

**Addendum #2**  
**1/4/2019**

RFA # 18093 / Grants Gateway # DOH01-ATFC2-2019

New York State Department of Health  
*Division of Chronic Disease Prevention*  
*Bureau of Tobacco Control*

Request for Applications  
*Advancing Tobacco-Free Communities*

**Grant Gateway Work Plan Properties Issue**

On 1/3/19, the below information was emailed from the Bureau of Tobacco Control [TCP@health.ny.gov](mailto:TCP@health.ny.gov) to all organizations who have been or currently are working on a grant applicant for the Advancing Tobacco-Free Communities program.

An issue has been identified in the Work Plan Properties that may impact the submission of your application, and this email will help you address this issue.

The Work Plan Properties screen has a limit of 90 total Performance Measures. While some of the Tasks and Performance Measures are optional, the system may require an entry in the Tasks or Performance Measures for those optional items. Adding entries for these items, or other additional Tasks and Performance Measures may make your application reach the 90 Performance Measure limit.

If your application reaches the 90 Performance Measure limit, you may receive a Page Error at the top of the Work Plan Properties page noting that you have reached the limit, or noting "String or binary data would be truncated." In this case, please ensure that you have at most 90 Performance Measures entered in the Grants Gateway. We will accept more Tasks and Performance Measures in a separate document that you can attach to the Grantee Document Folder which is found near the bottom of the Forms Menu. To do this, please enter the additional Objectives, Tasks, and Performance Measures in a separate Word or Excel document and save as a PDF. Then upload that document in the Grantee Document Folder, explaining in the Description and Comments field that these are additional Work Plan items.

How to count the number of Performance Measures you have entered:

On the Work Plan Properties page, you can do a “find” by hitting CTRL-F and search for the string “Measure Narrative” (without the quotes). This will show how many entries have that string of words, and only Performance Measures will have them. In the example below, there are 90 matches, indicating that the application has reached the maximum number of Performance Measures.

A screenshot of a search interface. On the left, there is a close button (X) and the text 'Find:'. To the right of this is a text input field containing the text 'measure narrative'. Further right are the words 'Previous' and 'Next' separated by a vertical line. To their right is a small icon of a notepad and pencil, followed by the text 'Options' and a downward-pointing triangle. Finally, on the far right, there is a vertical line followed by the text '90 matches'.

It is strongly advised that you submit your application well in advance of the 4:00 PM deadline on 1/7/2019 in case you run into this or other issues. If you do encounter issues with your submission prior to the deadline, please contact the Grants Gateway Help Desk at 518-474-5595.

## **Addendum #1**

### **RFA # 18093/ Grants Gateway # DOH01-ATFC2-2019**

**New York State Department of Health**  
*Division of Chronic Disease Prevention*  
*Bureau of Tobacco Control*

**Request for Applications**  
***Advancing Tobacco-Free Communities***

The New York State Grants Management Team redesigned their main webpage (<https://grantsmanagement.ny.gov/>) effective Tuesday, December 4, 2018. This redesign resulted in updates to hyperlinks contained in the above RFA.

Potential applicants should view the full RFA/Opportunity document again. The old hyperlinks are red-lined out and the new hyperlinks are listed.

Any questions, please reach out to the DOH contact for the RFA.

The following are official modifications, which are hereby incorporated into the New York State Department of Health, Advancing Tobacco-Free Communities, issued November 13, 2018. The information contained in this amendment prevails over the original RFA language. For all amendments below, deleted language appears in strikethrough ("~~xxx~~") and added language appears in underline ("xxx").

Page 12, III. Project Narrative/Work Plan Outcomes, A. Grant Deliverables, 6. Local Data Collection Project:

Each contractor will propose and execute a local data collection and reporting project annually. Programs will dedicate 5 to 10 percent of ~~grant funds~~ effort to local data collection and reporting to contribute to the achievement of tobacco control program objectives and goals. Contractors will participate in data collection and reporting trainings provided by the Department, will work with TCP evaluation specialists to develop and implement appropriate data collection methodologies, which includes proposing and seeking approval for each annual data collection project. Contractors will also cooperate with the Program's independent evaluation contractor, to provide information and implement studies conducted to assess the impact of the TCP or its components on tobacco use, attitudes and related behaviors. Contractors will utilize data collection findings to further inform local programming and educational efforts in the community.

- The Contractor will be required to use grant funds to support a minimum of 1.0 FTE responsible for coordinating and managing the day-to-day operations of community engagement, and building, coordinating and guiding work to accomplish science-based tobacco control action consistent with the Department goals.
- The Contractor will be required to use grant funds to support a minimum of 1.0 FTE responsible for coordinating and managing the youth action element, responsible for managing the day-to day-operations of youth action; interfacing with youth, community members, organizations and decision-makers at every level; and motivating and leading youth in tobacco control interventions.
- The required lead coordinator positions for community engagement and youth action must be structured at the same level within the funded organization. One position may not oversee the other and a high level of cooperative planning among the two coordinators is expected.

**The below bullet has been added:**

- The minimum staffing requirements stated in the RFA are intended for all catchment areas excluding New York City. Applications for the New York City catchment area are required to have a staffing structure that includes the above requirements, per borough, rather than per contract. Therefore, the applications for New York City should include, at a minimum, 5.0 FTE for the CE leads, 5.0 FTE for the RC leads and 1.0 FTE for the Director position, with the Director providing supervision and oversight of all RC and CE leads across all five boroughs.

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**New York State Department of Health**  
*Division of Chronic Disease Prevention*  
*Bureau of Tobacco Control*

**Request for Applications**

*Advancing Tobacco-Free Communities*

*KEY DATES:*

<b>Release Date:</b>	<b>11/13/2018</b>
<b>Letter of Interest/Intent Due:</b>	<b>11/26/2018</b>
<b>Applicant Conference Registration Deadline:</b>	<b>11/26/2018</b>
<b>Applicant Conference:</b>	<b>11/27/2018; 11am – 12:30pm</b>
<b>Questions Due:</b>	<b>11/27/2018</b>
<b>Questions, Answers and Updates Posted (on or about):</b>	<b>12/12/2018</b>
<b>Applications Due:</b>	<b>1/7/2019 by 4:00pm</b>
<b>DOH Contact Name &amp; Address:</b>	<b>Debbie Spinoso NYS Bureau of Tobacco Control Empire State Plaza Corning Tower, Room 1055 Albany NY 12237 Email: TCP@health.ny.gov</b>

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# **I. Introduction**

## **A. Intent**

The New York State Department of Health (Department) Tobacco Control Program (TCP) seeks applications from organizations for the Advancing Tobacco-Free Communities (ATFC) initiative that will foster environments supportive of policies that reinforce the tobacco-free norm in communities throughout New York State (NYS). This approach to chronic disease prevention utilizes a community-based strategy which includes community education, community mobilization, government policy maker education, and advocacy with organizational decision makers to create local environments that are receptive to or demand policy change. The efforts of these contractors will support the prevention and reduction of tobacco use through strategic youth action and community engagement efforts. Up to 21 awards will be made, one in each of the 21 catchment areas, as listed in Section I.D.3.

Under this Request for Applications (RFA), the Department seeks to develop a statewide network of core contractors, covering all counties in NYS. Each contractor will use a bilateral approach that combines elements of community engagement and youth action (the latter branded as Reality Check) under a single contractor.

Core Awardees will:

- Organize as formal coalitions or as a network of community members and organizations.
- Engage community members, including youth, and leverage resources from the community to advance local and statewide tobacco control action.
- Engage local stakeholders, educate community leaders and the public, and mobilize community members and organizations to strengthen tobacco-related policies (both organizational and municipal) that prevent and reduce tobacco use, reduce youth exposure to harmful tobacco marketing in retail settings, limit tobacco industry manipulation of the retail environment, limit exposure to secondhand smoke, and reduce smoking imagery through the media.
- Administer a youth-oriented component called Reality Check (RC). RC will engage a core group of youth ages 13-18 in action-oriented activities and impart the necessary leadership skills to engage in policy-related tobacco control work of the contract. Youth will be involved through a supportive peer group, working with adult guidance, to work toward the overall goals of the contract.
- Coordinate and collaborate between the two elements (community engagement and youth action), with an aim of improving the health status of communities by changing community policies and norms about tobacco and tobacco use.

Core Awardees will implement strategies across communities that will lead to the following outcomes:

- Reduce the impact of retail tobacco marketing on youth and adults, especially those disparately-affected populations.
- Increase opportunities for tobacco-free outdoor areas.
- Reduce secondhand smoke exposure in multi-unit housing.
- Reduce tobacco imagery in youth-rated movies.
- Advance tobacco-free norms, through promising/emerging tobacco control initiatives, with Health Department approval.

The TCP is committed to the elimination of health inequities in its target population. In tobacco control, the demographic groups most negatively affected by tobacco are those persons who are

economically disadvantaged, have mental illness or substance use disorders, or have physical disabilities. Other groups may also be disparately affected by tobacco use. Throughout the various components of this application (Program Narrative, Objectives, and Work Plan), applicants are required to:

- 1) Explain the extent to which health disparities and/or health inequities are manifested within the problem addressed by this funding opportunity. This includes the identification of specific group(s) which experiences a disproportionate burden of disease or health condition in your catchment area (this information must be supported by data);
- 2) Explain how specific social and environmental conditions (social determinants of health) put groups who are already disadvantaged at increased risk for health inequities; and
- 3) Explain how proposed program interventions will address these problems.

#### Optional Component – Statewide Administrative Coordinator:

One organization, funded under this RFA, to provide core Advancing Tobacco-Free services described above, will be awarded up to an additional \$125,000 annually to support agency expenses for a 1.0 FTE Administrative Coordinator, employed by the applicant to provide fiscal management, logistical support and statewide coordination for statewide activities that involve all ATFC grants.

