

RFA # 17726 / Grants Gateway # DOH01-OHCN2R-2018

New York State Department of Health
Center for Environmental Health
Division of Environmental Health Assessment
Bureau of Occupational Health and Injury Prevention

Request for Applications

Occupational Health Clinic Network
Reissue for the New York City Region

KEY DATES

Release Date:	01/22/2018
Letter of Interest/Intent Due:	02/01/2018
Questions Due:	02/09/2018
Applicant Conference Registration Deadline:	n/a
Applicant Conference:	n/a
Questions, Answers and Updates Posted (on or about):	02/16/2018
Applications Due:	03/01/2018 by 4:00 PM
DOH Contact Name & Address:	David Googins Bureau of Occupational Health & Injury Prevention Empire State Plaza Corning Tower, Room 1325 Albany, NY 12237 Telephone: 518-402-7900 Email: OHCN@health.state.ny.us

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I. Introduction

The New York State Department of Health (NYSDOH), Division of Environmental Health Assessment, Bureau of Occupational Health and Injury Prevention, is soliciting applications in the New York City Region for the operation of occupational health clinics to participate in a statewide clinic network. Oversight and coordination of the Occupational Health Clinic Network will be provided through the NYSDOH's Division of Environmental Health Assessment (DEHA). The Bureau and Division will direct a number of activities related to the operation of the Network.

New York residents are exposed to a vast array of hazardous materials. According to the US Department of Labor, Bureau of Labor Statistics, there were 8,946,000 full-time workers in New York State in 2014. Of those, 213,300 were estimated to have a non-fatal occupational injury or illness (this represents workers in all industries including state and local government). There were 149,100 estimated cases of non-fatal occupational injuries and illnesses occurring to workers in the private industry. This number excludes governmental employers, both Federal and State, the self-employed and employees of certain other employers covered by other Federal agencies (e.g., railroads). It is generally accepted that these numbers vastly underestimate occupational diseases. (*US House of Representatives. "Hidden Tragedy: Underreporting of Workplace Injuries and Illnesses", A Majority Staff Report by the Committee of Education and Labor. June 2008.*) For more information click the below hyperlink:

[Occupational Health Clinic Network - Prevention and Protection for the NYS Workforce](#)

II. Who May Apply

The NYSDOH issued RFA # 1701170144 on September 25, 2017. That RFA stated "The awards will be distributed regionally on a competitive basis in the regions listed below, **with two awards to be made in the NYC region.**" Only one application for that RFA was received for the NYC region.

Through this RFA, approximately \$1,100,000 will be awarded annually to support the operation of one additional occupational health clinic in the NYC region which consists of the following counties: Bronx, Kings, New York, Queens, and Richmond.

Applicants must describe how services will be provided to **ALL** counties within the NYC region. If satellite clinics are proposed, then details regarding location, number of days operating each month, and staffing of key personnel, are required. The final amount of the award will be based on the strength of the application, the ability to reach the entire labor force within the NYC geographic region, and past experience providing occupational health to worker populations.

Information on the percent of the New York labor force for the NYC geographic region in 2015 is provided below to assist applicants in calculating their budgets. A base amount of \$500,000 for clinics in New York City will be provided, with the remainder distributed based upon the percentage of labor force for the region. Due to the size of the labor force, the NYC region will be split between two awards.

Region	Counties	Labor Force (of total NYS Labor)
New York City (shared between 2 awards)	Bronx, Kings, New York, Queens, Richmond	21.60%

A. Minimum Eligibility Requirements

All minimum eligibility requirements must be met for the entire period of the awarded contract. The selected applicant will be required to submit documentation prior to the execution of a contract.

ELIGIBLE INSTITUTIONS:

Eligible institutions must be New York State not-for-profit or governmental diagnostic and treatment facilities certified through Article 28 of the Public Health Law or not-for-profit general hospitals as defined by Subdivision 10 of Section 2801 of the Public Health Law or a recognized faculty practice plan. Institutions must adhere to requirements for medical records confidentiality as outlined in Section 751.7 and Part 405.10 of the New York Compilation of Codes, Rules and Regulations and HIPAA regulations.

