFP that were not selected

for funding will be notified via email of the Commission's final determination. Those not receiving awards may request feedback, according to a process that will be outlined by the Commission, at a later date.

In addition to complying with all instructions, and state and federal regulations outlined in this RFP, **all AmeriCorps funding proposals must also meet the following requirements upon submission to meet the minimum criteria:**

- **Applications** for Formula funding must be submitted in eGrants by 5:00 pm EDT on **June 6, 2016**, or received at the Commission Office in hard copy by the same date/time (See Section 2.2);
- **New Formula applications** must request no fewer than 10 MSYs. No lower amount of MSYs will be considered.
- **Continuation Requests** must request a minimum of 10 Member Service Years (MSY) AmeriCorps positions
- Applications must be submitted by an eligible entity (Part I: Section 1.5);
- Applications must be signed by an authorized signatory of the agency
- Applicants must be registered, and, if required, qualified as of the submission deadline in the New York State Grants Gateway system.

#### **Continuation Request Review**

All Continuation requests to support program operations in the second or third year of a three year formula AmeriCorps grant will be reviewed by Commission staff using the 2016 State AmeriCorps Continuation Review Tool. Using this tool, the Commission staff will recommend that funding be either continued or discontinued. The tool will not assign a numeric score. The results will be furnished to the Commission. The Commission has the sole authority to determine if continuation applications will be recommended to the Corporation.

#### **Training & Technical Assistance**

Please see section 2.4 for details on technical assistance calls. **Additional resources for those interested in applying for AmeriCorps State and National grants can be found on the Corporation's website: <http://www.nationalservice.gov/build-your-capacity/grants/funding-opportunities/2016/ameri-corps-state-and-national-grants-fy-2016>**

**Note that the deadline date on the Corporation's website referred to above does not apply to this RFP.** Applications for formula funding in New York State must adhere to the Commission proposal submission date of June 6, 2016, **at 5:00 pm EDT.**

#### **Applicant Feedback**

Following the announcement by the Commission of formula grant awards, unsuccessful applicants may request feedback from the Commission, according to a process and date determined by the Commission.

- **All applications are due to the Commission Office by 5:00 pm EDT Monday, June 6, 2016.**
- The Commission is committed to providing the most current application information available and will rely primarily on the New Yorkers Volunteer website ([www.NewYorkersVolunteer.ny.gov](http://www.NewYorkersVolunteer.ny.gov)) to keep applicants abreast of changes. Applicants are encouraged to monitor this website frequently for training and technical assistance resources, updates to the application process, and other information.
- **AmeriCorps Informational Technical Assistance Conference Call, Monday, May 18, 2016 at 1:00 PM.** The conference call number is (866) 394-2346 Participant Code: 2539442268. **Note: The RFP is required pre-call reading material.**
- **Questions Must Be Submitted in Writing no later than Friday, May 20 at 5:00 PM EDT.** All inquiries to the Commission on National & Community Service concerning this

RFP must be submitted in writing, and will be responded to in writing. E-mail should be sent to [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line "2016 AmeriCorps Formula RFP" or land mail may be addressed to: New York State Office of National & Community Service, 52 Washington Street, North Building - Suite #338 Rensselaer, New York 12144-2796, Attn: Stefanie Perez

- **Answers to Frequently Asked Questions** will be published no later than **Tuesday, May 24, 2016** on [www.newyorkersvolunteer.ny.gov](http://www.newyorkersvolunteer.ny.gov) and on the Online Bidders List.

### **Selection Process**

All AmeriCorps proposals submitted in response to this RFP that are received in eGrants by 5:00 pm EDT on, June 6, 2016, and that comply with the minimum requirements of this RFP will be included in the Application Review Process. During the Application Review Process, two independent reviewers will read each proposal as a team. Reviewers may, but are not restricted to be, representative of the following populations: members of the State Commission; staff of other State agencies not directly involved with the administration of AmeriCorps programs; staff of non-profit agencies or faith-based organizations with a working knowledge of non-profit management and/or national service programming and who do not represent an organization that is applying to this RFP; professors or graduate level students in social work or similar schools of study from public or private higher education institutions; or individuals with specific expertise in the subject areas that are the focus of this RFP.

### **Application Fields and Page Limits**

In eGrants, applicants will enter text in the following fields:

- Executive Summary
- Program Design
- Organizational Capability
- Cost Effectiveness and Budget Adequacy
- Evaluation Plan

Applications may not exceed 15 pages for the Narratives (18 pages for Multi-Focus Intermediaries), including the Executive Summary and the title page. The Commission strongly encourages applicants to print out the application prior to submission to check that the application does not exceed the page limit. This limit does not include the narrative portion of the evaluation plan or the logic model, budget, performance measures, or the supplementary materials, if applicable.

### **State Commission Formula Review Process**

Independent reviewers will be identified and trained to participate in the proposal review process using a score sheet which will follow the outlines and point values contained in this RFP. Prior to beginning any review, each reviewer will sign a conflict of interest waiver. Each application will be reviewed by a team consisting of at least two reviewers who will be asked to agree on a consensus score sheet that will be used to rank proposals. Scores will be recorded and reported on a team wide, consensus basis. If, and only if, a review team cannot come to consensus on a final score sheet, a third reviewer will be asked to read the application in question and to work with the original review team to formulate a consensus score sheet. Applicant scores will be charted and rank-ordered by score from highest to lowest. All applications and the completed scoring chart are presented to the Commission for evaluation, and the Commission will then act on which proposals to recommend to the Corporation for funding consideration.

All organizations that have submitted proposals in response to this RFP that were not selected for funding will be notified via email of the Commission's final determination. Those not receiving awards may request feedback, according to a process that will be outlined by the Commission, at a later date.

In addition to complying with all instructions, and state and federal regulations outlined in this RFP, **all AmeriCorps funding proposals must also meet the following requirements upon**



#### **submission to meet the minimum criteria:**

- **Applications** for Formula funding must be submitted in eGrants by 5:00 pm EDT on **June 6, 2016**, or received at the Commission Office in hard copy by the same date/time (Part I: Section 2.1);
- **New Formula applications** must propose service activities in an area or areas either outside of or greater than the 16 cities specifically designated by the ESPRI initiative. The establishment of the dedicated Empire Corps is designed to serve the 16 cities of the Bronx, Rochester, Syracuse, Binghamton, Oneonta, Buffalo, Utica, Elmira, Jamestown, Oswego, Troy, Hempstead, Newburgh, Niagara Falls, Watertown, and Albany.
- Formula Continuation Requests must be submitted in eGrants, the secure federal grants system by **5:00 pm EDT on June 6, 2016**. (Part I: Section 2.1);
- **New Formula applications** must request no fewer than 10 MSYs or the equivalent number of 20 part-time members. No lower amount of MSYs will be considered.
- **Continuation Requests** must request a minimum of 10 Member Service Years (MSY) AmeriCorps positions.
- Applications must be submitted by an eligible entity (Part I: Section 1.9);
- Applications must be signed by an authorized signatory of the agency
- Applicants must be registered, and, if required, qualified as of the submission deadline in the New York State Grants Gateway system.

#### **Continuation Request Review**

All Continuation requests to support program operations in the second or third year of a three year formula AmeriCorps grant will be reviewed by Commission staff using the 2016 State AmeriCorps Continuation Review Tool. Using this tool, the Commission staff will recommend that funding be either continued or discontinued. The tool will not assign a numeric score. The results will be furnished to the Commission. The Commission has the sole authority to determine if continuation applications will be recommended to the Corporation.