Responsibilities include (but not be limited to) the following:

- Be the fiscal agent and procurement lead for the required statewide collaborative media campaign:
  - Liaise with contracted media agency for fiscal and creative development.
  - Provide coordination for statewide website and social media maintenance.
- Be the fiscal agent and logistics lead for the annual RC Youth Summit
- Provide logistics and administrative leadership for Youth Advocate of the Year awards.
- Be the fiscal agent and logistics lead for optional statewide coordinator/youth trainings outside of TCP-organized training program.
- Coordinate planning committees for other statewide activities.

## **B. Background**

The Department envisions a tobacco-free society for all New Yorkers. The Bureau of Tobacco Control administers the state's TCP to reduce illness, disability and death related to tobacco use and secondhand smoke exposure, and to alleviate the social and economic burdens caused by tobacco use. TCP uses an evidence-based, policy-driven and cost-effective approach to decrease tobacco initiation by youth, motivate adult smokers to quit and eliminate exposure to secondhand smoke. The components of TCP's comprehensive program include tobacco-free communities, health systems that facilitate tobacco dependence treatment, cessation support and services, and media. The TCP uses the most current public health surveillance, program evaluation and research findings to drive program activities, works collaboratively with state and national partners to meet program goals, promotes policy change through evidence-based strategies that alter social norms and makes tobacco less desirable, less acceptable and less accessible, and systematically evaluates its efforts to maximize impact and improve outcomes.



### C. Statement of the Problem

Tobacco addiction is the leading preventable cause of morbidity and mortality in NYS and the United States. Cigarette use alone results in an estimated 480,000 deaths each year in the United States, and approximately 28,000 deaths in NYS. The list of illnesses caused by tobacco use is long and contains many of the most common causes of death, including 16 types of cancer; heart disease; stroke; chronic obstructive pulmonary disease and other lung diseases.

The economic costs of tobacco use in NYS are staggering. Smoking-attributable health care costs are \$10.4 billion annually, including \$3.3 billion in annual Medicaid expenditures. In addition, smoking-related illnesses result in \$6 billion in lost productivity. Reducing tobacco use has the potential to save NYS taxpayers billions of dollars every year.

Although there have been substantial reductions in adult smoking in NYS, some tobacco use disparities have become more pronounced over the past decade. Smoking rates among low-socioeconomic status adults and adults with poor mental health are generally higher than among the general population. Despite this ongoing inequity, these groups have benefited from NYS's tobacco control approach.

Certain groups in NYS face significant barriers to achieving a healthy lifestyle. Health disparities occur when demographic groups experience more disease, death or disability beyond what would normally be expected based on their relative size in the population. Health disparities are often characterized by such measures as disproportionate incidence, prevalence and/or mortality rates of diseases or health conditions. In NYS, the populations disproportionately affected by tobacco use include those with the lowest incomes, the least educated, and those with disabilities including mental illness and substance use disorders. Health is also determined by where people live, work and play and can occur because of race/ethnicity, sexual orientation, gender, geographic location or some combination of these factors. Those most effected by health disparities also tend to have reduced access to resources like healthy food, good housing, good education, safe neighborhoods, freedom from racism and other forms of discrimination. These are the **social determinants of health** and the systematic and unequal distribution of social determinants can result in negative health outcomes, or **health inequities**. **Health equity** is the opportunity for everyone to reach their full health potential, regardless of any socially determined circumstance. In tobacco control, health equity refers to the opportunity for all people to live a healthy, tobacco-free life, regardless of race, level of education, gender identity, sexual orientation, occupation, neighborhood or disability status (Centers for Disease Control and Prevention [CDC], Health Equity in Tobacco Prevention and Control). Tobacco control programs that incorporate social determinants into the planning and implementation of interventions will greatly contribute to the elimination of health inequities.

### D. Available Funding and Anticipated Awards

#### 1) Number of Awards

To ensure statewide coverage, one core award to the highest scoring applicant will be made in each of the 21 catchment areas (Table 1 below). Awards will be made for a five-year period anticipated to begin July 1, 2019 and end June 30, 2024. One award will include the Statewide Administrative Coordination component. This component and funding will be awarded to the core awardee with the highest combined score (core + optional) regardless of catchment area.

## 2) Contracts

The TCP will award one State contract per catchment area. Organizations applying to serve more than one catchment area must submit separate applications for each catchment area. Organizations receiving awards for more than one catchment area will receive separate and distinct contracts for each.

## 3) Available Funding

The total anticipated annual funding to support this initiative is \$9,275,000, for an anticipated five-year value of \$46,375,000.

Table 1 below provides annual funding levels for the core work for each catchment area. Funding levels range across five tiers, from \$300,000 for the least populated catchment areas to \$2,000,000 for the most populated catchment area. Additionally, funding for the Statewide Administrative Coordinator will be \$125,000 per year.

Catchment areas define the geographic region in which Tobacco-Free Communities activities will occur. Organizations may apply to serve the catchment areas listed below. It is required that applicants serve the entire catchment area.

<b>Table 1</b>			
	<b>Catchment Area</b>	<b>Maximum Annual Funding (Core)</b>	<b>Maximum Annual Statewide Administrative Coordinator (Optional)</b>
	Bronx, Kings, Queens, New York, Richmond	\$2,000,000	\$125,000
	Nassau, Suffolk	\$500,000	
	Putnam, Orange, Westchester, Rockland	\$500,000	
	Erie, Niagara	\$400,000	
	Monroe, Livingston	\$400,000	
	Cayuga, Onondaga, Oswego	\$400,000	
	Albany, Rensselaer, Schenectady	\$400,000	
	Dutchess, Sullivan, Ulster	\$400,000	
	Madison, Herkimer, Oneida	\$325,000	
	Saratoga, Warren, Washington	\$325,000	
	Allegany, Cattaraugus, Chautauqua	\$325,000	
	Yates, Ontario, Seneca, Wayne	\$325,000	
	Jefferson, Lewis, Saint Lawrence	\$325,000	
	Broome, Tioga	\$325,000	
	Tompkins, Cortland, Chenango	\$325,000	
	Schuyler, Steuben, Chemung	\$325,000	
	Clinton, Essex, Franklin	\$325,000	
	Wyoming, Genesee, Orleans	\$325,000	
	Delaware, Otsego, Schoharie	\$300,000	
	Columbia, Greene	\$300,000	
	Fulton, Montgomery, Hamilton	\$300,000	

It is the intent of the RFA to provide services to all counties within NYS. The application catchment area is to be specified on Attachment 5, Application Cover Sheet and uploaded to Pre-Submission Uploads section in the NYS Grants Gateway prior to application submission. The Department reserves the right to redefine the catchment areas to ensure statewide program coverage. Contract funding to newly Department-defined catchment areas will be modified accordingly.

## II. Who May Apply

### A. Minimum Eligibility: Eligible applicants are:

1. Nonprofit organizations and municipal agencies located in NYS including but not limited to: local government and public health agencies, health care systems, primary care networks, academic institutions, youth-focused agencies, community-based organizations, volunteer associations and professional associations.
2. In Document Vault Prequalified status at the time of application due date within the NYS Grants Gateway (unless exempt from prequalification). See IV. Administrative Requirements, M. Vendor Prequalification for Not-for-Profits for additional information.
3. Those that propose to serve only one catchment area listed in Table 1.
4. Applicants that are both the fiscal agency and the lead agency responsible for implementing the work described in this RFA. The applicant should perform a substantial role in carrying out the project and not merely serve as a conduit for an award to another organization that is eligible.

Applications will only be accepted from organizations that meet the minimum eligibility criteria. Applications that propose to serve only a portion of the county, borough or counties in their selected catchment area, or, that propose to service additional counties or boroughs outside of their selected catchment area, may be rejected. All core (required) personnel should be employed by the applicant and cannot be subcontracted (core personnel are defined in the staffing Section III. B. 4). Applicants may subcontract components of the scope of work (e.g., evaluation, media, and information technology), but should retain a majority of the work in dollar value (more than 50%) of the contract within the applicant organization. Major components of the work plan cannot be subcontracted (the primary contractor will retain more than 50% effort). Applicants that propose to sub-contract should identify subcontracting agencies, if known, during the application process. Applicants that plan to subcontract should state in the application which components of the work plan will be performed through a subcontract. Applicants should note that the lead organization (contractor) will have overall responsibility for all contract activities, including those performed by subcontractors, and will be the primary contact for the NYSDOH. All subcontractors must be approved by the Department post award, prior to establishing subcontracts.

Applicants are required to have written policy establishing a 100% tobacco-free worksite facility, including outdoor areas under control of the applicant, or commit to implementing such a policy within one-year of receiving the notice of award. Applicants should complete, sign and upload Attachment 9, Tobacco-Free Policies Attestation in Pre-Submission Uploads. The Tobacco-Free Policies Attestation is a requirement for award.

In addition, applicants should read Section IV. Administrative Requirements, P. Refusal of Funds from Tobacco-related Entities for additional contract requirements related to tobacco. The sample New

York State Master Grant Contract for this funding opportunity can be viewed within the Forms Menu of your application in the NYS Grants Gateway. Attachment A-1, Part B includes the Refusal of Funds from Tobacco-related Entities clause.

**Eligible applicants may apply for more than one catchment area, but must submit a separate application for each catchment area. Applications proposing to serve more than one catchment area may be rejected.**

**B. Preferred Eligibility:** Preference will be given to applicants that:

1. Demonstrate an understanding of health equity and its importance.
2. Describe experience with cultural competence, including working with disproportionately affected target populations.
3. Describe experience working with partners, including youth, to address health-related problems across multiple sectors from multiple agencies/organizations.
4. Describe at least three years of experience conducting policy work, community advocacy, community planning and community organizing, including public communication campaigns, that result in policy/environmental change(s).
5. Describe at least two years of experience with administrative, fiscal and programmatic oversight of government contracts, including timely and accurate submission of fiscal and program reports.