Applicants must have computers with internet connections.

The Attestation document (Attachment 3) must be signed and uploaded as part of the application (located under Pre-Submission Uploads). **FAILURE TO SUBMIT A COMPLETED ATTESTATION PAGE WILL RESULT IN DISQUALIFICATION.**

MINIMUM PERSONNEL REQUIREMENTS:

- Clinic(s) must be led by a Medical Director during the entire term of the contract awarded, who is licensed to practice medicine in NYS, is Board Certified in Occupational Medicine, and will be on staff by September 1, 2018.
 - The Medical Director must provide direct patient care at the clinic site.
 - The Medical Director must be authorized by the NYS Workers Compensation Board.
- All clinics should have access to a social worker and an industrial hygienist.
- Applicants must document that employees are qualified and hold appropriate professional licensure and current registration from the New York State Department of Health or Education Department.
- If a proposed clinic has a parent organization, a letter of support from that parent organization is required to be submitted with the application. The letter should be uploaded under Pre-Submission Uploads.

B. Preferred Eligibility Requirements

Preferred eligibility will be given to applicants who can document:

- Identification of a clinic site(s) that is/are centrally located and easily accessible for the majority of the patients in the entire NYC geographic region.
- Experience providing services and programs to workers and employers.

- Collaboration and/or integration of health-related services within the community.
- Innovative ways to reach identified high-risk populations.

III. Project Narrative/Work Plan Outcomes

A. Program Goal

The goal of this RFA is to focus on the diagnosis, screening, treatment, referral, identification of exposures and prevention of occupational disease which is of greatest public health significance in the designated geographical areas.

B. Objectives

- The major emphasis must be on the accurate diagnosis of workers (or former workers) with illnesses potentially related to their workplace environments. Referring patients for further diagnostic or treatment services and for rehabilitative services, as appropriate, is an important clinic function. Integration and coordination with other medical care providers and institutions in the area to ensure comprehensive care will be essential. It is expected the clinic will provide expert diagnostic services and not ongoing medical care to most of their patients.
- Providing counseling for patients and their families regarding financial, social, and psychological aspects of occupational disease will be another important objective.
- Disease prevention activities will be a major focus for each clinic. Steps should be taken to ensure that workplace exposures causing the illness are appropriately identified and the question of co-workers at risk addressed. Where possible, recommendations for mitigating exposures should be developed and promulgated. The objectives are a prompt, safe return to work for the affected individual, and the prevention of other cases of occupational illness.
- Another key component of the clinic's prevention activities is the provision of occupational health and safety education. Education should be provided to individual patients, as well as to groups including workers, employers, unions, or community organizations. In addition, education and training should be offered to health professionals outside the clinic in order to broaden the base of occupational health and safety knowledge within the medical community and increase awareness of potential occupational health hazards.
- Applicants must demonstrate that a comprehensive, coordinated, integrated service system is in place to meet the complex needs of their patients. This includes a description of the proposed facility program or provider practice including its mission, and provider years of experience including any relevant history working with the targeted communities.
- Applicants may subcontract components of the scope of 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 DOH. All subcontractors should be approved by the Department of Health.

IV. Administrative Requirements

A. Issuing Agency

This RFA is issued by the New York State Department of Health, Division of Environmental Health Assessment, Bureau of Occupational Health and Injury Prevention. 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 via email to: David Googins at: OHCN@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 *David Googins*, 518-402-7900, OHCN@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>
- Grants Gateway Videos (includes a document vault tutorial and an application tutorial) on YouTube: <https://grantsreform.ny.gov/youtube>
- Grants Reform Team Email: grantsgateway@its.ny.gov
Phone: 518-474-5595
Hours: Monday thru Friday 8am to 4:30pm
(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
(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 and a link provided on the Department's public website at: <http://www.health.ny.gov/funding/>. Questions and answers, as

well as any updates and/or modifications, will also be posted on these websites. All such updates will be posted by the date identified on the cover of this RFA.