#### **Training & Technical Assistance**

Please see section 2.4, for details on technical assistance calls. **Additional resources for those interested in applying for AmeriCorps State and National grants can be found on the Corporation's website: <http://www.nationalservice.gov/build-your-capacity/grants/funding-opportunities/2016/ameri-corps-state-and-national-grants-fy-2016>**

**Note that the deadline date on the Corporation's website referred to above does not apply to this RFP.** Applications for formula funding in New York State must adhere to the Commission proposal submission date of **June 6, 2016, at 5:00 pm EDT**.

#### **Applicant Feedback**

Following the announcement by the Commission of formula grant awards, unsuccessful applicants may request feedback from the Commission, according to a process and date determined by the Commission.

### **1.4 Term of Contract**

The contract(s) awarded in response to this RFP will be for no more than 39 months consisting of three 15-month contract periods that are programmatically and fiscally independent with an anticipated start date of October 1, 2016 and an end date no later than December 31, 2017.

The 15-month contract periods allow the contractor a covered period to recruit members and remain compliant with federal regulations which provide full-time AmeriCorps members up to 12 months to complete their term of service. The start date for each 15 month contract period may be adjusted should a revised scope and approved program plan deem it operationally justified. Expenses incurred in a 15-month contract period may only be reimbursed with funds granted for that same 15-month contract period. Contract start dates should be October 1, 2016 or after and



the contract end date may not be after December 31, 2017. Applicants proposing a contract start date earlier than October 1, 2016 (e.g., programs with an education focus) must receive written approval from the Commission.

In approving a multi-year project, the Commission will approve initial funding for the first 15-month contract period. Continuation funding is not guaranteed. However, it is anticipated that there will be two renewal periods. Factors considered in awarding continuation grants include satisfactory performance, demonstrated capacity to manage the grant, compliance with grant requirements, agency priorities, and the availability of appropriated federal funds. The Commission and the Corporation reserve the right to adjust the amount of a grant or elect not to continue funding for subsequent years.

Annual funding will be contingent upon availability of funds and satisfactory contractor performance.

The New York State Commission on National and Community Service reserves the right to reallocate funding at any time if the Commission determines that a contractor is not able to expend all their funds during a contract period.

## **1.5 Eligible Applicants**

The Corporation has determined that organizations that have been convicted of a Federal crime are disqualified from receiving the assistance described in this State RFP. Pursuant to the Lobbying Disclosure Act of 1995, an organization described in Section 501 (c) (4) of the Internal Revenue code of 1986, 26 U.S.C. 501 (c)(4) that engages in lobbying activities is not eligible to apply. Please see 45 CFR § 25.2.120 as well as section 1.2, above, which describes eligibility for this RFP.

### **Continuation applicants**

Organizations that have current AmeriCorps formula contracts not ending by December 31, 2016 must submit a continuation request in order to be eligible to receive funding for the following year. Please see the Continuation instructions, Section 2.3.

OCFS will only contract with organizations whose governing board (board of directors) includes a minimum of three (3) members.

## **1.6 Standard Contract Language**

The terms and conditions for all funded projects are specified in a detailed contract that must be signed by OCFS and approved by the Attorney General and the Office of the State Comptroller before any work is begun or payments made. This RFP includes all relevant contract terms and conditions which can be found in **Section Six: Contract Documents**. Upon contract award and completion of negotiations, OCFS will send successful applicants the complete contract for development and signature prior to submitting it to the Attorney General's Office and the Office of the State Comptroller for execution.

**Dun and Bradstreet University Numbering System (DUNS) Number and System for Award Management (SAM):** Applications must include a DUNS number and an Employer Identification Number. The DUNS number does not replace an Employer Identification Number. DUNS numbers may be obtained at no cost by calling the DUNS number request line at (866) 705-5711 or by applying online: <http://fedgov.dnb.com/webform>. The website indicates a 48-hour e-mail turnaround time on requests for DUNS numbers; however, the Commission suggests registering at least 30 days in advance of the application due date. After obtaining a DUNS number, all applicants must be registered with the Systems for Award Management (SAM) at <https://www.sam.gov/portal/public/SAM/>

SAM collects, validates, stores, and disseminates data in support of Federal agency contracts, grant awards, cooperative agreements, and other forms of federal assistance. All grant recipients

are required to maintain a valid SAM registration, which must be renewed annually. Applicants that are not already registered with SAM are urged to begin the registration process immediately in order to avoid any delays in submitting applications. Applicants must have a DUNS number in order to register with SAM. To register online go to <https://www.sam.gov/portal/pulbic/SAM/>.

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

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

<http://executiveorder38.ny.gov/>

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

## **1.8 Contract Readiness**

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

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

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

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

### **1) Register for the Grants Gateway.**

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

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

## 2) Complete your Prequalification Application.

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

## 3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

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

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

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

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

## 1.9 Accessibility of Web-Based Information and Applications

*If any part of the procurement includes the content design, creation or maintenance of Intranet or Internet applications, the following provision must be included in the RFP.*

Any web-based Intranet and Internet information and applications development, or programming delivered pursuant to this procurement must comply with New York State Enterprise IT Policy NYS-P08-005, Accessibility Web-Based Information and Applications, and New York State Enterprise IT Standard NYS-S08-005, Accessibility of Web-Based Information Applications, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and Internet information and applications are accessible to persons with disabilities. Web content must conform to New York State Enterprise IT Standards NYS-

S08-005, as determined by quality assurance testing. Such quality assurance testing will be conducted by OCFS and the results of such testing must be satisfactory to OCFS before web content will be considered a qualified deliverable under the contract or procurement.

#### **1.10 Grants Gateway System (GGS) / Contract Management System (CMS)**

OCFS has developed a comprehensive, web-based Contract Management System (CMS) providing technology that automates the contract development, claiming, and program reporting process. Vendors awarded contracts under this procurement may develop and electronically sign contracts through CMS.

All awards resulting from this RFP will be processed in CMS until GGS is available for contract development. Additional information on **GGS** may be [found in Section 2.2 of the RFP](#).

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

### 2.1 Desired Outcomes and Program Requirements

(See Section 1 Background)

### 2.2 Proposal Submittal Process

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

If you are not already registered:

REGISTER WITH THE GRANTS GATEWAY – Registration forms are available at the **GGS** website: [www.grantsreform.ny.gov](http://www.grantsreform.ny.gov).

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

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

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

### HOW TO REGISTER AND PREQUALIFY IN THE GRANTS GATEWAY

If you are not already registered:

REGISTER WITH THE GRANTS GATEWAY – Registration forms are available at the **GGS** website: [www.grantsreform.ny.gov](http://www.grantsreform.ny.gov).

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

If you are an applicant, and have problems complying with this provision, please contact the **GGS** help desk via email: [helpdesk@agatesoftware.com](mailto:helpdesk@agatesoftware.com) -- **OR** -- by telephone: 1-800-820-1890. Commission staff will not answer questions regarding prequalification. All such inquiries must be directed to the GGS Help Desk.

**After review, applications proceeding to the next stage must be submitted electronically using eGrants, The Corporation for National & Community Service (THE CORPORATION) online grants management system. Electronic submission is the required submission method.**

#### How to Submit a Proposal

**Proposals must be submitted online via eGrants by the date and time posted on the cover of this RFP. Late proposals will not be accepted or reviewed. Proposals will not be accepted via fax, e-mail, hard copy or hand delivery except under the circumstances noted below for Submission Outside of eGrants.**

**Submission Outside of eGrants:** The Commission will only accept submissions outside of eGrants for two reasons:

- a. **Lack of Access to Necessary Technology to Submit in eGrants:** If an applicant does not possess access to web-based technology, that applicant must notify the Commission that it will be submitting its application outside of eGrants. Such notification must be by first class mail postmarked no later than **May 20, 2016** to the address below, and must identify the reason(s) why the applicant cannot submit electronically.
- b. **Technical Issues:** All other applicants are required to submit their proposal electronically utilizing eGrants; however, the Commission recognizes that technical issues with electronic submission may arise. In order to submit an application under these circumstances by the published due date, **applicants must make at least one attempt to submit via eGrants no later than May 31, 2016**. If a technical issue with the eGrants system is discovered on or before **May 31, 2016**, the applicant must **immediately** contact the National Service Hotline at 800-942-2677 or <https://questions.nationalservice.gov/> to secure a Ticket Number (National Service Hotline hours are Monday through Thursday 9:00 a.m. to 7:00 p.m. ET). Be prepared to provide the Application ID, organization's name, and the NOFA (Part I: Section 2) to which your organization is applying.