**C. Optional Statewide Administrative Coordinator Funding Eligibility:**

To be eligible to receive the \$125,000 annual funding, applicants must meet all of the minimum eligibility requirements, must apply for core funding and be awarded at least one core funding catchment area.

If an applicant submits applications for multiple catchment areas, Statewide Administrative Coordinator component funding applications will ONLY be considered if they are included as part of an awarded application. The Department reserves the right to determine the awardee for supplemental funding in the event of a tie score.

### **III. Project Narrative/Work Plan Outcomes**

Contractors may subcontract components of the scope of work (subcontract may not exceed 50% of the budget, and may not contract out a majority of the work.). For those applicants that propose subcontracting, it is preferable to identify subcontracting agencies during the application process. Applicants that plan to subcontract are expected to state in the application the specific components of the scope of work to be performed through subcontracts. Applicants should note that the lead organization (contractor) will have overall responsibility for all contract activities, including those performed by subcontractors, and will be the primary contact for the Department. All subcontractors should be approved by the Department.

#### **A. Grant Deliverables**

Please refer to Attachment 1, BTC Work Plan Standards Guidance, which outlines specific expectations for meeting all deliverables. All strategies used to meet deliverable requirements should

incorporate the principles of community engagement, community mobilization and youth involvement. ATFC-required deliverables, along with the approximate percent of effort (ranges), are summarized below and should total 100% effort. These ranges are for guidance purposes when mapping out deliverables.

1) Retail Environment	20% - 45%
2) Tobacco-Free Outdoors	10% - 20%
3) Smoke-Free Housing	10% - 30%
4) Smoke-Free Movies	5% - 10%
5) Sustainability	10%
6) Local Data Collection Project	5%-10%
7) Local Level Disparities Activity	1- 5%
8) Promising/Emerging Tobacco Control Priorities Activity	0-5%

While the percent of effort estimates are broad, priority should be given to Retail Environment work. Only applicants with catchment areas that currently have extensive existing retail regulations should anticipate an effort below 30%. For instance, if the entire catchment area already has retail regulations that restrict tobacco sales in pharmacies, limit the number of retailers in a community (density) and restrict multipack discounts and the redemption of coupons, they could anticipate an effort below 30%.

To achieve success in each of the above deliverables, contractors are expected to engage in several strategies across the initiatives. They include the following and are discussed in detail in the BTC Work Plan Guidance Document (Attachment 1, BTC Work Plan Standards Guidance):

- a. *Community Education* - Community education refers to conducting activities that educate the public (or subsets of the public) about tobacco control issues with the intention of influencing individual opinions, beliefs and behaviors. Community education includes discrete events, earned and paid media, and other types of information dissemination. Successful community education will ensure there is public support for tobacco control policies; will help mobilize the community to voice its support for tobacco control policies; and will help educate policy-makers about the issue.
- b. *Community Mobilization* - Community mobilization refers to engaging influential community members and organizations to publicly support and call for actions that advance tobacco control policies. Community mobilization refers to engaging interested partners, and other influential community members and organizations, to advance community education and government policy-maker education efforts. Successful community mobilization will ensure that there is broad engagement from constituents, including community leaders and organizations, to actively support tobacco control efforts.
- c. *Government Policy-Maker Education* - Government policy-maker education refers to educating local, state, regional or national policy-makers about tobacco issues, the public health benefits of policy action, and the experiences of communities that have adopted policy change. As with all activities implemented by TCP contractors, all lobbying is **expressly prohibited**.
- d. *Advocating with Organizational Decision-Makers* - Advocating with organizational decision-makers refers to strategies undertaken to change organizations' policies, programs, or practices. This includes identifying and empowering champions within these organizations who are committed to policy change. It also includes technical assistance provided to decision-makers in the adoption of smoke-free policies. Successfully advocating with organizational decision-makers will ensure that decision-makers are taking meaningful, verifiable and sustainable action in support of tobacco control policies.

- e. *Paid Media* - Activities are focused on a collaborative statewide media campaign that is designed to educate the public about the harms caused by tobacco and retail tobacco marketing and provide a call to action for the public to respond to this issue. The statewide media campaign message, creative, and placement plan will be led by the agency awarded supplemental funding. The statewide campaign's messaging builds support for multiple policy options at the local and state level. Contractors are not expected to provide individual media proposals as part of the application. However, as an optional strategy and if funds permit, contractors can place local paid media to advance the local initiatives and to recognize municipalities that adopt strong policies.

## **1) Retail Environment**

**Primary Priorities: 20-40% of Effort**

**Secondary Priority: 0-5% of Effort**

**Total: 20 - 45% of Effort**

The tobacco industry spends billions of dollars to market its deadly products in stores including: paying retailers to prominently display tobacco products, in-store marketing, price discounts, and other in-store promotions. Exposure to tobacco marketing in stores is a primary cause of youth smoking. Every day children are exposed to prominent tobacco displays at the cash register, price promotions, flavored products and other excessive tobacco marketing/promotions at tobacco retailers throughout the community. To protect children, communities should reduce youth exposure to in-store tobacco marketing, keep the price of tobacco products high, and reduce the availability of flavored products that appeal to children.

Contractors will implement actions to address the impact of tobacco marketing, price promotion and flavors in the retail environment and continue NYS tobacco control program work to de-normalize and deglamorize tobacco use. Contractors will devote approximately 20 - 40 percent of effort to the primary Retail Environment priority areas via the strategies listed below. Primary priorities include a) restricting the density of tobacco retailers, b) keeping the price of tobacco products high, and c) prohibiting the sale of flavored tobacco products. On an annual basis, Contractors will work toward creating at least one local environment open to policy change in one of the priority areas.

Applicants may also choose to select a secondary retail environment priority with 0-5% of additional retail environment effort dedicated to this work. Secondary priorities might include but are not limited to increasing the legal age of purchase to 21 or other policy interventions that address the marketing, sale, packaging, etc. of tobacco products in the retail environment and require Department approval.

### **Required Strategies:**

- Community Education
- Community Mobilization
- Government Policy-Maker Education
- Paid Media

## **2) Tobacco-Free Outdoors (TFO)**

**10-20 Percent of Effort**

Tobacco use in outdoor areas such as parks, playgrounds and beaches, presents a health risk to non-smoking adults and children, is not consistent with the tobacco-free norm in New York State, and is dangerous to the environment. Municipalities and employers can keep outdoor areas free of pollution,

protect children and animals from ingesting toxic cigarette butts, prevent exposure to secondhand smoke and maintain the tobacco-free norm.

Contractors will implement actions to reduce or eliminate tobacco use in outdoor areas and continue NYS tobacco control program work to de-normalize tobacco use. Contractors will devote approximately 10-20 percent of effort to the tobacco-free outdoor strategies listed below, depending on the extent to which TFO needs exist in the catchment area. Contractors will work to create environments that demand policy change in two municipalities, and assist with the adoption of a minimum of two voluntary policies per year. Contractors will work with the Department to choose an appropriate annual target number of voluntary policies.

Required TFO Strategies:

- Community Education
- Community Mobilization
- Government Policy-Maker Education
- Advocating with Organizational Decision-Makers
- Paid Media

### **3) Smoke-Free Multi-Unit Housing**

**10-30 Percent of Effort**

Note: While the percent of effort estimates are broad, only applicants with catchment areas that currently have a high percentage of multi-unit housing that has already gone smoke-free should anticipate an effort below 30%. Grantees should also consider the status of smoke-free policies at state and federally-funded public housing, and whether technical assistance is still necessary after the adoption of smoke-free policies as part of this deliverable.

Exposure to secondhand smoke (SHS) is linked to heart disease, cancer, and other chronic illnesses in non-smokers. SHS drifts from smokers' apartments to those of non-smokers, forcing many apartment, co-op, condo, and public housing residents to breathe secondhand smoke. To protect non-smoking residents from exposure to SHS, multi-unit dwelling management companies and landlords should adopt smoke-free multi-unit housing policies.

Contractors will implement actions to promote smoke-free policies in multi-unit housing, with a strong emphasis on policies that protect the health of low-income residents. Contractors will devote approximately 10-30 percent of effort to the smoke-free housing strategies listed below, depending on the need for multi-unit smoke-free housing support in their catchment area. Contractors will work with the Department to choose an appropriate annual target number of new smoke-free units.

Required Strategies:

- Community Education
- Community Mobilization
- Government Policy-Maker Education
- Advocating with Organizational Decision-Makers
- Paid Media (optional)

#### **4) Smoke-Free Movies**

#### **5 - 10 Percent of Effort**

Research shows that smoking in movies affects teen perceptions of smoking norms and raises the likelihood of youth initiation. Youth consumption of media continues to rise, thus also increasing the level of exposure to tobacco images each year. To protect children, the Motion Picture Association of America (MPAA) should remove tobacco imagery from youth-rated films and the public should be made aware of the effect of tobacco imagery on youth initiation.

Contractors will implement actions by working with youth in the community to promote the adoption of an MPAA policy that reduces tobacco use imagery in youth-rated movies. Smoke-Free Movies is a focus for the Reality Check component only. Contractors will devote approximately 5-10 percent of effort to the smoke-free movies strategies listed below.

Required Strategies:

- Community Education
- Community Mobilization
- Government Policy-Maker Education
- Advocating with Organizational Decision-Makers
- Paid Media (optional)

#### **5) Sustainability**

#### **10 Percent of Effort**

Sustainability refers to the implementation of activities designed to increase community awareness of tobacco control programs, highlight the burden of the tobacco epidemic in our communities, and demonstrate tobacco control's success in preventing and reducing tobacco use. Contractors will devote approximately 10 percent of effort to effectively engage in select educational activities as determined by the Department.