C. Letter of Interest

Prospective applicants are strongly encouraged to complete and submit a letter of interest (see Attachment #2). 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. A copy should also be emailed to OHCN@health.ny.gov. Please ensure that the RFA number is noted in the subject line and are submitted by the date posted on the cover of the RFA.

Submission of a letter of intent/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 intent/interest.

D. Applicant Conference

An Applicant Conference *WILL NOT* be held for this project

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> 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 Reform Team. Dates and times for webinar instruction can be located at the following web address: <https://grantsreform.ny.gov/training-calendar>.

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 Occupational Health Clinic Network 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. Both DOH and Grants Reform staff are available to answer applicant’s technical questions and provide technical assistance prior to the application due date and time. Contact information for the Grants Reform Team is available under Section IV. B. of this RFA.

PLEASE NOTE: Although DOH and the Grants Reform 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.

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

Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
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 offerer's application and/or to determine an offerer'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 multi-year term: September 1, 2018 to June 30, 2023.

Continued funding throughout this 5 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. No advances will be allowed for contracts resulting from this procurement.
2. The grant contractor will be required to submit quarterly invoices and required reports of expenditures to the State's designated payment office (below) or, in the future, through the Grants Gateway:

Bureau of Occupational Health and Injury Prevention
NYS Department of Health
Corning Tower, Room 1325
Albany, NY 12237
Attn: David Googins

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 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: Contractor will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Workplan.

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:

Patient Data (*within 30 days of the patient visit*) - Information on each patient evaluated at the clinic will be reported to the Department via the clinic network database, OHNIS in a format specified by the Department.

Workers Comp (*within 30 days of the initial patient visit*) – Information on patients' initial worker's compensation status must be reported via the clinic network database, OHNIS. Changes in status must be updated in OHNIS within 12 months from original visit date.

Occupational Disease Registry Reports (*within 30 days of the patient visit*) - For patients with conditions meeting the diagnostic criteria of the Heavy Metals, Pesticide Poisoning or Occupational Lung Disease Registries, the information submitted will be in accordance with the requirements for those registries. Timely and complete submission to the Clinic Network database, OHNIS, will fulfill reporting requirements. All follow up test results resulting from these visits must be submitted to the clinic network database, OHNIS, within **60** days of original visit date.

Advisory Board Reports (*at the time they are distributed to committee members*) - Advisory Committee's meeting notices, agendas, and minutes will be posted to the OHCN SharePoint site. The Department shall approve the composition of the committee prior to the first meeting.

Quarterly Report (*due no later than 45 days from the end of the quarter*) – This report will include information about the clinic's education, outreach, quality assurance/quality improvement activities, and workplace intervention activities, and must be reported to the Department on a quarterly basis utilizing a format provided by the Department. In addition, the report will include a short narrative summary of notable developments and of issues warranting Network discussion.

External Earned Income – Clinics will provide a comprehensive assessment showing all possible income sources including, but not limited to, research grants, insurance reimbursement, Worker's Compensation, and service contracts (e.g. screenings). Documentation of income will be submitted annually if contracts are awarded.

Annual Report (*due no later than 75 days from the end of the period*) - The annual report will include descriptive epidemiology, the identification of high-risk

industries/occupations/workplaces, and a comparison with previous years' patients. In addition, the report will include a brief programmatic summary. That summary will review outstanding issues from the report period, an assessment of the effectiveness of the targeted outreach plan for that period, and an updated targeted outreach plan for the next period. Clinics will provide a comprehensive report of all income including but not limited to, research grants, insurance reimbursement, service contracts (screenings).

Quarterly Meetings - Key personnel must attend meetings of the entire Occupational Health Clinic Network held by the Department. These meetings are generally held quarterly to discuss a variety of medical, scientific, and administrative issues that are of importance to the Clinic Network. The meetings generally will be of one-day duration. Each clinic must be represented by senior staff at these meetings.

Mid-Term Needs Assessment (*due January 15, 2020*) – This report that describes the prevalent occupational health needs and problems of workers in their catchment area will be provided to the Department. The report will follow the same format as described in b. Assessment of Target Community Needs. The development of this report must include input from the advisory board.