If the issue cannot be resolved after contacting the National Service Hotline, the following materials must be sent by overnight carrier and **arrive (not be post-marked)** at the Commission Office no later than noon EDT on June 6, 2016. **The following must be included with your submission:** (1) the National Service Hotline Ticket Number and a brief paragraph explaining the technical issues that prevented submission of your application in eGrants by the due date; (2) a complete paper copy of the agency's 2016 State Formula AmeriCorps Application including all eGrants Application Components and Required Application Forms; and (3) an electronic version of the application on flash drive or CD-ROM. Please note the page limits outlined above. The electronic version must be an exact duplicate of the paper original. If there are differences between the paper and electronic versions, the Commission will review the electronic version as final.

**All RFP requirements also apply to paper application submissions.** Paper applications must be typed and double-spaced in Times New Roman, 12-point font size with one-inch margins and may not exceed 15 double-spaced pages for the Narrative, including the Executive Summary and SF 424 Face sheet. Reviewers will not consider material submitted over this page limit. This limit does not include the budget, performance measures, evaluation plan, and other required documents, although these components must also be submitted (See Section 1.12). A complete application package must include one unbound, single-sided original paper application; and (2) an electronic version of the application on flash drive or CD-ROM. The electronic version must be an exact duplicate of the paper original. If there are differences between the paper application and the electronic version submitted, the Commission will use the electronic version as the official submission. The application must **arrive** at the Commission office no later than **noon EDT on June 6, 2016**.

**You must retain proof of hard-copy submission, whether through electronic tracking or otherwise.**

**All hard copy applications must arrive no later than noon EDT on June 6, 2016 at the following address:**

Linda J. Cohen, Executive Director  
New York State Commission on National & Community Service  
52 Washington Street  
North Building – Suite #338  
Rensselaer, New York 12144-2796



## **Proposal Due Date**

The due date and time for the submission of the **Request for Proposals New York State Empire Corps 2016-2017 New York State AmeriCorps (Formula Pool) New Funding – (New York State Empire Corps) And 2016-2017 Continuation Requests** into the eGrants system is **June 6, 2016 at 5:00 pm EDT**.

## **Additional Required Documents**

If the Commission selects your application and forwards it to the Corporation for approval, you will be required to provide additional documents including an evaluation (if applicable), labor union concurrence (if necessary), a federally-approved indirect cost agreement (if applicable), and other required documents as necessary. You will be provided with detailed instructions by Commission staff.

The federal eGrants system may not allow uploading of certain documents required by the Commission in this RFP. Please email any such documents (e.g., month-by-month schedules, support letters, position descriptions, resumes) to the Commission offices at [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line “2016 AmeriCorps Formula RFP” no later than the submission due date for this RFP, 5:00 pm EDT on June 6, 2016. **All such documents are denoted in Section 2.3, Selection Criteria, by the following phrase: “Email submission document.”** All email submission documents will be considered by the independent reviewers and are incorporated by reference in your eGrants proposal.

## **2.3 Selection Criteria**

### **NEW PROGRAM(S)**

#### **Application Fields**

##### **A. Executive Summary (Required - 0 percent)**

Please fill in the blanks of these sentences to complete the Executive Summary.

The [Name of the organization] proposes to have (number of total members, not MSYs) AmeriCorps members who will serve in (please list counties/localities). At the end of the first program year, the AmeriCorps members will be responsible for [anticipated outcome of project]. In addition, the AmeriCorps members will leverage an additional [number of leveraged volunteers, if applicable] who will be engaged in [what the leveraged volunteers will be doing.]

This program will focus on the Corporation focus area(s) of (pick one of the following) Education, Healthy Futures, Veterans and Military Families and/or Economic Opportunity. The Corporation investment of grant funds requested is (enter amount of request, not to exceed \$1.53 million) will be matched with \$[amount of projected match], \$[amount of local, state, and federal funds] in public funding and \$[amount of non-governmental funds] in private funding.

##### **B. Program Design (50 percent)**

Reviewers will consider the quality of the application's response to the criteria below. Do not assume all sub-criteria are of equal value.

#### **1. Problem/Need (Maximum 10 points)**

Clearly describe the target population that will receive services from the proposed AmeriCorps project. Please include relevant demographic statistics and accompanying citations. The target population(s) receiving services should include residents of the proposed service area living in poverty, and the AmeriCorps members who will serve in the program and will receive specialized training and experience. Please describe those populations who will be targeted as service recipients.

Identify major program partners, public and/or private, that will offer assistance in project planning, training, recruitment, orientation and supervision, including any matching funds, both cash and in-kind, and how they will be spent. Describe the role of the major program partners.

Describe the community or communities the proposed AmeriCorps program and its AmeriCorps members will serve. Describe what proportions of the State's citizens will receive the specific services listed.

**Email submission document** Submit a detailed month-by-month service plan clearly identifying specific projects developed with program partners, training sessions, and a process for responding to requests for assistance and/or identifying host sites.

Include relevant data on poverty, literacy and employment rates in the proposed service community or communities.

Clearly identify and describe the community problem/need the proposed AmeriCorps program will address and how the community problem/need will be addressed.

Clearly describe how the community need/problem is prevalent and severe in the community or communities where members will serve and document the need with relevant data.

## **2. Theory of Change and Logic Model (Maximum 10 points)**

Describe the proposed intervention(s) including the roles of AmeriCorps members and (if applicable) the roles of leveraged volunteers.

Clearly describe how the intervention is likely to lead to the outcomes identified in the applicant's theory of change.

Describes how the AmeriCorps members serving in the program will produce significant and unique contributions to existing efforts to address the stated problem.

Complete the logic model and ensure all elements of the logic model are logically aligned.

The logic model shall depict:

- A summary of the community problem outlined in the narrative.
- The inputs or resources that are necessary to deliver the intervention, including:
  - Estimated number of locations or sites in which members will provide services
  - Number of AmeriCorps members that will deliver the intervention
  - The core activities that define the intervention or program model that members will implement or deliver, including:
    - The duration of the intervention (e.g., the total number of weeks, sessions or months of the intervention).
    - The dosage of the intervention (e.g., the number of hours per session or sessions per week.)
    - The target population for the intervention (e.g., disconnected youth, third graders at a certain reading proficiency level).
- The measurable outputs that result from delivering the intervention (i.e. number of beneficiaries served.) Identify which National Performance Measure(s) will be used as output indicators.
- Outcomes that demonstrate changes in knowledge/skill, attitude, behavior, or condition that occur as a result of the intervention.

Programs may include short, medium, or long-term outcomes in the logic model. While performance measure outcomes should be consistent with the program's theory of change, programs are not required to measure all outcomes that are included in the logic model. The Logic Model should identify which National Performance Measure(s) will be used as outcome indicators. **All responses to this RFP must choose at least one of the national performance measures under Economic Opportunity, Education, Veterans and Military Families and/or Healthy Futures** found at the following link: <http://www.nationalservice.gov/documents/main-menu/2015/2016-performance-measure-instructions>



**With regard to the performance measures, please note the following:** 1) your program design may be best suited to one or more of the national performance measures and not suited for others; 2) some national performance measures require the use of other, complementary national performance measures; 3) some measures require applicant-determined outcomes (i.e., you must specify your own projected outcome in the logic model) and 4) some national performance measures are outside the scope of this RFP.