#### **6) Local Data Collection Project**

#### **5-10 Percent of Effort**

Each contractor will propose and execute a local data collection and reporting project annually. Programs will dedicate 5 to 10 percent of grant funds to local data collection and reporting to contribute to the achievement of tobacco control program objectives and goals. Contractors will participate in data collection and reporting trainings provided by the Department, will work with TCP evaluation specialists to develop and implement appropriate data collection methodologies, which includes proposing and seeking approval for each annual data collection project. Contractors will also cooperate with the Program's independent evaluation contractor, to provide information and implement studies conducted to assess the impact of the TCP or its components on tobacco use, attitudes and related behaviors. Contractors will utilize data collection findings to further inform local programming and educational efforts in the community.

#### **7) Local Level Disparities Activity**

#### **1 to 5 Percent of Effort**

Contractors are required to dedicate 1 to 5 percent of effort toward a local level activity that aims to further reduce tobacco use disparities among a specific sub-population in the catchment area. The proposed activity should relate to at least one of the required deliverables (1-4) noted above and should be approved by the Department.



Each contractor may choose to address this activity on its own, or may choose to address this effort directly within the other initiative work.

## **8) Promising/Emerging Interventions**

**0 to 5 Percent of Effort**

Contractors may, *with Department approval*, choose to dedicate 5 percent of additional effort toward a local level activity that aims to further reduce the burden of tobacco use in their local communities. Work in this area should focus on promising interventions and/or emerging tobacco-control topics such as E-Cigarette marketing, developing tobacco technologies (e.g., heat-not-burn) or other areas of concern in the tobacco control community.

## **9) Additional Requirements for All Contractors**

### **a. General Collaboration and Communication**

- Contractors will develop and maintain active partnerships that support the mission of reducing morbidity and mortality and alleviating the social and economic burden caused by tobacco use in NYS.
- Contractors will develop and maintain effective communication systems with partners at the state, regional and local level.
- Contractors should include youth, diverse organizations and interest groups with responsibilities and interests related to the prevention and reduction of tobacco use.

### **b. Community Engagement (CE) Component**

- Contractors may employ a traditional coalition model for governing and decision-making or may choose to organize partnership activities according to a different structure.
- Under any proposed structure, contractors should include advocacy partners, voluntary health organizations, universities, hospitals, youth-focused organizations, mental health providers, local health departments, organizations that represent diverse communities, community-based organizations, trade organizations, statewide and local partners, health boards, commissions, and advisory groups with responsibilities related to tobacco control, as needed to achieve Department goals and objectives.
- Contractors will ensure that the partnership model incorporates systems that empower and motivate members to achieve strong performance standards.

### **c. Youth Action Component (Reality Check - RC)**

- Youth, under clear adult guidance, will participate in all the work plan deliverables. Contractors will ensure that a core group of youth is maintained to carry out activities associated with the Reality Check initiatives, and also to support as appropriate the work of Community Engagement.
- Contractors will develop a plan to recruit youth between the ages of 13 and 18 years old who are interested in participating in tobacco control social action activities in their communities. Activities should be focused on recruiting and retaining a limited number of youth who can actively participate in achieving contract deliverables.
- Contractors will provide training and technical assistance to RC youth to build their capacity to engage in the work. Youth skill interacting with adults in formal situations varies widely and the contractors should assess the needs of their RC youth. Improving youth skill for this work is an important RC activity. Training may include but is not limited to: facts about tobacco industry tactics, public speaking, engaging with decision

makers in formal meetings, writing, engaging with the media, planning community events, etc.

- Contractors will clearly define the roles of teens and staff in the program. Experience has demonstrated that in the most successful youth programs, the roles are divided with teens acting as educators and advocates, interacting with media, policy makers, and community members, and planning and carrying out specific programs, thereby enhancing the overall effectiveness of the grantee. Adults identify the parameters of the project, facilitate planning and help keep teens on track, and provide logistical support and training so the teens will succeed at their activities.

#### **d. Staffing**

- Contractors should identify and hire staff with the appropriate competencies to implement the full range of activities for which they are applying.
- The staffing pattern should be sufficient to manage tobacco-control community engagement and RC work and should provide information to demonstrate that management staff is at a level within the agency to affect decision making related to the two elements of this work (community engagement and youth action).
- The Contractor is responsible for ensuring all program deliverables are met.
- The Contractor will review and approve annual work plans, monthly reports, other required reports submitted to the Department, and attend all site visits.
- The Contractor will be required to use grant funds to support a minimum of 1.0 FTE responsible for coordinating and managing the day-to-day operations of community engagement, and building, coordinating and guiding work to accomplish science-based tobacco control action consistent with the Department goals.
- The Contractor will be required to use grant funds to support a minimum of 1.0 FTE responsible for coordinating and managing the youth action element, responsible for managing the day-to day-operations of youth action; interfacing with youth, community members, organizations and decision-makers at every level; and motivating and leading youth in tobacco control interventions.
- The required lead coordinator positions for community engagement and youth action must be structured at the same level within the funded organization. One position may not oversee the other and a high level of cooperative planning among the two coordinators is expected.
- Additional responsibilities of required full-time staff positions include: interfacing with community members, organizations and decision-makers at every level; building support for the initiatives of the contract; motivating partners and leading the efforts, through both elements, in tobacco control interventions. Funded staff should have a function within the funded agency that reflects professional and leadership status and should possess a skill set that enables them to motivate and inspire others, convey knowledge and enthusiasm to partners, demonstrate initiative and drive, communicate effectively within the community and with regional and state level partners, and plan and implement effective tobacco control action.
- Both required staff will be considered primary contacts for the Department and will be expected to attend all required meetings and trainings convened by the Department.
- The Contractor will use grant funds to support one additional staff member at a minimum of 0.15 FTE to provide supervision and oversight to the required full-time positions noted above. This position will be responsible for ensuring effective and efficient coordination between the two components (CE and RC) of the contract. Staff in this position may be

expected to participate in Department conference calls, attend required meetings, and participate in plans for carrying out the deliverables of the contract. Staff in this position may participate in professional development opportunities as space allows. Staff should have knowledge and skills in: program development, coordination and management; fiscal management; leadership development; tobacco control content; cultural competency; advocacy; public relations; public health policy, including analysis, development and implementation; community outreach and mobilization; training and technical assistance; health communications and counter-marketing; strategic use of media including media advocacy, earned and paid media; strategic planning; interpreting and communicating data; and evaluation methods.

- It is required that the staff responsible for the day-to-day management of the project have at least a bachelor's degree and three years of experience in a like (advocacy or tobacco control) or similar (health education, teaching, etc.) position.
- Salaries should be commensurate with the level of education and experience required for the job.
- Contractors must notify the Department within 30 days of a vacancy occurring. *Please note: if a vacancy occurs (resignation, maternity leave, medical leave, etc.), it is the responsibility of the contract agency to cover extended absences and to ensure programmatic work is being completed.*

**e. Staff Orientation, Training, Supervision and Program Support**

- Contractors are required to support staff by providing training to equip staff with basic professional competencies such as the ability to engage in effective presentation and public speaking activities and utilization of time management skills. Contractors are also required to provide proper orientation to the organization's policies and procedures; appropriate budgeting for the program's transportation needs; fiscal and budget management support; timely processing of purchase and subcontracting requests; appropriate administrative supervision and support; access to up-to-date tobacco control information; current computer system with access to an individual e-mail account and the Internet, and office and meeting space.
- Two staff from each Contractor will be required to participate in in-person professional development opportunities convened by the department. The two participants may be chosen at the agency's discretion, with Department approval, but should be staff that are involved in day-to-day community activities. If either the community engagement lead or Reality Check lead staff elect NOT to participate in in-person professional development, they will be responsible for completing a set of required self-paced development tasks. Professional development opportunities may be available to other funded staff as space allows.

**f. Meetings, Training and Travel**

- Frequent travel to Albany area is required. Applicants should budget for a minimum of six trips to Albany area per year for core staff to attend approximately one statewide meeting, up to four program meetings and two in-person professional development trainings. Regular travel within the catchment area is expected to achieve community engagement and youth action deliverables.
- Required full-time staff must attend and participate in all regional, program and statewide meetings.

- As described above, two staff members will be required to attend professional development opportunities (an estimated two two-day trainings may be held annually and may require travel to other areas of the state). Additionally, participation in training on the Department's web-based monitoring system is expected. Guidelines for participation in professional development will be provided at the time of award.

**g. Organization**

- The Contractor should provide fiscal support and the capacity to expeditiously process budget and purchasing requests to facilitate the smooth operation of the contract.

**h. Paid Media**

- Contractors will be required to allocate a minimum of 10% of their budget to support specific Department-directed, collaborative media efforts that are coordinated through the Statewide Administrative Coordinator (Optional Component) awarded by this RFA and described below. In addition, contractors may use additional paid media to extend local collaborative media efforts. The primary purpose of purchasing media is to educate the public or a subgroup of the public.

## **10) Statewide Administrative Coordination - Optional Component Deliverables**

Applicants may choose to apply for funding to support the efforts outlined below. These efforts are in addition to the core deliverables noted above.

- Act as the fiscal agent and procurement lead for the required statewide collaborative media campaign
  - Convene a committee of contractors to draft, issue, score and award a collaborative media RFP.
  - Liaise with contracted advertising agency for fiscal and creative development.
  - Provide coordination for statewide website and social media maintenance.
- Act as the fiscal agent and logistics lead for the annual Reality Check Youth Summit
  - Procure a location to host 150-200 attendees (youth and adults).
  - Act as the fiscal agent and liaison between contractors and host location/other vendors. Maintain adequate financial records to monitor payments in and out.
  - Coordinate Reality Check leads into appropriate committees to plan summit content, earned media, entertainment and logistics planning.
- Provide logistics and administrative leadership for Youth Advocate of the Year awards
  - Liaise with Reality Check leads and other contractor representatives to plan the application process and awards planning.
- Be the fiscal agent and logistics lead for optional statewide coordinator/youth trainings outside of TCP/School of Public Health organized training program.
- Be the fiscal agent and/or coordinate planning committees for other statewide activities as approved by the Department.