Evidence of Expenditures (*with each voucher*) – Clinics will submit a breakdown of their vouchered spending in a format provided by the Department.

Anticipated Earned Income: Clinics will provide a comprehensive assessment showing all possible income sources including but not limited to, research grants, insurance reimbursement, Worker's Compensation, and services contracts (e.g. screenings). Documentation of income will be submitted annually if contracts are awarded.

Supporting Documentation (*with voucher as requested*) – Clinics will upon request submit documentation for all expenses vouchered. This documentation includes, but is not limited to contracts, invoices, receiving documents, receipts and timesheets for the period covered by the voucher. Vouchers cannot be approved for payment until all requested documentation has been reviewed and accepted.

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

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 6** 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/issues_guidance.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, by contacting the SFS Help Desk at 855-233-8363 or by emailing at 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/vendor_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.

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](#).

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](#) on the Grants Reform Website details the requirements and an [online tutorial](#) are available to walk users through the process.

Register for the Grants Gateway

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

If you have previously registered and do not know your Username, please email 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.

1) 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 Reform Team at grantsgateway@its.ny.gov.

2) **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.

N. 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.

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: www.grantsreform.ny.gov/Grantees.

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.

Pre-Submission Uploads

- Letter of Interest
- Vendor Responsibility Attestation
- Minority & Women-Owned Business Enterprise Requirement Forms

Program Specific Questions

1. Applicant should complete the Application Cover Page (located under Pre-Submission Uploads as Attachment 1) and upload in response to this question. (Not Scored)
2. Description of Applicant Organization and Capability (maximum 22 points)

All applicants must respond to questions a through d.

- a. Briefly describe the capacity of the organization to plan and implement a program to meet the service objectives specified by this RFA.
- b. Describe the proposed scope of services; expected service capacity; and how the activities proposed in this application fit within the facility's current range of services or how the current services might complement the proposed program, all while meeting the goals of the organization's mission.
- c. Describe how the clinic site will consider access to auxiliary diagnostic services, access to care for patients, and other factors regarding accessibility.
- d. Applicants must describe how services will be provided to all counties within the NYC region.

- e. Organizations currently members of the NYS Occupational Health Clinic Network provide the following:
 - i. Briefly describe the populations that have been the recipients of services.
 - ii. Summarize accomplishments with those client populations.
 - iii. Describe the geographic proximity of your organization to the designated geographic regions in NYC with provisions to be accessible to the NYC geographic area.
 - iv. Discuss the experiences of the organization and key staff in providing comprehensive occupational health services and coordinating medical services, mental health, industrial hygiene and other supportive services.
 - v. Describe other community health and population-based initiatives in which the organization is involved. The clinics are expected to provide counseling for patients and their families regarding financial, social, and psychological aspects of occupational disease; provide recommendations for mitigating workplace exposures; develop safe return-to-work criteria; and provide occupational health and safety education.

- f. Facilities not currently members of the NYS Occupational Health Clinic Network provide the following:
 - i. Describe an expansion plan. At a minimum, this should include a description of a planning, implementation and evaluation phase. It is reasonable to expect that a clinic will be fully operational within 12 months of receiving the award. Successful applicants will communicate their ability to implement all three phases and to provide a full range of occupational medicine services by the end of the first year of funding. The planning phase must incorporate the needs assessment (III.B.) and the development of a work plan and will take place during the first six months of funding.
 - ii. Briefly describe the experiences of the organization and key staff in providing comprehensive occupational health services and coordinating medical services, mental health, industrial hygiene and other supportive services.
 - iii. Describe the populations to which you will provide services.
 - iv. Describe how you plan to provide mental health services.
 - v. Describe how you plan to provide other supportive services.

- g. Describe any problems you anticipate in providing services under this RFA, and a plan to address them.