If a program is designed to provide multiple interventions the applicant should complete one Logic Model chart which incorporates each intervention.

### **3. Evidence Base (Maximum 10 points)**

Applicants will be awarded up to ten points for providing evidence that their proposed intervention will lead to the outcomes identified in the theory of change. Applicants shall provide a description of the studies and evaluations conducted that provide evidence that the proposed intervention is effective for the proposed population and challenge.

**Email submission document:** Applicants may submit up to two studies, evaluation reports, briefs, or peer-reviewed articles cited in this section as separate attachments. Studies should be sent to [americorps.rfp@newyorkersvolunteer.ny.gov](mailto:americorps.rfp@newyorkersvolunteer.ny.gov) by the application deadline of 5:00 pm EDT on June 6, 2016 and **include in the subject line the application ID # from eGrants and “evaluation studies.”**

### **4. Member Training (Maximum 5 points)**

Training in a number of subjects and techniques is one of the defining hallmarks of a high-quality AmeriCorps program. The applicant must clearly describe how members will receive high quality training to provide effective service.

Please describe how the training sessions will help the AmeriCorps members learn effective techniques of service delivery, public education and ambassadorship, communication and client service skills, and any specialized training the members will need to support their service intervention. Clearly describe the experience of the applicant and any partners, public or private, that you anticipate will support or perform the training.

**Email submission document:** Include a training schedule, providing a month-by-month outline of planned trainings for the first year of operation.

**Email submission document:** Provide any already-established curricula that you plan to use as an email attachment (see instructions in Section 2.2).

**Email submission document:** Provide resumes, if available, of staff or consultants who will be involved with providing training services.

Describe how the applicant will provide services to those members with specialized training needs, such as veterans, those of varying socio-economic backgrounds, etc., as well as those members who have not received a high-school diploma. AmeriCorps requires that all programs offer information and support to any members who have not received a high-school diploma, including information about opportunities to obtain their diploma or an equivalent.

Clearly describe training(s) you will provide that will ensure members and volunteers will be aware of, and will adhere to, the AmeriCorps rules and regulations, including prohibited activities.

### **5. Member Supervision (Maximum 5 points)**

The applicant should clearly describe how members will receive high quality guidance and support from their supervisor(s) to provide effective service. These anti-poverty programs should aim to set a standard for providing high quality service, which will require high-level supervision.

Please describe how staff will supervise members, including the different tiers and types of staff (i.e., executive staff, program staff, line supervisors, etc.).

Describe if applicable, how the program will identify and supervise program leaders and how program leaders, will be provided an opportunity to use leadership skills earned through military service or other service experience.

**Email submission document:** Provide a position description for each level of supervisor.

Describe how supervisors will be adequately trained/prepared to follow AmeriCorps and program regulations, priorities, and expectations.

**Email submission document:** Include a month-by-month outline of activities by supervisors for the first year of operation, and include descriptions of how members will be supervised not only in program progress toward meeting performance measures, but also during other activities of the program.

**Email submission document:** Provide resumes of all key staff that will hold supervisory authority or position descriptions for staff yet to be hired.

## **6. Member Experience (Maximum 5 points)**

**The Commission is committed to encouraging and sustaining a high-quality service experience for every New York State AmeriCorps member.** Describe how AmeriCorps members will gain skills and experience as a result of their training and service that can be utilized and will be valued by future employers after their service term is completed.

Describe how AmeriCorps members will have access to meaningful service experiences and opportunities for reflection throughout their term of service.

Describe how members will be evaluated and given useful and valuable feedback throughout the year. AmeriCorps regulations require that each full-time member be evaluated, at a minimum, at mid-term and at the conclusion of his or her term.

**Email submission document:** Include a member evaluation plan and how it will be administered.

Describe how AmeriCorps members will have opportunities to establish connections with each other and the broader National Service network to build esprit de corps.

Include and budget for plans to attend the New York State AmeriCorps kickoff, held in Albany during the fall of 2016.

Describe how you will identify opportunities to work with other AmeriCorps programs in your economic region, and statewide and how you will work collaboratively with other national service programs in your region on the national and state service days of September 11, MLK Day and “I Love My Park Day” (first Saturday in May of each year).

Clearly describe how AmeriCorps members will develop an ethic of and skills for active and productive citizenship and will be encouraged to continue to engage in public and community service after their AmeriCorps term.

**Email submission document:** Include any supporting materials (e.g., curricula, testimonials) as an emailed attachment as described in Section 2.2.

Describe how the program will recruit AmeriCorps members of a diverse community, including plans to strive for gender balance and socio-economic and regional diversity. Please provide any data that demonstrates this diversity in any previous national service programs administered. The Commission actively encourages and will prioritize efforts to recruit, train and retain at least 35 percent of your AmeriCorps members from within the proposed service area(s) with the greatest concentrations of poverty (50 percent or greater poverty rate). If your program design includes this element, please describe your goals, benchmarks and methods for doing so in the recruitment plan discussed below.

**Email submission document:** Provide a detailed recruitment plan that describes recruitment activities that will bring the AmeriCorps program to full enrollment no later than December 15, 2016. Include language that you will use in any flyers, brochures, advertisements, social media posts, etc., to recruit AmeriCorps members who will help the program achieve its performance goals.

### **7. Commitment to AmeriCorps Identification (Maximum 5 points)**

Please describe how the applicant will market and participate in branding identity for its particular AmeriCorps program, and for AmeriCorps programs across New York State and nationally, how the AmeriCorps brand will be displayed, and how AmeriCorps members will know and understand that they are part of an AmeriCorps program.

Describe how members will know they are AmeriCorps members, and how the AmeriCorps logo and brand will be displayed at any service or project sites or on gear.

Clearly describe how staff and/or community stakeholders at any sites where the members are providing service will be able to identify them as AmeriCorps members.

Describes how AmeriCorps members will be provided with and will wear service gear that prominently displays the AmeriCorps logo, daily.

Explain how the missions of your proposed AmeriCorps program and your agency overlap and how they will be integrated.

Describe your commitment to displaying the AmeriCorps brand on your organizational materials such as letterhead, business cards, videos, annual reports, or any other promotional materials and how you will ensure that the target audiences of these efforts are able to distinguish among AmeriCorps and your agency, while at the same time understanding that both will be working in alignment to fulfill the goals of the program.

### **C. Organizational Capability (25 percent)**

Reviewers will consider the quality of the application's response to the following criteria below. Do not assume all sub-criteria are of equal value.

#### **1. Organizational Background and Staffing ( Maximum 10 points)**

Clearly describe how the organization has the experience, staffing, and management structure to plan and implement the proposed program.

Indicate any previous experience in administering high-quality AmeriCorps program(s) in New York State, the number of years those programs have been operating or operated, and the number of full-time AmeriCorps members completing terms of service over the course of operation.

Experience in successfully administering previous community service initiatives is highly preferred. Please describe your organization's capacity to operate and past experience operating such programs.

Describe, if applicable, how the organization has adequate experience administering AmeriCorps grants or other federal grants.

Describe how the organization has sufficiently engaged community members and partner organizations in planning and implementing its proposed program.

**Email submission document:** Please submit letter(s) of support from the applicant's most significant public and private partner(s). The letter(s) should include what the partner(s) see as the benefit to the City and County provided by the AmeriCorps members and what activities would not happen without the AmeriCorps members.