**a. Staffing – Optional Component Funding**

- The contractor will be required to use grant funds to support a minimum of 1.0 FTE employee responsible for coordinating and managing the fiscal management and programmatic coordination of statewide efforts.

- It is required that the coordinator responsible for managing programmatic coordination of statewide activities have a bachelor's degree and at least one-year experience in a like (event planning/community engagement or community mobilization) or similar position.
- Salary should be commensurate with the level of education and experience required for the job.
- Optional Component funded staff are expected to maintain contact with program staff in their catchment area, as well as attend statewide meetings, program meetings/calls, and other required activities.
- Contractors must notify the Department within 30 days of a vacancy occurring. *Please note: if a vacancy occurs (resignation, maternity leave, medical leave, etc.), it is the responsibility of the contract agency to cover extended absences and to ensure programmatic work is being completed.*

## IV. Administrative Requirements

### A. Issuing Agency

This RFA is issued by the New York State Department of Health (Department), Division of Chronic Disease Prevention, Bureau of Tobacco Control. The Department is responsible for the requirements specified herein and for the evaluation of all applications.

### B. Question and Answer Phase

All substantive questions must be submitted in writing via email to:

Stephanie Sheehan  
NYS Bureau of Tobacco Control  
[TCP@health.ny.gov](mailto:TCP@health.ny.gov)

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the cover of this RFA. This includes Minority and Women Owned Business Enterprise (MWBE) questions and questions pertaining to the MWBE forms.

Questions of a technical nature can be addressed in writing or via telephone by calling:

Debbie Spinosa  
NYS Bureau of Tobacco Control  
518-474-1515  
[TCP@health.ny.gov](mailto:TCP@health.ny.gov)

**Questions are of a technical nature if they are limited to how to prepare your application (e.g., formatting) rather than relating to the substance of the application.**

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or applications should be directed to the DOH contact listed on the cover of this RFA.

- ~~<https://grantsreform.ny.gov/grantees>~~ <https://grantsmanagement.ny.gov>

- Grants Gateway Videos (includes a document vault tutorial and an application tutorial) on YouTube: <https://grantsreform.ny.gov/youtube> <https://grantsmanagement.ny.gov/videos-grant-applicants>
- Grants Gateway Team Email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov)  
Phone: 518-474-5595  
Hours: Monday thru Friday 8am to 4pm  
(Application Completion, Policy, and Registration questions)
- Agate Technical Support Help Desk  
Phone: 1-800-820-1890  
Hours: Monday thru Friday 8am to 8pm  
Email: [helpdesk@agatesoftware.com](mailto:helpdesk@agatesoftware.com)  
(Technical questions)

Prospective applicants should note that all clarifications and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of an application.

This RFA has been posted on the NYS Grants Gateway website at:

[https://grantsgateway.ny.gov/IntelliGrants\\_NYSGG/module/nysgg/goportal.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx) and a link provided on the Department's public website at: <https://www.health.ny.gov/funding/>. Questions and answers, as well as any updates and/or modifications, will be posted on the Grants Gateway. All such updates will be posted by the date identified on the cover of this RFA.

### C. Letter of Interest

Prospective applicants may complete and submit a letter of interest (Attachment 2, Letter of Interest). Prospective applicants may also use the letter of interest to receive notification when updates/modifications are posted; including responses to written questions. Letters of interest should be submitted via the Grants Gateway in the Pre-Submission Uploads section of the online application. Please note that you will receive an error message when uploading the letter into the application as other Pre-Submission uploads are not due until the application is submitted. A copy should also be emailed to [tcp@health.ny.gov](mailto:tcp@health.ny.gov). The letter of interest should be submitted by the date posted on the cover of the RFA. Please ensure that the RFA number is noted in the subject line.

Submission of a letter of interest is not a requirement or obligation upon the applicant to submit an application in response to this RFA. Applications may be submitted without first having submitted a letter of interest.

### D. Applicant Conference

**An applicant conference will be held for this project.** This conference will be held via webinar on the date and time posted on the cover of this RFA. The Department requests that potential applicants register for this conference by following this link: <https://meetny.webex.com/meetny/k2/j.php?MTID=t086cd2f2576f386a20b4d8108cadf8d8>, to ensure adequate accommodations be made for the number of prospective attendees. The reservation deadline is posted on the cover page of this RFA. Failure to attend the applicant conference will not preclude the submission of an application.

## E. How to file an application

Applications must be submitted online via the Grants Gateway by the date and time posted on the cover of this RFA. Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Reform website at the following web address: <https://grantsreform.ny.gov/Grantees> <https://grantsmanagement.ny.gov> and select the “Grantee Quick Start Guide Applications” from the menu on the left. There is also a more detailed “Grantee User Guide” available on this page as well. Training webinars are also provided by the Grants Gateway Team. Dates and times for webinar instruction can be located at the following web address: <https://grantsreform.ny.gov/training-calendar> <https://grantsmanagement.ny.gov/live-webinars>.

To apply for this opportunity:

1. Log into the Grants Gateway as either a “Grantee” or “Grantee Contract Signatory”.
2. Click on the “View Opportunities” button under “View Available Opportunities”.
3. In the Search Criteria, enter the Grant Opportunity name Advancing Tobacco-Free Communities and select the Department of Health as the Funding Agency.
4. Click on “Search” button to initiate the search.
5. Click on the name of the Grant Opportunity from the search results grid and then select the “APPLY FOR GRANT OPPORTUNITY” button located bottom left of the Main page of the Grant Opportunity.

Once the application is complete, prospective grantees are **strongly encouraged** to submit their applications at least 48 hours prior to the due date and time. This will allow sufficient opportunity for the applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. **Failure to leave adequate time to address issues identified during this process may jeopardize an applicant’s ability to submit their application.** Both DOH and Grants Gateway staff are available to answer an applicant’s technical questions and provide technical assistance prior to the application due date and time. Contact information for the Grants Gateway Team is available under Section IV. B. of this RFA.

**PLEASE NOTE:** Although DOH and the Grants Gateway staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time, there is no guarantee that they will be resolved in time for the application to be submitted and, therefore, considered for funding.

The Grants Gateway will always notify applicants of successful submission. If a prospective grantee does not get a successful submission message assigning their application a unique ID number, it has not successfully submitted an application. During the application process, please pay particular attention to the following:

- Not-for-profit applicants must be prequalified on the due date for this application submission. Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit’s essential financial documents - the IRS990, Financial Statement and Charities Bureau filing - expire on an annual basis. If these documents are allowed to expire, the not-for-profit’s prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.

- Only individuals with the roles “Grantee Contract Signatory” or “Grantee System Administrator” can submit an application.
- Prior to submission, the system will automatically initiate a global error checking process to protect against incomplete applications. An applicant may need to attend to certain parts of the application prior to being able to submit the application successfully. Be sure to allow time after pressing the submit button to clean up any global errors that may arise. You can also run the global error check at any time in the application process. (see p.66 of the Grantee User Guide).
- Grantees should use numbers, letters and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also, be aware of the restriction on file size (10 MB) when uploading documents. Grantees should ensure that any attachments uploaded with their application are not “protected” or “pass-worded” documents.

The following table provides a snapshot of which roles will be allowed to Initiate, Complete, and Submit the Grant Application(s) in the Grants Gateway.

<b>Role</b>	<b>Create and Maintain User Roles</b>	<b>Initiate Application</b>	<b>Complete Application</b>	<b>Submit Application</b>	<b>Only View the Application</b>
Delegated Admin	X				
Grantee		X	X		
Grantee Contract Signatory		X	X	X	
Grantee Payment Signatory		X	X		
Grantee System Administrator		X	X	X	
Grantee View Only					X

**PLEASE NOTE: Waiting until the last several days to complete your application online can be dangerous, as you may have technical questions. Beginning the process of applying as soon as possible will produce the best results.**

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

#### **F. Department of Health’s Reserved Rights**

The Department of Health reserves the right to:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the Department’s sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.



5. Seek clarifications and revisions of applications.
6. Use application information obtained through site visits, management interviews and the state's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to application opening, direct applicants to submit proposal modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Waive any requirements that are not material.
11. Award more than one contract resulting from this RFA.
12. Conduct contract negotiations with the next responsible applicant, should the Department be unsuccessful in negotiating with the selected applicant.
13. Utilize any and all ideas submitted with the applications received.
14. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the bid opening.
15. Waive or modify minor irregularities in applications received after prior notification to the applicant.
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's application and/or to determine an offeror's compliance with the requirements of the RFA.
17. Negotiate with successful applicants within the scope of the RFA in the best interests of the State.
18. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.
19. Award grants based on geographic or regional considerations to serve the best interests of the state.

#### **G. Term of Contract**

Any contract resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller.

It is expected that contracts resulting from this RFA will have the following five-year term:  
July 1, 2019 through June 30, 2024.

Continued funding throughout this five-year period is contingent upon availability of funding and state budget appropriations. DOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

A sample New York State Master Contract for Grants can be found in the Forms Menu once an application to this funding opportunity is started.