- h. Describe key personnel for this project, current staff and how additional staff will be recruited and educated. The clinic must have a Medical Director and other staff including access to an industrial hygienist and a social work services.
 - The Medical Director is responsible for conducting oversight of diagnosis and treatment, and for working with the parent organization, if applicable, to develop long-term policy and planning. Your description of this position should include all of the following requirements. The Medical Director should spend at least 10% of his/her time providing clinical services in the funded clinic. The Medical Director must be authorized by the Workers Compensation Board. The same individual may maintain the roles of the Medical Director and the staff physician. The Medical Director will ensure the clinic is achieving the goals as established in this RFA. They will participate in administrative, preventive, education, research and clinical activities, including:

- developing long and short-term goals for the clinic;
 - developing the annual work plan and corresponding budget;
 - directing clinical management meetings, establishing protocols and standing orders for the clinic, overseeing quality assurance programs;
 - attending advisory board meetings;
 - working with other professional staff to identify those worker populations at high risk of serious occupational disease and develop a plan for delivering the appropriate occupational health services and prevention/education services to those populations;
 - designing and delivering educational programs/lectures on a wide variety of occupational health issues;
 - testifying at Workers Compensation hearings and providing medical expertise at court proceedings;
 - conducting and/or collaborating on research projects focused on occupational illness and disease with publication in appropriate peer-reviewed journals.
 - A staff physician (who may also be the Medical Director) or a nurse practitioner (NP) is required to:
 - assess patient health status through medical/occupational history taking, physical examination, and ordering appropriate tests; evaluate and treat workers with occupational and environmental illness or injury;
 - perform medical surveillance exams to monitor workplace exposures;
 - testifying at Workers Compensation (physician only) hearings and providing medical expertise at court proceedings;
 - Assist with disability assessments and rehabilitation services to facilitate safe return to work; serve as a preceptor for medical and nursing students and residents, as appropriate.
- i. Any other proposed staff positions should be listed, with a brief job description for each. Summarize the qualifications of key personnel by including a short biographical sketch in this portion of the narrative. Curricula vitae of key personnel must be uploaded at the appropriate Program Specific Question. For vacant positions, a recruitment plan should be delineated. All staff must have adequate education, training and experience in their given fields, including industrial hygienists, social workers and, occupational health nurses. The clinic should have a plan in place for continuing occupational health education for all staff.
- All clinics should have access to social work services to:
 - Provide individual counseling for patients and their families regarding financial, social, and psychological aspects of occupational disease;
 - Provide short term counseling and guidance to patients and their families;
 - Develop action plans directed towards resolving issues including crisis intervention, education about illness and injury, legal services, financial issues, and referrals to community agencies;
 - Offer support services, coordinating services, and ensuring that appropriate agencies respond to the patients' needs throughout diagnosis, treatment and recovery;
 - All clinics should have access to an industrial hygienist to:
 - Help patients recognize and avoid hazards at work;
 - Make recommendations about and assure proper fitting of proper personal protective equipment, if applicable.

- Assist in facilitating workplace prevention efforts;
- Provide expertise in recognizing, evaluating, and controlling health hazards in the workplace;
- Provide training and education on workplace hazards to the workforce;
- Provide routine educational and workplace intervention programs;
- Conduct site visits to identify health and safety problems in the workplace and then develop and recommend corrective measures to prevent future problems.

3. Assessment of Target Community Needs (maximum 12 points)

- a. Successful applicants will demonstrate an understanding of the current occupational health needs and problems of workers in their entire catchment area. The needs assessment will describe known social, cultural, economic and geographical barriers to care for this population, including:
- Identify those most at risk of serious occupational disease, including the high risk employers, industries, occupations and workers within the catchment area. This should include identifying the exposures and workplace issues facing these populations.
 - Describe known social, cultural, economic and geographical barriers to care for population. Then describe provider qualities and other factors likely to address these barriers including improving access, availability, acceptability and affordability of care.
 - Document the sources for all data cited, including the [New York State Department of Labor](#).