**2. Compliance and Accountability (Maximum 15 points; maximum 7 for applicants who have operated an AmeriCorps program in the last five years)**

Describe how the applicant's organization, in implementation and management of the proposed AmeriCorps program, will prevent and detect compliance issues.

Clearly describe how the applicant will hold accountable itself, subgrantees, and service site locations if instances of risk or noncompliance are identified. Provide a monitoring schedule that outlines plans to identify instances of risk or noncompliance, the roles of administrators, program managers, line supervisors, and members in strategy, and how often each will be interviewed /asked to perform risk assessment.

**Email submission document:** Include (see Section 2.2) any tools you have previously used or plan to use as internal measures of compliance and accountability.

Describe how the organization will comply with AmeriCorps rules and regulations, including those related to prohibited and unallowable activities at the grantee, subgrantee, and service site locations.

**3. Past Performance (Maximum 8 points; ONLY for applicants who have operated an AmeriCorps program in the last five years)**

Identify by grant number and description all AmeriCorps programs your organization has previously operated in New York State, the dates of operation of such programs, and the grant amount awarded by the State Commission over the three-year cycle of each program's operation.

Identify the performance measures, both national and applicant-determined, for each of the programs described above. Please state the performance measures as approved and the outputs and outcomes reported in your final Grantee Progress Reports for each year

Describe how you met performance measurement targets during the most recent three years (if applicable) of program operations; or, if not, describe an adequate corrective action plan currently in place or followed during the years of program operation

State the enrollment percentages (MSYs filled/funded MSYs) during either the past year or the most recent year of AmeriCorps operation for each program identified above.

If each program identified above has not or did not achieve 100 percent member enrollment during either the past year or the most recent year of AmeriCorps enrollment, clearly identify the reasons for the shortfall, an adequate corrective action plan and the date such plan will take/took effect.

Clearly state the retention percentages (MSYs completing a full term/enrolled MSYs), during either the past year or the most recent year of AmeriCorps operation for each program identified above

If each program identified above has not or did not achieve 100 percent member retention, describe the reasons for the shortfall, an adequate corrective action plan and the date such plan will take/took effect.

State the percentage of enrolled MSYs that have received Segal Education awards over the most recent three years of operation of each program identified above, and, if that percentage is not 100 percent, the reasons for the shortfall, an adequate correction plan and the date such plan will take/took effect

Clearly describe any findings or other reports of non-compliance, less than satisfactory compliance, material weaknesses, or areas of risk identified during the most recent three years of program operations for each program identified above. Clearly state the finding or other area of concern, the source of the finding (independent audit, government audit, Commission site visit tool, etc.), the date of the finding, any response, and corrective action taken or planned.

#### **D. Cost Effectiveness and Budget Adequacy (25 percent)**

Reviewers will consider the quality of the application's response to the following criteria below. Do not assume all sub-criteria are of equal value.

##### **1. Cost Effectiveness (18 points)**

Describe how the proposed budget is sufficient to carry out the mission of the proposed AmeriCorps program effectively.

Include plans for travel to service projects and the 2016 New York State AmeriCorps kickoff, training, supervision, staffing, and other support costs for the AmeriCorps members over the course of their service term.

Clearly identify sources of match, whether cash or in-kind, to meet the required percentage match requirement for the proposed program. Indicate whether the match will be cash or in-kind and how it will be applied and to which program activities.

Ensure that the budget aligns with your narrative.

Discuss how your program design is cost effective and the benefits justify the cost.

Ensure that your budget does not exceed the maximum cost per MSY (total grant funds requested divided by number of MSYs) of \$13,500, and that you have met but not exceeded the minimum/maximum thresholds for living allowances.

##### **2. Budget Adequacy (7 points)**

Please ensure that your budget is submitted without mathematical errors.

Please ensure that your budget is submitted with adequate information to assess how each line item is calculated.

Please ensure that your budget is in compliance with the budget instructions **(See Section Four.... KEY CONCEPTS, 4.3 2016 APPLICATION INSTRUCTIONS)**

#### **E. EXTRA POINTS**

**New York State Mentoring Program Support:** If your proposed program will provide ten or more mentors to support a school which is partnering with the New York State Mentoring Program (NYSMP), you will receive an additional three points.

#### **REQUIRED DATA TO RECEIVE EXTRA POINTS \*\*\***

##### **Email Submission Required:**

If you are requesting extra points for supporting the New York State Mentoring Program, you must:

- a. Submit a letter of partnership from the principal(s) of each school(s) where the mentors will be placed. NYSMP will partner you with a school or schools upon your request. Further information about NYSMP is available at <https://www.ny.gov/programs/new-york-state-mentoring-program>. Requests for partnership should be directed to [NYSMentoring@hesc.ny.gov](mailto:NYSMentoring@hesc.ny.gov).
- b. **Please note** that should you request extra points for partnering with NYSMP, your application must also include description of a mentoring activity in addition to the performance measures which are related to the main focus area of the application. Mentors are adults who provide CNCS-sustained support to children or youth through school based programs. For school-based mentorships, count mentees in those matches that are intended to be continuous, with the same mentor for one hour per week (or as age-appropriate for older mentees), for at least 6 months of one school year. Mentoring relationships are ideally one mentor per child. In the grant application, the program should indicate how much time (i.e. how many days or hours) is required in order to

complete the activity. Only count the number of students who meet that threshold by the end of the program or activity. The amount of participation should be enough to influence the results.

## **CONTINUATION REQUESTS ONLY**

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Currently funded formula programs in New York State who hold AmeriCorps contracts with end dates after December 31, 2016, must submit their requests for continuation funding for either Year 2 or Year 3 of operation in eGrants.

The following instructions for submitting a continuation request apply only to programs that are currently in their first or second year of operation within a grant cycle. In addition, if you are in year two or three of a cost-reimbursement grant cycle, you need to submit a new application in eGrants to switch your budget model and to participate in the fixed-amount grant.

The Commission will consider expansion requests for continuing formula funding above the funding awarded for the current program year (2015-2016) total MSYs. Please follow the instructions for requesting expansion on page 34. Requests for expansion of MSYs must be justified in the "Continuation Changes" section of eGrants and must be reflected in an amended budget and performance measures. Any request for expansion of MSYs will be based on availability of funds for the expansion, the programmatic justification for the expansion, and the amended budget and performance measures. The Commission reserves the right to approve an expansion request in full; approve it in any part; or not to approve the request.

### **How to Submit Your Continuation Request:**

Click Continuation/Renewal on your eGrants home page. You will be shown a list of grants that are eligible to be continued. Select the grant you wish to continue. Make sure you select the correct one. Do not start a new application. The system will copy your most recently awarded application.

Edit your continuation application as directed in the continuation request instructions below. When you have completed your work, click the SUBMIT button.

If you have questions about the content of your continuation request, please contact your Program Officer.

What to Include in Your Continuation Request:

### **I. Applicant Info and Application Info**

Update the Applicant Info and Application Info Sections in eGrants if necessary. Note in the Continuation Changes field that you have updated the Applicant Info or Application Info Section(s).

#### **Application Info**

In the Application Info Section enter:

- Areas affected by your proposed program. Please include the two-letter abbreviation with both letters capitalized for each state where you plan to operate. Separate each two-letter state abbreviation with a comma. For city or county information, please follow each one with the two-letter capitalized state abbreviation.
- Requested project period start and end dates. The length of the project period is specified in the Notice.
- Enter Funding Type
- State Application Identifier: Enter N/A. The Application is Subject to Review by State Executive Order 12372 Process: This is pre-filled as "No, this is not applicable."
- Indicate Yes or No if you are delinquent on any federal debt. If yes, send explanation as described in Section V.E.
- Leave the box for "Program Initiative" blank unless otherwise noted in the Notice.