#### **H. Payment & Reporting Requirements of Grant Awardees**

1. The Department may, at its discretion, make an advance payment to not for profit grant contractors in an amount not to exceed 25 percent.
2. The grant contractor will be required to submit invoices and required reports of expenditures to the State's designated payment office (below) or, in the future, through the Grants Gateway:

Division of Chronic Disease Prevention, Bureau of Tobacco Control  
NYS Department of Health  
Room 1042, Corning Tower  
Empire State Plaza  
Albany NY 12237

Grant contractors must provide complete and accurate billing invoices in order to receive payment. Billing invoices submitted to the Department must contain all information and supporting documentation required by the Contract, the Department and the Office of the State Comptroller (OSC). Payment for invoices submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with OSC's procedures and practices to authorize electronic payments. Authorization forms are available at OSC's website at: <http://www.osc.state.ny.us/epay/index.htm>, by email at: [epayments@osc.state.ny.us](mailto:epayments@osc.state.ny.us) or by telephone at 855-233-8363. CONTRACTOR acknowledges that it will not receive payment on any claims for reimbursement submitted under this contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such claims for reimbursement by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be: Contractors will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Work Plan.

3. The grant contractor will be required to submit the following reports to the Department of Health at the address above or, in the future, through the Grants Gateway:
  - Monthly Activity Reports on a web-based system.
  - End of Year Reports as required.

- Other reports as required by the Department.

All payment and reporting requirements will be detailed in Attachment D of the final NYS Master Contract for Grants.

## **I. Minority & Woman-Owned Business Enterprise Requirements**

Pursuant to New York State Executive Law Article 15-A, the New York State Department of Health (“DOH”) recognizes its obligation to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of DOH contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises 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 minority- and women-owned business enterprises in state procurement contracting versus the number of minority- and women-owned business enterprises 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 minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that DOH establish goals for maximum feasible participation of New York State Certified minority- and women-owned business enterprises (“MWBE”) and the employment of minority groups members and women in the performance of New York State contracts.

### **Business Participation Opportunities for MWBEs**

For purposes of this solicitation, the New York State Department of Health hereby establishes a goal of **30%** as follows:

- 1) For Not-for Profit Applicants: Eligible Expenditures include any subcontracted labor or services, equipment, materials, or any combined purchase of the foregoing under a contract awarded from this solicitation.
- 2) For-Profit and Municipality Applicants: Eligible Expenditures include the value of the budget in total.

The goal on the eligible portion of this contract will be 15% for Minority-Owned Business Enterprises (“MBE”) participation and 15% for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified MWBE firms). A contractor (“Contractor”) on the subject contract (“Contract”) must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOH may withhold payment pending receipt of the required MWBE documentation. For guidance on how DOH will determine “good faith efforts,” refer to 5 NYCRR §142.8.

The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com>.

The directory is found in the center of the webpage under “NYS Directory of Certified Firms” and accessed by clicking on the link entitled “Search the Directory”. Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged and all communication efforts and responses should be well documented.

By submitting an application, a grantee agrees to complete an MWBE Utilization plan as directed in **Attachment 3** of this RFA. DOH will review the submitted MWBE Utilization Plan. If the plan is not accepted, DOH may issue a notice of deficiency. If a notice of deficiency is issued, Grantee agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt. DOH may disqualify a Grantee as being non-responsive under the following circumstances:

- a) If a Grantee fails to submit a MWBE Utilization Plan;
- b) If a Grantee fails to submit a written remedy to a notice of deficiency;
- c) If a Grantee fails to submit a request for waiver (if applicable); or
- d) If DOH determines that the Grantee has failed to document good-faith efforts to meet the established DOH MWBE participation goals for the procurement.

In addition, successful awardees will be required to certify they have an acceptable Equal Employment Opportunity policy statement.

#### **J. Limits on Administrative Expenses and Executive Compensation**

On July 1, 2013, limitations on administrative expenses and executive compensation contained within Governor Cuomo’s Executive Order #38 and related regulations published by the Department (Part 1002 to 10 NYCRR – Limits on Administrative Expenses and Executive Compensation) went into effect. Applicants agree that all state funds dispersed under this procurement will, if applicable to them, be bound by the terms, conditions, obligations and regulations promulgated by the Department. To provide assistance with compliance regarding Executive Order #38 and the related regulations, please refer to the Executive Order #38 website at: <http://executiveorder38.ny.gov>.

#### **K. Vendor Identification Number**

Effective January 1, 2012, in order to do business with New York State, you must have a vendor identification number. As part of the Statewide Financial System (SFS), the Office of the State Comptroller's Bureau of State Expenditures has created a centralized vendor repository called the New York State Vendor File. In the event of an award and in order to initiate a contract with the New York State Department of Health, vendors must be registered in the New York State Vendor File and have a valid New York State Vendor ID.

If already enrolled in the Vendor File, please be sure the Vendor Identification number is included in your organization information. If not enrolled, to request assignment of a Vendor Identification number, please submit a New York State Office of the State Comptroller Substitute Form W-9, which can be found on-line at: [http://www.osc.state.ny.us/vendor\\_management/forms.htm](http://www.osc.state.ny.us/vendor_management/forms.htm).

Additional information concerning the New York State Vendor File can be obtained on-line at: [http://www.osc.state.ny.us/vendor\\_management/index.htm](http://www.osc.state.ny.us/vendor_management/index.htm), by contacting the SFS Help Desk at 855-233-8363 or by emailing at [helpdesk@sfs.ny.gov](mailto:helpdesk@sfs.ny.gov).

## L. Vendor Responsibility Questionnaire

The New York State Department of Health strongly encourages that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <http://www.osc.state.ny.us/vendrep/index.htm> or go directly to the VendRep system online at <https://portal.osc.state.ny.us>.

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

Applicants should complete and submit the Vendor Responsibility Attestation (Attachment 4).

## M. Vendor Prequalification for Not-for-Profits

All not-for-profit vendors subject to prequalification are required to prequalify prior to grant application and execution of contracts.

Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16, 2014, New York State has instituted key reform initiatives to the grant contract process which requires not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](https://grantsmanagement.ny.gov/get-prequalified) <https://grantsmanagement.ny.gov/get-prequalified>.

**Applications received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the application due date listed on the cover of this RFA cannot be evaluated. Such applications 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~~ [Vendor Prequalification Manual](#) on the Grants Reform Website details the requirements and an ~~online tutorial~~ [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](#) [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 [grantsgateway@its.ny.gov](mailto:grantsgateway@its.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 Application.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Gateway Team at [grantsgateway@its.ny.gov](mailto:grantsgateway@its.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.**

#### M. General Specifications

1. By submitting the "Application Form" each applicant attests to its express authority to sign on behalf of the applicant.
2. Contractors will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
3. Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the contract. Any exceptions allowed by the Department during the Question and Answer Phase (Section IV.B.) must be clearly noted in a cover letter attached to the application.

4. An applicant may be disqualified from receiving awards if such applicant or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
5. Provisions Upon Default
  - a. The services to be performed by the Applicant shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the contract resulting from this RFA.
  - b. In the event that the Applicant, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Department acting for and on behalf of the State, shall thereupon have the right to terminate the contract by giving notice in writing of the fact and date of such termination to the Applicant.
  - c. If, in the judgement of the Department, the Applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

#### **N. Healthy Meeting Guidelines**

Contractors will certify that they will comply with the Department's requirements for healthy meetings when the State is reimbursing for all or a portion of the meeting costs. The Department reserves the right to review the site, menu and agenda so that the State can ensure the nutrition, physical activity, sustainability and tobacco-free guidelines are met. The Healthy Meeting Guidelines can be accessed at: [https://www.health.ny.gov/prevention/healthy\\_lifestyles/guidelines.htm](https://www.health.ny.gov/prevention/healthy_lifestyles/guidelines.htm)

#### **O. Refusal of Funds from Tobacco-Related Entities**

Each contractor will certify that it has a written policy prohibiting any affiliation with a tobacco company or tobacco product manufacturer including receipt of gifts, grants, contracts, financial support and in-kind support, and other relationships. The contractor will certify that no not-for-profit subcontractors receiving funding through this agreement for work instrumental to achieving the goals and objectives of the grant has any affiliation with a tobacco company or tobacco product manufacturer. More information regarding the tobacco-free requirements, including frequently asked questions, can be found at [https://www.health.ny.gov/funding/cch\\_rfte\\_faq.pdf](https://www.health.ny.gov/funding/cch_rfte_faq.pdf)

## **V. Completing the Application**

### **A. Application Format/Content**



Please refer to the Quick Start Guide for assistance in applying for this procurement through the NYS Grants Gateway. This guide is available on the Grants Reform website at:

<https://grantsreform.ny.gov/grantees> <https://grantsmanagement.ny.gov>.

**Also, you must use Internet Explorer to access the Grants Gateway. Using Chrome or Firefox causes errors in the Work Plan section of the application.**

Please respond to each of the sections described below when completing the Grants Gateway online application. Your responses comprise your application. Please respond to all items within each section. When responding to the statements and questions, be mindful that application reviewers may not be familiar with the agency and its services. Therefore, answers should be specific, succinct and responsive to the statements and questions as outlined.

### 1) Pre-Submission Uploads

Letter of Interest Template (optional) (Attachment 2)

Minority & Women-Owned Business Enterprise Requirement Forms (Attachment 3)

Vendor Responsibility Attestation (Attachment 4)

Application Cover Sheet (required) (Attachment 5)

Fringe Detail Sheet (if applicable) (Attachment 6)

Tobacco-Free Policy Attestation (Attachment 9)

Job Descriptions and Resumes

Applicant Agency Organizational Chart

ATFC Proposed Staffing Organizational Chart

### 2) Program Specific Questions

#### **a) Executive Summary**

**Not Scored**

- i) Provide a summary of the project proposal, including a confirmation of your agency's eligibility.
- ii) Complete Attachment 5, Application Cover Sheet and save in Pre-Submission Uploads.