4. Integration with the Local Community (maximum 12 points)

The establishment of an advisory board will be a requirement of a contract. The proposal should include a description of the role, structure, and proposed membership of the advisory board. The board will assist in the development of policies; define selection criteria and assist in reviewing and retaining qualified staff; review and approve the annual budget; assist in creating and implementing a targeted outreach program linking clinic services to workers, unions and businesses; and guide the clinic's work on an on-going basis. The goal for the make-up of the advisory board is representation from organizations interested or involved in occupational health and safety, including labor unions, business groups or owners representing those in the geographical area, legal and health services, government, universities, activists, and community members from within the catchment area. The advisory board must meet quarterly, at a minimum. Once successful applicants have been selected and notified, a list of the advisory board members is required to be supplied to the NYSDOH annually or whenever the membership has changed. A mid-contract period needs assessment will be required with involvement from the advisory board.

5. For the following 9 questions, please refer to the Section IV. H. (maximum 9 points)

- a. Within 30 days of the patient visit, will you be able to report patient visit data via the clinic network database, OHNIS?
- b. Within 30 days of the patient visit, will you be able to report information on the patients' initial workers' compensation status? Will you have to ability to update the status if needed, within 12 months of original patient visit?

- c. Within 30 days of the patient visit, for patients with conditions meeting the diagnostic criteria of the Heavy Metals, Pesticide Poisoning or Occupational Lung Disease, will you be able to submit information in accordance with the requirements for those registries? Will you be able to report all follow up test results resulting from these visits to the Clinic database OHNIS within 60 days of the original visit date?
- d. Will you be able to post all Advisory Committee meeting notices, agendas and minutes to the OHCN SharePoint site when shared with the board itself?
- e. Will you be able to submit your completed Quarterly report within 45 days of the end of the quarter using the format required by the Department?
- f. Will you be able to submit your completed Annual Report within 75 days from the end of the period using the format required by the Department?
- g. Will you be able to submit a mid-term needs assessment by January 15, 2020 that contains all elements as listed in the deliverables section?
- h. Will you be able to provide evidence of expenditures with each voucher? The breakdown of vouchered spending should be submitted in a format provided by the Department.
- i. Will you be able to provide supporting documentation for all expenses vouchered, as requested?

6. Work Plan for Provision of Services (maximum 44 points)

The work plan should include objectives, tasks, and performance measures which coincide with the program activities described below.

Describe tasks related specifically to the program activities described in Section III. Completing the Application that will occur during the initial year in sufficient detail. This will enable the reviewers who score your application to gauge how well you understand what must be done to implement your project, and in what order you need to complete the tasks.

When constructing your work plan, please ensure that:

- The work plan includes goals, objectives; a description of activities to reach each objective; the specific quarter(s) in which each activity will be conducted; and the staff person/position who will be responsible for conducting it.
- All objectives are written in a SMART format: Specific; Measurable, Achievable; Realistic and Time-specific.
 - **Clinical Services.** (Max 12 points) Led by the Medical Director, each clinic will employ multidisciplinary staff that will provide independent and accurate diagnosis of the broad spectrum of occupational diseases. Patients will be appropriately referred for further diagnostic or treatment services and for rehabilitative services. Integration and coordination with other medical care providers and institutions in the area to ensure comprehensive care will be essential. This integration will involve both the referral of patients to these groups for further diagnosis or care, and the referral of patients from these institutions and from primary care providers for occupational medicine evaluations. Because the focus is providing expert diagnostic services, the clinics will not be expected to provide ongoing medical care to most of their patients. Group screenings should be offered to high-risk workers. In order to assure a high quality of care, each clinic will implement an ongoing Quality Assurance program, and

will participate in a network-wide Quality Improvement program as defined by the Department.