In the Funding/Demographics Section enter:

- Other Revenue funds. Enter the amount of funds that your program uses to run the program that are not CNCS share or match.

- Number of Episodic Volunteers Generated by AmeriCorps members. Please enter the number of volunteers that will be participating in one day service projects that the proposed AmeriCorps members will generate.
- Number of Ongoing Volunteers Generated by AmeriCorps members. Please enter the number of volunteers that have an ongoing volunteer commitment that the proposed AmeriCorps members will generate.
- Percentage of MSYs who are opportunity youth
- Number of reported in O15 who are opportunity youth
- Number of reported in O17 who are opportunity youth

In the Program Information Section:

General Information: select either Yes or No from the drop down menu: My organization has received an AmeriCorps State and National Grant. Organizations that have been a host site for AmeriCorps members but never had a direct grant relationship with either a State Commission or CNCS should answer No

- Opt in to the National Service Registry. Applicants wishing to make information from their application to potential private sector funders can opt in during the application process.

#### 2016 AmeriCorps Funding Priorities

Check any priority area(s) that apply to the proposed program continuation. In order to receive priority consideration, applicants must demonstrate that the priority area is a significant part of the program focus, high quality program design, and outcomes.

- Disaster Services
- Economic Opportunity – especially opportunity youth
- Education - improving student academic performance in Science, Technology, Engineering, and/or Mathematics (STEM) or addressing student and school need through School Turnaround AmeriCorps programming (see Glossary and Appendix) Environment – 21st Century Service corps
- Veterans and Military Families
- Programming that supports My Brother's Keeper
- Multi-focus Intermediary
- Safer Communities
- Next Generation AmeriCorps
- School Turnaround AmeriCorps
- Elder Justice AmeriCorps
- No NOFO priority area

#### Populations Served

(In eGrants) Check the appropriate box(es) to identify the populations the program serves. If your program does not serve any of the listed populations, select "None of the above."

- Individuals who are homeless.
- Adult ESL participants.
- Youth ESL participants.
- Disadvantaged youth (K-12).
- Head Start participants.
- Immigrants and refugees.
- Individuals receiving hospice or other care for terminal illness.
- Individuals receiving mental health services.
- Individuals receiving substance abuse services.
- Individuals with HIV/AIDS.
- Individuals with physical or developmental disabilities.
- Senior Citizens
- Victims/Survivors of violence and abuse.
- Veterans.
- Veteran family members
- Caregivers.
- None of the above

#### Grant Characteristics

(In eGrants) Check any grant characteristics that apply to your program:

- Encore Program
- Faith organizations
- Community-based organizations,
- SIG/Priority Schools
- Professional Corps
- STEM Program
- Geographic Focus – Urban
- Geographic Focus – Rural
- None of the above grant characteristics

Grant Characteristics:

AmeriCorps member Population – Communities of Color

AmeriCorps member Population – Low-income individuals

AmeriCorps member Population – Native Americans

AmeriCorps member Population – New Americans

AmeriCorps member Population – Older Americans

AmeriCorps member Population – People with Disabilities

AmeriCorps member Population – Rural Residents

AmeriCorps member Population – Veterans, Active Military, or their Families

AmeriCorps member Population – Economically disadvantaged young adults/Opportunity Youth

AmeriCorps member Population – None of the above categories

AmeriCorps Identity/Co-branding Questions. Check all that apply

## II. Narrative (Narratives Section)

Your original application will appear in the Executive Summary and in the narrative sections Rationale and Approach/Program Design, Organizational Capability, Cost-Effectiveness and Budget Adequacy, Evaluation Summary or Plan, Amendment Justification, Clarification Information, and Continuation Changes, as appropriate.

Do not enter continuation changes in the original narrative fields. If you are not proposing changes to your continuation request, simply leave your original narrative as it is, and enter No Changes in the Continuation Changes field.

Provide the following information in the Continuation Changes narrative field:

1. Identify whether this is a Year 2 or Year 3 continuation in the heading of this section.
2. Did the program enroll 100% of the slots in the last full year of program operation? If no, provide an explanation and describe the plan for improvement.
3. Did the program retain 100% of the members in the last full year of program operation? If no, provide an explanation, and describe the plan for improvement. CNCS recognizes retention rates may vary among equally effective programs depending on the program model but expects all grantees to pursue the highest retention rate possible.
4. Was the program 100% compliant with 30-day enrollment and exit requirements? If no, provide an explanation and the plan to ensure future compliance.
5. For national direct applicants: describe the manner and extent to which you consulted with the State Commission in the states in which you plan to operate (not applicable to Tribes or single state applications applying through state commissions).
6. Are you proposing a change in operating sites or service locations? This includes expansion to new sites. If yes, describe these changes and provide a justification for the change. The justification should include the need that will be met at any new sites, the activities of the members, and organizational capacity to support new sites.
7. Are you proposing a change in program scope or design? If yes, describe the change and provide a justification.



8. Are you requesting an expansion (increase in members, increase in funding, and/or an increase in cost/MSY)? Please note that continuation requests for increases in funding are rarely approved and are considered against the criteria outlined in the Notice and subject to available funding.

Continuation applicants requesting expansions should not modify performance measures and the application budget to reflect the increase. Instead, please respond to the questions below. If your continuation request is approved, you will be invited to modify your performance measures and budget accordingly.

a. What type of expansion is being requested (increase in members, increase in funding, and/or increase in cost per MSY)?

b. What is the level of increase being requested?

c. Provide a justification for the expansion. The justification should include an explanation of the problem/need that will be met, how or whether member activities will differ from those already included in the approved grant, and a description of the organizational capability to support the expansion, including the organizational staffing and experience to manage the expansion and ensure quality and compliant programming and member experience.

d. Provide a detailed description of how the expansion would change the application budget and a dollar amount of the total increase. Include any additional staffing that would be added, changes to member training, criminal history checks, etc.

e. Provide a detailed description of how the expansion would change the application performance measures. Indicate how the expansion will impact program outcomes and make the program more effective.

9. Are you proposing other changes not captured above? If yes, describe these changes and provide a justification for them.

The page limit for the Continuation Changes field is 6 pages, as the pages print out from eGrants.

**The Commission encourages programs submitting Continuation Requests for 2016-1017 to partner with the New York State Mentoring Program (NYSMP).** If you wish to do so, please provide a letter of partnership from the principal(s) of each school(s) where the mentors will be placed. NYSMP will partner you with a school or schools upon your request. Further information about NYSMP is available at <https://www.ny.gov/programs/new-york-state-mentoring-program>. Requests for partnership should be directed to [NYSMentoring@hesc.ny.gov](mailto:NYSMentoring@hesc.ny.gov). Additional information about the NYSMP program is attached as an appendix to this RFP.

Please note that should you wish to partner with NYSMP, your Continuation Request must also include a description in the narrative of your mentoring component in addition to the performance measures which are related to the main focus area of the application. You must also explain, in your narrative, your plans for meeting the requirements of the mentoring component by indicating how much time (i.e. how many days or hours) is required in order to complete the activity. Only count the number of students who meet that threshold by the end of the program or activity. The amount of participation should be enough to influence the results.

### **III. Performance Measures (Performance Measures Section)**

Applicants must check the relevant boxes in the Performance Measure tab in eGrants.