#### **b) Statement of Need**

**Maximum Score: 5 points**

- i) Describe the characteristics of the catchment area and its population, including education, income and relevant health indicators.
- ii) Discuss health disparities that exist within the catchment area, particularly those related to tobacco use.
- iii) Identify prevailing social norms regarding tobacco use and barriers changing them.
- iv) Note significant tobacco control activity and achievements in the catchment area over the past five years.
- v) Describe local tobacco control laws and regulations in the catchment area and opportunities for tobacco control action in the catchment area.

#### **c) Applicant Organization**

**Maximum Score: 20 points**

- i) Describe the mission and purpose of the agency. How will this initiative support or extend the mission and programs within the applicant agency?
- ii) Describe the applicant's presence in the community and how this enhances the capacity to meet the deliverables of this grant.



- iii) Describe the agency's experience with local populations that experience health disparities. Such populations might include (but are not limited to) those with low education, low income, poor mental health, racial/ethnic disparities, LGBTQ, etc.
- iv) Describe the agency's approach toward achieving cultural and linguistic competence.
- v) Describe the agency's experience providing the range of services being applied for in this application, including experience with youth action, experience in conducting community organizing and public communication activities and interventions (provide details regarding years of experience with each service being described).
- vi) Describe how the agency will support the social change work of the grant contract.
- vii) Describe an initiative in which the agency utilized public communication strategies to support a policy intervention.
- viii) Describe the applicant's capacity to provide effective community-based services. If subcontracts are proposed, describe them including plans for ensuring programmatic accountability.
- ix) Describe the agency's experience in tobacco control. Answer either (A) or (B) below based on level of experience:
  - (A) If the agency has previous experience in tobacco control, please describe three examples of this experience which demonstrate the agency's capacity to provide effective population-based tobacco control services.
  - (B) If the applicant does not have previous tobacco control experience, please provide three examples of the agency's experience implementing community organizing, youth action, or policy change services.
- x) Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project.

**d) Work Plan**

**Maximum Score: 5 points**

- i) Develop a work plan in the Grants Gateway online application using Attachment 10, Grants Gateway Work Plan Instructions as reference. The work plan should reflect the required objectives and strategies/ activities (tasks) designed to meet the outlined performance measures. Under each stated objective in the work plan instructions (Attachment 10), add the tasks and performance measures. Some of the objectives, tasks and performance measures have been pre-determined and pre-populated by the Department in the Grants Gateway Work Plan. Applicants only need to enter items in the work plan that are not grayed out in the Grants Gateway Work Plan. The work plan should only list objectives, tasks and performance measures for the first twelve months of the contract.
  - Successful applicants for core funding that apply for but are not awarded the optional Statewide Administrative Coordinator component funding will be required to remove the optional component objectives, tasks and performance measures from the work plan upon award.
- ii) For Organizational Capacity within the work plan format of the Grants Gateway, please enter "N/A". Applicants will provide this content in Program Specific Questions.
- iii) Complete the "Project Summary" section using the following text: The aim of this project is to foster environments supportive of policies that reinforce the tobacco-free norm in communities throughout New York State. This approach to chronic disease prevention utilizes a community-based strategy which includes community education, community mobilization, government policy maker education and advocacy with organizational decision makers to create local environments that demand policy change. These will support the prevention and

reduction of tobacco use through the development and reinforcement of a tobacco-free norm throughout communities across New York State through youth action and community engagement.

**e) Technical Proposal**

**Maximum Score: 30 points**

- i) Describe how the agency will meet each of the required deliverables as described in Section III above. Clearly describe a logical, achievable plan for organizing, implementing and accomplishing all the required project deliverables over the life of the contract.
- ii) Include a description of how the agency will facilitate and coordinate efforts, when applicable and appropriate, between Community Engagement and Reality Check components of the contract.
- iii) As the local level data collection project for year 1, propose a baseline community assessment plan to assess the tobacco control landscape. An effective plan will include methods to collect quantitative and qualitative data to better understand tobacco control-related challenges and successes at the community level. Authentic engagement of stakeholders, including a strong emphasis on community members, is required. Plans are required to be health equity driven.
- iv) Propose a timeline in narrative format to meet deliverables with specific details describing activities. The timeline should represent an annualized 12-month period.
  - If the applicant proposes greater than 0% effort for promising/emerging interventions, describe in detail the emerging policy area that the agency proposes to address.
  - Identify a population-based objective for this promising/emerging topic area.
  - Include a detailed description of the activities proposed to address the emerging issue.
  - Identify potential partners and/or existing community infrastructure that will support the proposed activity.
  - Describe community education, community mobilization, government policy-maker education and/or advocating with organizational decision-maker activities that will be undertaken to address the emerging area of concern.
- v) Describe how the agency will identify traditional and non-traditional partners across multiple sectors in the community to achieve place-based community policy change.
- vi) Describe in detail how the agency will address reducing tobacco use disparities among a specific sub-population in the catchment area (i.e., Local Level Disparities Activity). Identify which of the required deliverables the activity will address (Retail Environment, Tobacco-Free Outdoors, or Smoke-Free Multi-Unit Housing) and include a description of the sub-population that you are proposing to support. Include a description of the tobacco use disparities faced by that sub-population.
- vii) Identify existing partnerships and/or community infrastructure that will support the proposed activity.

**f) Staffing Pattern and Qualifications**

**Maximum Score: 15 points**

- i) Describe the staffing pattern and rationale. Provide an ATFC organizational chart in Pre-Submission Uploads that shows the location of the proposed grant contract within the organization.
- ii) Provide an overview of the job descriptions for the proposed staffing structure, including where the positions will be located in the organization's hierarchy and what professional

- level and authority will accompany these positions.
- iii) Describe how orientation and supervision of staff will be provided and by whom, including the credentials of the person(s) who will be providing orientation and supervision to the program. Include resumes if the person(s) providing orientation and supervision is known.
- iv) Job descriptions and resumes should be combined into one PDF and uploaded to the corresponding section of Pre-Submission Uploads.
- v) If a vacancy were to occur in either of the coordinator positions, please describe how that position(s) would be covered within the organization until the coordinator(s) returned or a new one was hired.
- vi) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience (if any) with monitoring government grant funds.

**g) Local Level Data Collection**

**Maximum Score: 5 points**

- i) Describe how the agency will conduct local data collection to assess the community and/or measure the impact of selected activities and strategies and contribute to the achievement of tobacco control program objectives and goals.
- ii) Describe how the agency will use the findings from data collection activity to inform programming and/or efforts in the community. Specifically describe how data collection will be used to contribute to community education and decision-maker education. Efforts may also contribute to community mobilization and/or earned media.
- iii) Describe how the agency will work collaboratively with Department evaluation specialists to develop and implement data collection and reporting methodologies and participate in applicable Department data and evaluation-related trainings; and the Department's independent tobacco control program evaluation contractor to provide information and implement studies to assess the impact of program activities on tobacco use, attitudes and related behaviors.

**h) Budget and Justification**

**Maximum Score: 20 points**

THIS FUNDING MAY ONLY BE USED TO EXPAND EXISTING ACTIVITIES OR CREATE NEW ACTIVITIES PURSUANT TO THIS RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF ACTIVITIES.

- i) Assume a twelve-month budget, with a July 1, 2019 start date, complete a twelve-month budget for the first program year in the Grants Gateway application. Please read and refer to Attachment 7, Grants Gateway Budget Instructions and Attachment 8, Grants Gateway Budget Data Entry Guidelines for assistance.
- ii) Budgets should total but not exceed the estimated annual funding for the catchment area (see Section I, Table 1).
  - a. All costs should be related to the provision of this RFA, as well as be consistent with the scope of work, reasonable and cost-effective.
  - b. If applying for the optional component funding, clearly indicate which expenses are for the core RFA and for the optional component funding.
  - c. For all existing staff, the Budget Justification should delineate how the percentage of time devoted to this initiative has been determined.
  - d. Applicants should refer to Section III. Project Narrative/Work Plan Outcomes for travel

- and other budgetary requirements.
- e. Subcontracts should be included in Non-Personal Services (NPS) as per the application. It is required that the contractor retain at least 50% of the work in dollar value of the Infrastructure contract within the applicant organization. For those applicants that propose subcontracting, it is preferable to identify subcontracting agencies during the application process.
  - f. New York State certified Minority/Women-owned Business Enterprises (M/WBEs) are to be considered for subcontracting and consultant opportunities, as well as other eligible discretionary Non-Personal Services items in the budget where the organization has the option as to who to select to solicit services, projects and/or commodities. A Directory of NYS certified M/WBE firms is located at <https://ny.newnycontracts.com>. Documentation of good faith efforts to utilize M/WBE vendors should be retained and submitted with completed M/WBE forms as it will be required to establish the MWBE goal for awards.
- iii) Ineligible Budget Items:
- Expenditures will not be allowed for the purchase of major pieces of depreciable equipment (although limited computer/printing equipment may be considered) or remodeling or modification of structure.
  - Indirect or administrative lines will not be accepted as NPS budget lines. Itemized budget lines related to these costs (i.e. rent, heat, telephone) will be allowed with appropriate justification in the narrative and must be entered in the appropriate sections of the on-line budget.
  - Any ineligible budget items will be removed from the budget prior to contracting. Ineligible items are those determined by DOH personnel to be inadequately justified relative to the proposed work plan, or not refundable under existing state guidance.

**i) Preferred Qualifications**

**Up to 5 Points**

Applicants that demonstrate they meet the preferred qualifications, as stated in Section II, Who May Apply, may be awarded up to an additional five (5) points. These points are awarded above the 100 points allocated for application content sections a. – h, as follows:

- i) Describe an example of how the organization has prioritized health equity through its work (*1 point*).
- ii) Describe an example of the organization's experience with cultural competence, including working with disproportionately affected target populations (*1 point*).
- iii) Describe experience working with partners, including youth, to address health-related problem(s) across multiple sectors from multiple agencies (*1 point*).
- iv) State the organization's number of years (3 or more) of experience conducting policy work, community advocacy, community planning, and community organizing, including public communication campaigns, that resulted in the adoption of community policies (*1 point*).
- v) State the organization's number of years (2 or more) of experience with administrative, fiscal, and programmatic oversight of government contracts, including timely and accurate submission of fiscal and program reports (*1 point*).