- **Industrial Hygiene Services.** (Max 6 points) Steps should be taken to ensure that workplace exposures causing illnesses are appropriately identified, evaluated and controlled. This can involve assisting patients in recognizing and avoiding hazards at work, making recommendations about and assuring proper fitting of personal protective equipment, providing training and education on workplace hazards to the workforce; and providing routine educational and workplace intervention programs. The question of whether co-workers are at risk must be addressed. Where possible, recommendations for mitigating exposures will be developed and promulgated. The objectives are a prompt, safe return to work for the affected individual, and the prevention of other cases of occupational illness. Outreach to involved work sites is required.
- **Social Work Support Services.** (Max 6 points) Providing individual counseling for patients and their families regarding financial, social, and psychological aspects of occupational disease is another important objective and a service that must be available. This will involve discussing problems and developing action plans directed towards resolving issues including crisis intervention, education about illness and injury, legal services, financial issues, and referrals to community agencies. Disability assessment and rehabilitation services to facilitate safe return to work need to be addressed.
- **Preventive Services.** (Max 8 points) Another key component of the clinic's prevention activities is the provision of occupational health and safety education. Group screenings will be conducted, as appropriate. Prevention activities will be part of every group screening. Clinics will provide education to workers on the prevention of occupational injury and illness. Clinics should make these resources publicly available. Education will be provided to individual patients, and to groups including workers, employers, unions, or community organizations.
- **Education of the Medical Community.** (Max 6 points) In addition, education and training will be offered to health professionals outside the clinic in order to broaden the base of occupational health and safety knowledge within the medical community and to increase awareness of potential occupational health hazards. This should include working with students in the medical community by providing education, acting as preceptors, assisting with clinical rotations, and/or arranging for site visits to industrial settings. Education to primary care providers including conducting grand rounds and speaking at professional meetings should also be provided.
- **Services to Special Populations as Identified by the Needs Assessment.** (Max 6 points) Clinics will identify groups of workers from their catchment area who are at high-risk of occupational disease and who have limited access to high quality occupational medicine services. A description of provider qualities and other factors that are likely to address these identified needs will be provided as part of the needs assessment.

7. Budget (maximum 20 points)

Applicants should submit a 12-month budget, assuming a 9/1/2018 start date, using the on-line

template in the Grants Gateway. All costs must be related to the provision of OHCN, as well as be consistent with the scope of services, reasonable and cost effective. Justification for each cost should be submitted in narrative form. Justification should include the percentage of time and explanation of duties to be performed by both staff and contracted entities.

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.

Any ineligible budget items will be removed from the budget prior to contracting. The budget amount requested will be reduced to reflect the removal of the ineligible items.

Administrative (Indirect) costs will be limited to a maximum of 10% of total direct costs.

The budget must include support for key personnel from their institution integrally involved in the clinic operations to attend four meetings held quarterly each year, in Albany.

The application should also include a comprehensive plan showing all possible income sources including: research grants, insurance reimbursement, and Service Contracts (screenings).

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 NYSDOH Bureau of Occupational Health & Injury Prevention. There will be one (1) external and two (2) internal reviewers.

Awards will be made to the highest acceptable scoring applicants in the NYC region. Applications must receive a passing score of 70 to be considered for funding. If there is not one application (scoring 70 or above) received for the NYC region, the NYSDOH reserves the right to fund an application scoring in the marginal range (60-69). **If there is not an application scoring 60 or above in the**

NYC region, NYSDOH reserves the right to re-solicit the region.

In the event of a tie score, the applicant with the highest score in Application Section 3 - Work Plan breaks the tie.

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.

Once an award has been made, applicants may request a debriefing of their application. 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 David Googins at OHCN@health.ny.gov. In the subject line, please write: *Debriefing request – Occupational Health Clinic Network – Reissue for the NYC Region.*

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>.

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 Application Cover Page*
- Attachment 2: Letter of Interest Sample Format*
- Attachment 3: Not-for-Profit Attestation*
- Attachment 4: Vendor Responsibility Attestation*
- Attachment 5: Grants Gateway Budget Instructions
- Attachment 6: Grants Gateway Budget Data Entry Guidelines*
- Attachment 7: Work Plan Instructions
- Attachment 8: Minority & Women-Owned Business Enterprise Requirement Forms*

*These attachments are located/included in the Pre Submission Upload section of the Grants Gateway on line application.

ATTACHMENT 5

Grants Gateway Budget Instructions *Applications OR New Budget Periods*

Data Entry of the Expenditure Budget - A step by step data entry document titled “**Grants Gateway Budget Data Entry Guidelines**” has been provided in Pre-Submission Uploads located in the Forms Menu.

- It may be beneficial to use this document as a guide for drafting the budget off-line prior to completing the Expenditure Budget in the Grants Gateway.
- The data entry document highlights the character limits for each field of the Expenditure Budget. Character limits are based on all characters including spaces.