Grant Characteristics:

- AmeriCorps member Population – Communities of Color
- AmeriCorps member Population – Low-income individuals
- AmeriCorps member Population – Native Americans
- AmeriCorps member Population – New Americans
- AmeriCorps member Population – Older Americans
- AmeriCorps member Population – People with Disabilities
- AmeriCorps member Population – Rural Residents

- AmeriCorps member Population – Veterans, Active Military, or their Families
- AmeriCorps member Population – Economically disadvantaged young adults/Opportunity Youth
- AmeriCorps member Population – None of the above categories

Your performance measures are copied from your previous year's application into your continuation request. If you made changes to your program, such as adding or changing grant-funded activities, or requesting additional slots or MSYs, you may need to revise your performance measures. To revise performance measures, "View/Edit" the performance measures that copy over from your original application, or add new performance measures (see Attachment B for instructions). Note in the Continuation Changes field that you have updated your performance measures.

#### IV. Budget (Budget Section)

Your budget from the previous year's application is copied into your continuation request so you can make the necessary adjustments. Revise your detailed budget for the upcoming year. Incorporate any required increases, such as an increase to the member living allowance into your budget. Justify any increases not required. **The Corporation expects that the cost per MSY for continuation applicants will decrease or remain the same.** Any increase in cost per MSY must be justified in the Continuation Changes field.

#### Source of Match

In the "Source of Match" field that appears at the end of Budget Section III, enter a brief description of the Source of Match, the amount, the match classification (Cash, In-kind, or Not Available) and Match Source (State/Local, Federal, Private, Other) **for your entire match.** Define any acronyms the first time they are used.

#### V. Increasing Grantee Overall Share of Total Budgeted Costs

Grantees are required to meet an overall matching rate that increases over time. You have the flexibility to meet the overall match requirements in any of the three budget areas, as long as the minimum match of 24 percent for the first three years, and the increasing minimums in years thereafter, are maintained. See 45 CFR §§ 2521.35–2521.95 for the specific regulations and the chart in Section 2.16.

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

- **AmeriCorps Informational Technical Assistance Conference Call, Monday, May 18, 2016 at 1:00 PM EDT.** The conference call number is (866) 394-2346 Participant Code: 2539442268. **Note: The RFP is required pre-call reading material.**
- **Questions Must Be Submitted in Writing no later than Friday, May 20 at 5:00 PM EDT.** All inquiries to the Commission on National & Community Service concerning this RFP must be submitted in writing, and will be responded to in writing. E-mail should be sent to [AmeriCorpsRFP@NewYorkersVolunteer.ny.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.ny.gov) with the subject line "2016 AmeriCorps Formula RFP" or land mail may be addressed to: New York State Office of National & Community Service, 52 Washington Street, North Building - Suite #338 Rensselaer, New York 12144-2796, Attn: Stefanie Perez
- **Answers to Frequently Asked Questions** will be published no later than **Tuesday, May 24, 2016** on [www.newyorkersvolunteer.ny.gov](http://www.newyorkersvolunteer.ny.gov) and on the Online Bidders List.

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

OCFS is responsible for maintaining the safety of the youth in its care. State law requires that any client identifiable information be kept confidential. Any contractor who will provide goods and/or services to a residential facility or programs operated by OCFS must require all of its employees and volunteers who will have the potential for regular and substantial contact with youth in the care or custody of OCFS to complete and sign the [Contractor Employee and](#)

[Volunteer Background Certification – \(OCFS-4716\)](#) and [Confidentiality Non-Disclosure Agreement – \(OCFS-4715\)](#) forms. These forms must be completed before any such employees and/or volunteers are permitted access to youth in care or custody of OCFS, and/or any financial and/or client identifiable information concerning such youth. **The forms should be completed after the bidder has been awarded funding, during the contract development, and only if applicable.** For additional information see Attachment A-1, Section 3b. "[Confidentiality and Protection of Human Subjects](#)", **located in Section Six: Contract Documents – Attachment A-1, Agency Specific Terms and Conditions.**

## **2.6 Charities Registration - Not-for-Profit Corporations Only**

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

## **2.7 Federal Requirements (If Federally Funded)**

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

Attachment A-2, Federally Funded Grants is **located in Section Six: Contract Documents.**

## **2.8 Vendor Responsibility Requirements**

New York State Finance Law requires that state agencies award contracts to responsible contractors including but not limited to not-for-profit and for-profit vendors. Vendor Responsibility will be determined based on the information provided by the bidder on-line through the New York State VendRep System Questionnaire, or through a paper copy of the Vendor Responsibility Questionnaire. OCFS will review the information provided before making an award.

OCFS reserves the right to reject any proposal, if in the sole discretion, it determines the bidder is not a responsible vendor, or is not, or may not be, during the life of the contract, a stable financial entity. All proposals are subject to vendor responsibility determination before the award is made and such determination can be revisited at any point up to the final approval of the contract by OSC.

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

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

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

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

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

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

The New York State VendRep System offers the following benefits:

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

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

## 2.9 Workers Compensation Law

New York State Workers' Compensation Law (WCL) and Section 142 of the State Finance Law requires that businesses contracting with New York State HAVE and MAINTAIN workers' compensation and disability insurances. In the event that an award is made from this RFP, updated proof of coverage must be provided during contract development. Failure to submit the proof will delay the contract development process. Please note that the OSC has determined that municipalities are not required to show proof of coverage.

### Proof of Workers' Compensation Coverage

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

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

### Proof of Disability Benefits Coverage

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

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

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

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

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

Please note that the contractor payee name and address provided to OSC for the epay program must match exactly the contractor name and address contained in the contractor's contract with the New York State Office of Children and Family Services. If these do not match, then a check is printed and mailed to the payee. Note that limited exemptions may be granted for extenuating circumstances.

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

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

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

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

## **2.11 Organizational Chart**

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

## **2.12 OCFS Rights**

OCFS reserves the right to:

1. Place a monetary cap on the funding amount made in each contract award.
2. Change any of the schedule dates stated in this RFP.
3. Request all bidders who submitted proposals to present supplemental information clarifying their proposals either in writing or by formal presentation.
4. Require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal that may include an oral presentation of their proposal, and may be considered in the evaluation of the proposal.
5. Direct all bidders who submitted proposals to prepare modifications addressing RFP amendments and/or amend any part of this RFP with notification to all bidders. These actions are without liability to any bidder or other party, for expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP.
6. Make funding decisions that maximize compliance with and address the outcomes identified in this RFP.



7. Fund only one portion, or selected activities, of the selected bidder's proposal; and/or adopt all or part of the selected bidder's proposal based on federal and state requirements.
8. Eliminate any RFP requirements unmet by all bidders, upon notice to all parties that submitted proposals.
9. Waive procedural technicalities, or modify minor irregularities, in proposals received, after notification to the bidder involved.
10. Correct any arithmetic errors in any proposal, or make typographical corrections to proposals, with the concurrence of the bidder.
11. Negotiate with the selected bidder(s) prior to contract award.
12. Award contract to the next highest bidder, if contract negotiations with the selected bidder(s) cannot be accomplished within an acceptable time frame. No bidder will have any rights against OCFS arising from such actions.
13. Award contracts to more than one bidder, or to other than the lowest bidder.
14. Require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing.
15. Fund any or all of the proposals received in response to this RFP. However, issuance of this RFP does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted and reserves the right to withdraw or postpone this RFP, without notice, and without liability, to any bidder, or other party, for expenses incurred in the preparation of any proposals submitted in response to this RFP, and may exercise these rights at any time.
16. Use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract.
17. Make additional awards based on the remaining proposals submitted in response to this RFP and/or to provide additional funding to awardees if additional funds become available.
18. Make inquiries of third parties, including but not limited to bidders references, with regard to the applicants' experience, or other matters deemed relevant to the proposal by OCFS. By submitting a proposal in response to this RFP, the applicant gives its consent to any inquiry made by OCFS.
19. Require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information.
20. Consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals.