## **Optional Component (OC) – Statewide Administrative Coordinator**

**Program Specific Questions** (only respond to these questions if applicant is seeking optional component funding. This section will be scored separately. The funding will be awarded to one core funding awardee with the highest combined (core and optional) score regardless of catchment area.

### **j) OC Statewide Administrative Coordinator**

#### **Program Activities**

**Maximum Score: 12**

- i) Describe how the agency will meet each of the required deliverables as described in Section III above. Clearly describe a logical, achievable plan for organizing, implementing and accomplishing all the required project deliverables over the life of the contract. Include a description of how the agency will facilitate coordination of efforts, when applicable and appropriate, between grantees statewide.
- ii) Provide three examples of agency's experience:
  - One example of the agency's ability to develop, issue, review, score and award an RFP
  - One example of the agency's experience in providing logistic and/or programmatic coordination for a large activity or event
  - One example of the agency's experience in providing team leadership and/or coordination, including fiscal coordination and/or oversight of an activity.
- iii) Propose a timeline in narrative format to meet deliverables with specific details describing activities. The timeline should represent an annualized 12-month time period.
- iv) Complete the statewide administrative coordinator section of the Grants Gateway work plan for a 12-month period, by addressing objectives 13 through 17 and related tasks and performance measures, as outlined in Attachment 10, Grants Gateway Work Plan Instructions. A work plan standards guidance document (Attachment 1, BTC Work Plan Standards Guidance) is included for reference when completing the work plan. Follow the guidance carefully. Successful applicants will need to complete a work plan that includes ALL required activities described in the guidance document prior to finalizing a contract.

### **k) OC Statewide Administrative Coordinator**

#### **Staffing Pattern and Qualifications**

**Maximum Score: 3 Points**

- i) Describe the staffing pattern and rationale. Provide an organizational chart as an upload that shows the location of the proposed grant contract within the organization.
  - Include job descriptions for the required staff, where the position(s) will be in the organization's hierarchy and what professional level and authority will accompany these positions.
- ii) Describe how orientation and supervision of staff will be provided and by whom, including the credentials of the person(s) who will be providing orientation and supervision to the program. Include resumes if the person(s) providing orientation and supervision is known (resumes should be included in the Pre-Submission Uploads section and will not count toward page total).
  - If a vacancy were to occur in the coordinator position, please describe how that position would be covered within the organization until the coordinator returned or a new one was hired.
- iii) Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe

the qualifications of key fiscal staff, including a description of the staff's experience (if any) with monitoring government grant funds.

**I) OC Statewide Administrative Coordinator  
Budget**

**Maximum Score: 5 points**

***THIS FUNDING MAY ONLY BE USED TO EXPAND EXISTING ACTIVITIES OR CREATE NEW ACTIVITIES PURSUANT TO THIS RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF ACTIVITIES.***

- i) Applicants applying for the optional Administrative Coordinator component should incorporate the related costs into the core budget in the Grants Gateway Application.
  - Applicants submitting more than one application that wish to apply for this optional component must include it in every catchment area application they submit. The optional component funding cannot be transferred from an unsuccessful core application to a successful core application even when the applicant is the same organization.
  - Up to \$125,000 per year (\$625,000 for five-year period) may be requested. The budget should be representative of one year of the five-year period (July 1, 2019 - June 30, 2020).
  - Ineligible Budget Items:
    - Expenditures will not be allowed for the purchase of major pieces of depreciable equipment (although limited computer/printing equipment may be considered) or remodeling or modification of structure.
    - Indirect or administrative lines will not be accepted as NPS budget lines. Itemized budget lines related to these costs (i.e. rent, heat, telephone) will be allowed with appropriate justification in the narrative and must be entered in the appropriate sections of the on-line budget.
    - Any ineligible budget items will be removed from the budget prior to contracting. Ineligible items are those determined by DOH personnel to be inadequately justified relative to the proposed work plan, or not refundable under existing state guidance.
- ii) Justification for each cost should be submitted in narrative form, clearly delineating which costs are for the core RFA and for the optional component funding. All costs should be related to the provision of this RFA, as well as be consistent with the scope of work for the Statewide Administrative Coordinator component, reasonable and cost-effective.
- iii) For all existing staff, the request should delineate how the percentage of time devoted to efforts related to the optional component has been determined.

It is the applicant's responsibility to ensure that all materials to be included in the application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the date and time posted on the cover of this RFA. The value assigned to each section is an indication of the relative weight that will be given when scoring your application.

**B. Freedom of Information Law**

All applications may be disclosed or used by DOH to the extent permitted by law. DOH may disclose an application to any person for the purpose of assisting in evaluating the application or for any other lawful purpose. All applications will become State agency records, which will be available to the

public in accordance with the Freedom of Information Law. **Any portion of the application that an applicant believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the application.** If DOH agrees with the proprietary claim, the designated portion of the application will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

### C. Review & Award Process

Applications meeting the guidelines set forth above will be reviewed and evaluated competitively by the Department's Division of Chronic Disease Prevention.

The following will result in rejected applications:

- Failing to meet one or more of the minimum eligibility requirements.
- Failure to submit an application that covers one of the 21 Catchment Areas, as noted in Section I.D.3.

Applications will be scored based on the points allotted above for each component, as follows:

Section Title	Max Score	Other format requirements
b. Statement of Need	5	
c. Applicant Organization	20	
d. Work Plan	5	Use prescribed objectives, tasks and performance measures provided in Attachment 10
e. Technical Proposal	30	
f. Staffing Pattern and Qualifications	15	
g. Local Level Data Collection	5	
h. Budget and Justification	20	Follow all guidance instructions provided in Attachments 7 and 8
h. Preferred Eligibility Qualifications	5	
<b>CORE TOTAL</b>	<b>105</b>	
Statewide Administrative Coordinator (Optional Component) funding	20	
<b>TOTAL</b>	<b>125</b>	

A minimum score of 60 points out of a possible 105 is required to be considered for core funding. The highest scoring applicants in each of the 21 distinct service regions identified in Section I.D.3 BTC Catchment Areas, will be funded. The Department will fund only one applicant per catchment area. In the event of a tie score among applicants within a region, the determining factors for a grant award, in descending order of importance will be:

1. Applicant with the highest score in the Technical Proposal section.
2. Applicant with the highest score in the Staffing Pattern and Qualifications section.

In the event of a tie score among applicants for the optional component, the determining factor for a grant award will be the applicant with the highest score in the Program Activities section of the optional component.

If there are no applicants with passing scores in a catchment area, the Department reserves the right to modify the final catchment areas of successful applicants to ensure sufficient program coverage statewide, such that counties may be the responsibility of different successful applicants in contiguous catchment areas (for example, if a four (4)-county area is left without a successful awardee, the successful awardees in the two (2) contiguous catchment areas may each be awarded the additional counties – one may be awarded one (1) of the counties, the other, three (3) of the counties). The Department also reserves the right to re-procure for one or more catchment areas left without a successful awardee should successful applicants in contiguous areas decline additional counties. Award values may be modified to address catchment area modifications. Final awards and award values are contingent on the total funds available.

Applications with minor issues (missing information that is not essential to timely review and would not impact review scores) MAY be processed, at the discretion of the State, but all issues need to be resolved prior to time of award. An application with unresolved issues at the time award recommendations are made will be determined to be non-responsive and will be disqualified.

If changes in funding amounts are necessary for this initiative or if additional funding becomes available, funding will be modified and awarded in the same manner as outlined in the award process described above.

Applications will fall into one of three categories: 1) approved and funded, 2) approved but not funded due to resources, 3) not approved. Approved but not funded due to resources applications may be funded should additional funds become available.

Once an award has been made, applicants may request a debriefing of their application (whether their application was funded or not funded). Please note the debriefing will be limited only to the strengths and weaknesses of the subject application and will not include any discussion of other applications. Requests must be received no later than fifteen (15) business days from date of award or non-award announcement.

To request a debriefing, please send an email to Debbie Spinoso at [tcp@health.ny.gov](mailto:tcp@health.ny.gov). In the subject line, please write: *Debriefing Request (name of RFA)*.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, applicants should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found on the OSC website at <http://www.osc.state.ny.us/agencies/guide/MyWebHelp>. (Section XI. 17.)



## VI. Attachments

Please note that certain attachments are accessed in the “Pre-Submission Uploads” section of an online application and are not included in the RFA document. In order to access the online application and other required documents such as the attachments, prospective applicants must be registered and logged into the NYS Grants Gateway in the user role of either a “Grantee” or a “Grantee Contract Signatory”.

Attachment 1:	BTC Work Plan Standards Guidance**
Attachment 2:	Letter of Interest
Attachment 3:	Minority & Women-Owned Business Enterprise Requirement Forms*
Attachment 4:	Vendor Responsibility Attestation*
Attachment 5:	Application Cover Sheet*
Attachment 6:	Fringe Detail Sheet
Attachment 7:	Grants Gateway Budget Instructions**
Attachment 8:	Grants Gateway Budget Data Entry Guidelines**
Attachment 9:	Tobacco-Free Policy Attestation*
Attachment 10:	Grants Gateway Work Plan Instructions**

\*These attachments are located/included in the Pre-Submission Uploads section of the Grants Gateway on line application and must be completed and/or uploaded to Pre-Submission Uploads to be submitted with the application.

\*\*These attachments are located/included in the Pre-Submission Uploads of the Grants Gateway online application and are provided for applicant information only.