Funding Opportunity Specification – The following specifications should be adhered to when completing the expenditure based budget. Failure to adhere to these specifications may result in a reduction of allotted points. Successful applications recommended for award will require modification to meet these specifications prior to contract approval.

- For each section of the budget entered online in Grants Gateway under the Narrative section enter details about other funds for required components of the program.

Additional Considerations

- All costs must directly relate to the provision of services outlined in this funding opportunity, be consistent with the scope of services, reasonable, and cost effective.
- Contracted organizations must have on file documentation to support allocation of shared costs to the contract in accordance with applicable regulations and approved budget.
- For each section of the budget in which a budget item is proposed, all required fields must be completed. Failure to complete required fields will result in a global error message which must be resolved prior to submission.
- Failure to provide complete, clear, and concise information may result in a reduced score.
- Equipment purchases for major items that will depreciate in a very short period of time (e.g. one to three years) will only be considered when supported by a strong justification. The Department of Health (DOH) recognizes that organizations may classify items as equipment within their own accounting system that do not fall under the definition of equipment and may be included in the equipment budget category.
- Budget justifications should identify the proposed goods/services that are programmatically necessary and describe how this expense supports the Work Plan objectives of the project. The justification should provide sufficient detail to demonstrate that specific uses and amounts of funding have been carefully considered, are reasonable and are consistent with the approaches described in the Work Plan.
- Budget lines that are not well-justified may negatively impact the application score and/or delay the budget approval process.
- Indirect costs for organizations without a federally-approved indirect cost rate, will be limited to no more than 10% of total direct costs.
- A “match” contribution is **NOT** required for this grant award. Please do not enter information in the match sections of the budget.

- For fields titled “Other Funds” always leave blank. Additional costs incurred by the program, referred to as “in-kind contributions” should be detailed under the narrative sections for the respective budget category. (i.e. In-kind staff should not be listed in the Salary Detail, but please identify any in-kind staff and the grant deliverable their work supports in the Personal Services – Salary Narrative)
- **Travel:** All Travel, other than travel for individuals / organizations funded under the contractual service line, subcontractor travel, should be budgeted in this section. If awarded Out-of-State travel requires prior approval.
 - OCS Guidelines: <http://www.osc.state.ny.us/agencies/travel/manual.pdf>
 - USGSA: <http://www.gsa.gov/portal/category/21283>

Document Uploads (as applicable)

If using a Federally Approved Rate Agreement, *upon award, a Federally Approved Rate Agreement must be uploaded to the Grantee Document Folder located in the Forms Menu.*

Other Helpful Links:

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: <https://www.federalregister.gov/documents/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>

CFR Supbart E - Basic Considerations: http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rgn=div5#sg2.1.200_1401.sg12

ATTACHMENT #7

Gateway Work Plan Instructions

Please refer to Section 6.2.10.2 – Grantee Defined Work plan of the Grantee User Guide (available at: <http://grantsreform.ny.gov/Grantees> and clicking on “Grantee User Guide” in the Quick Links Menu) for instructions on how to complete the Work Plan.

Below is a quick summary on completing the on line Work Plan:

- Click on the Work Plan Overview Form and complete all the mandatory fields. All the fields on the Work Plan Overview form are mandatory. Be sure to Click on the SAVE button after all information is entered.
- Click on the Objectives link to enter an Objective for this project. Be sure to Click on the SAVE button after all information is entered.
- After you save the Objective, Hover over the Forms Menu and click on the Tasks link to enter task(s) for the Objective you created. Enter all the required information and click on the save button on the Tasks screen.
- Hover over the Forms Menu and click on the Performance Measure link to enter Performance Measure(s) for the Task(s) you created.
- Enter all the required information and click on the save button on the Performance Measure screen.
- Once one set of Objectives, Tasks, and Performance Measures are complete, you can add a second (or more) set. Click on the Add Button. Note: The system will allow adding more than one objective if not restricted by Funding Agency.
- Once a second set is created, you can toggle between the two to work on them by clicking the dropdown with the Go button (this will appear after the second set is created).