## **2.13 Iran Divestment Act**

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

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

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

**2.14 Encouraging Use of New York State Businesses in Contract Performance**

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

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

**See 2.3 Selection Criteria and Section 4.3 2016 APPLICATION INSTRUCTIONS**

<http://www.nationalservice.gov/documents/main-menu/2015/2016-application-instructions>

**2.16 Proposed Budget - Instructions**

**See Section 2.3 Selection Criteria and Section 4.3 2016 APPLICATION INSTRUCTIONS**

<http://www.nationalservice.gov/documents/main-menu/2015/2016-application-instructions>

## Section Three.... CONTRACT POLICY INFORMATION

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

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

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

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

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

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

For purposes of this solicitation, OCFS hereby establishes an overall goal of 30% for M/WBE participation. OCFS recommends that whenever practicable, Contractors attempt to equally utilize Minority-Owned Business Enterprises ("MBE") and Women-Owned Business Enterprises ("WBE") participation in the performance of the contract. It is expected that all Contractors make a good faith effort to utilize M/WBEs when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS, however strict adherence to the suggested MBE and WBE utilization is not mandatory as long as the overall 30% goal is met.

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

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



- Information on the Empire State Development Corporation and the Governor's M/WBE Program.

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

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

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

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

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

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

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

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

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

#### **Required Documentation**

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

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

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

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

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

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

### **3.2 Omnibus Procurement Act**

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

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

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

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

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

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

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

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

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

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

### **3.3 OCFS Procedure for Handling Formal Protests and Appeals**

Section 1: Applicability  
Section 2: Definitions  
Section 3: Informal Complaints  
Section 4: Formal Protest and Appeal Procedure  
Section 5: Appeal to Office of the State Comptroller

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

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

#### **Section 2: Definitions**

1. "Interested party" shall mean a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "Contract award" shall mean a written determination from OCFS to an offerer, indicating that OCFS has accepted the offerer's bid or offer.

3. "Formal Protest" shall mean a written challenge to a contract award by OCFS.
4. "Procurement" shall mean any method used to solicit or establish a contract (i.e., invitation for bid, request for proposal, single/sole source, etc.)
5. "Protesting party" is the party who is filing a protest to the bid, contract award, or other aspect of procurement.
6. "Formal protest determination" shall mean the determination of a formal protest by the Associate Commissioner for Financial Management of OCFS or his or her designee.
7. "Decision after appeal" shall mean the decision on the appeal of a formal protest by the Executive Deputy Commissioner of OCFS or his or her designee.

### **Section 3: Informal Complaints**

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

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

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

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

#### **A. Submission of Bid or Award Protests**

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

#### **B. Review and Formal Protest Determination**

1. Formal protests must be filed with the OCFS Associate Commissioner for Financial Management. Any protests filed with the OCFS Program Division responsible for the procurement will be forwarded to the Associate Commissioner for Financial Management. Copies of all formal protests will be provided by the Associate Commissioner for Financial Management to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Commissioner for Financial Management.
2. Formal protests shall be resolved through written correspondence; however, either the protesting party or OCFS may request a meeting to discuss a formal protest. Where further formal resolution is required, the program division responsible for the procurement may

designate a state employee not involved in the procurement ("designee") to determine and undertake the initial attempted resolution or settlement of any formal protest.

3. The OCFS program division responsible for the procurement will conduct a review of the records involved in the formal protest, and provide a memorandum to the Associate Commissioner for Financial Management or the Associate Commissioner's designee summarizing the facts, an analysis of the substance of the protest, and a preliminary recommendation including: (a) an evaluation of the findings and recommendations, (b) the materials presented by the protesting party and/or any materials required of or submitted by other bidders, (c) the results of any consultation with the OCFS Division of Legal Affairs, and (d) a draft response to the formal protest.
4. The OCFS Associate Commissioner for Financial Management or his or her designee shall hear and make a formal protest determination on all formal protests. A copy of the formal protest determination, stating the reason(s) upon which it is based and informing the protesting party of the right to appeal an unfavorable decision to the OCFS Executive Deputy Commissioner, shall be sent to the protesting party or its agent within thirty (30) business days of receipt of the formal protest, except that upon notice to the protesting party such period may be extended by OCFS. The formal protest determination will be recorded and included in the procurement record, or otherwise forwarded to the OSC.

#### C. Appeal of Formal Protest Determination

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

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

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

with a letter either: a) confirming the original OCFS recommendation for award(s); b) modifying the proposed award recommendation; or c) withdrawing the original award recommendation.

5. All records related to formal protests and appeals shall be retained for at least one (1) year following resolution of the formal protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention.

## **Section 5: Appeal to the Office of the State Comptroller**

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

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

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

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

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

## **Section Four.... KEY CONCEPTS**

### **4.1 2016 Notice of Funding Opportunity (NOFO)**

<http://www.nationalservice.gov/documents/main-menu/2015/2016-notice-funding-opportunity>

### **4.2 2016 Performance Measure Instructions**

<http://www.nationalservice.gov/documents/main-menu/2015/2016-performance-measure-instructions>

### **4.3 2016 APPLICATION INSTRUCTIONS**



<http://www.nationalservice.gov/documents/main-menu/2015/2016-application-instructions>

## SECTION FIVE...2016 NOTICE GLOSSARY

<http://www.nationalservice.gov/documents/funding-opportunities/2015/2016-notice-glossary>

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

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

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

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

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

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

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

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

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

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

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

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

**Project Work plan:** Steps to implement program -- Most relevant to new applicants or start-up.

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

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

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

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

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

## Section Six.... CONTRACT DOCUMENTS

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

[http://www.grantsreform.ny.gov/sites/default/files/docs/nys\\_master\\_contract\\_for\\_grants\\_8\\_14.pdf](http://www.grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.pdf)

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

## Application Cover Page – Agreement

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

<b>XIII. Congressional/Legislative District Information: (If Known)</b>					
Federal Congressional District(s):					
State Assembly District(s):					
State Senate District(s):					
<b>XIV. County:</b>					
<b>XV. Contact Person(s):</b>					
<b>Key Contacts</b>	<b>Name</b>	<b>Address</b>	<b>Telephone &amp; E-Mail Address **</b>	<b>Authorized to Sign Contracts</b>	<b>Authorized to Sign Vouchers</b>
Board Chairperson					
Chief Administrative Officer <sup>4</sup>					
Contract Contact					
Chief Fiscal Officer					
<b>**An E-mail address is required. If you do not have a personal e-mail address, please supply your Organization's shared e-mail address.</b>					

<sup>4</sup> The Chief Administrative Officer is defined as the person who is responsible for the contractor's overall administration, eg. Executive Director, County Executive, or Agency Commissioner

**See Section 2.15 above**  
**(Program Plan / Narrative including Objectives, Tasks and Performance Measures)**

Example of the Program Plan template format (Attachment C: Work Plan)

ATTACHMENT C – WORK PLAN

SUMMARY

PROJECT NAME:

CONTRACTOR SFS PAYEE NAME:

CONTRACT PERIOD:

From:

To:

Provide an overview of the project including goals, tasks, desired outcomes and performance measures:

Contract Number: #

Page 1 of 3, Attachment C – Work Plan



ATTACHMENT C – WORK PLAN  
DETAIL

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
1:		a.	i.
			ii.
			iii.
		b.	i.
			ii.
			iii.
		c.	i.
			ii.
			iii.

Contract Number: # \_\_\_\_\_  
Page 2 of 3, Attachment C – Work Plan

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
2:		a.	i.
			ii.
			iii.
		b.	i.
			ii.
			iii.
		c.	i.
			ii.
			iii.

Contract Number: # \_\_\_\_\_  
Page 3 of 3, Attachment C – Work Plan

