

Funding Opportunity # 16734

**Grants Gateway # DOH01-DWF1R2-2016 (Component 1) –
Round 2**

**Grants Gateway # DOH01- DWF2R2-2016 (Component 2) –
Round 2**

New York State Department of Health
Center for Community Health/Division of Family Health
Bureau of Child Health

Drinking Water Fluoridation (Projects less than or equal to \$50,000)

Component 1: Planning Projects
Component 2: Implementation Projects

**This is a procurement which encompasses 2 components.
In order to apply for either component, eligible applicants must submit separate applications for
each Component via the New York State Grants Gateway.**

KEY DATES

Release Date:	May 13, 2016
Questions Due:	May 31, 2016
Questions, Answers and Updates Posted (on or about):	June 23, 2016
Applications Due:	Accepted on a rolling basis from May 13, 2016 until August 31, 2016 by 4:00PM. Refer to Pg. 11 of the FO for additional details.
DOH Contact Name & Address:	Erin C. Knoerl Community Water Fluoridation Program Manager NYS Department of Health Bureau of Child Health Room 878 Corning Tower, Empire State Plaza Albany, N.Y. 12237 oralhealth@health.ny.gov

Table of Contents

I. Introduction	3
II. Who May Apply	3
Component 1: Planning Projects	4
Component 2: Implementation Projects	4
III. Project Narrative/Work Plan Outcomes.....	4
Component 1 - Planning Projects	4
Component 2 - Implementation Projects	5
IV. Administrative Requirements	8
A. Issuing Agency	8
B. Question and Answer Phase	8
C. How to file an application.....	9
D. The Department of Health’s Reserved Rights	10
E. Term of Contract.....	11
F. Payment and Reporting Requirements.....	11
G. Vendor Identification Number	12
H. Registration for the Grants Gateway.....	12
I. Minority & Woman-Owned Business Enterprise Requirements	12
V. Completing the Application.....	13
A. Application Format/Content	14
B. Review and Award Process	17
VI. Attachments	18

I. Introduction

Community water fluoridation is considered by the Centers for Disease Control and Prevention to be one of the ten great public health achievements of the 20th century because of its role in the decline of tooth decay in children and tooth loss in adults. Today, even with widespread use of fluoride toothpaste, mouth rinse, and professional fluoride treatments, water fluoridation has been shown to reduce tooth decay by an additional 25% over one's lifetime. Fluoridation of community water supplies benefits everyone in the community regardless of age, race, and socioeconomic factors such as income or insurance status.

The 2016-17 Executive Budget authorizes the New York State Department of Health (NYSDOH) Commissioner of Health to establish a grant program to municipalities for costs related to the construction, installation, repair, replacement, or upgrade of fluoride equipment in drinking water facilities.

The purpose of this funding is to award counties, cities, towns, or villages (municipalities) up to \$50,000 for the planning and implementation of community water fluoridation. The funding opportunity is separated into two parts:

1. Component 1: Planning Projects
2. Component 2: Implementation Projects

This specific funding opportunity announcement encompasses the two components above. Component 1 aims to support municipalities seeking to **pursue an Engineering report to initiate or maintain water fluoridation** and Component 2 aims to support municipalities looking to **upgrade, replace, repair or purchase equipment to initiate or maintain water fluoridation**.

For Implementation Projects greater than \$50,000, applicants should refer to the Drinking Water Fluoridation Request for Application #**1604120739**, available on the Grants Gateway (DOH01-DWF3R2-2016).

Applicants may request up to \$50,000 in funding and may only apply for one Component at a time. If both Components are required for your project, it is advised that you submit an application for Component 1 (Planning Project) first. Once Component 1 is awarded/funded and an approved Engineering Report is obtained, a separate application may be submitted for implementation. If the implementation cost is \$50,000 or less, apply for funding under Component 2 of this funding opportunity (DOH01-DWF2R2-2016). If the costs are greater than \$50,000, apply for implementation funding through the Drinking Water Fluoridation Request for Application # **1604120739**, available on the Grants Gateway (DOH01-DWF3R2-2016).

II. Who May Apply

A. Minimum eligibility requirements

All applicants must meet the following criteria:

Applicants must be a NYS county, city, town, or village that own their *public water system* and water supply including a county in which a public authority owns both its public water system

and the water supply for the system. Please note: Federal Government, Native American, private, and State owned water systems are not eligible for this funding; and

- The water system must be a *community water system* or sell water *wholesale* to one or more community water systems.

In addition to the eligibility criteria listed above, applicants must meet one of the following criteria below. Note the criteria differ based on the Component being applied for.

Component 1: Planning Projects

- The water system must:
 - Serve at least 5,000 people (includes people served directly through *service connections* and indirectly through *wholesale* purchase); or
 - Currently be fluoridating the public water supply; or
 - Have the necessary approvals in place to add fluoride to the public water supply in accordance with [New York State Public Health Law §1100-a](#). Applicants should provide documentation of this in the Grants Gateway under the appropriate Program Specific Question. Documentation may include: a resolution, local ordinance or letter from the water system's Authorizing Official or an *Approval of Plans for Public Water Supply Improvement* form (form DOH-1017) issued to the municipality by the NYSDOH or your Local Health Department.

Component 2: Implementation Projects

- The water system must:
 - Currently be fluoridating the public water supply; or
 - Have the necessary approvals in place to add fluoride to the public water supply in accordance with [New York State Public Health Law §1100-a](#). Applicants should provide documentation of this Official in the Grants Gateway under the appropriate Program Specific Question. Documentation may include: a resolution, local ordinance or letter from the water system's Authorizing Official or an *Approval of Plans for Public Water Supply Improvement* form (form DOH-1017) issued to the municipality by the NYSDOH or your Local Health Department.

III. Project Narrative/Work Plan Outcomes

Component 1 - Planning Projects

This component is for municipalities looking to develop an Engineering Report for water fluoridation specifically for:

- Establishment of new community water fluoridation systems; or
- Upgrading existing fluoridation systems, including projects that have structural, chemical, or process modifications, that require professional design services.

This component aims to help both municipalities currently fluoridating and not fluoridating. For systems looking to start fluoridation, Component 1 aims to help municipalities determine the technical feasibility of initiating fluoridation. For currently fluoridating systems, this Component aims to help water systems develop a technical plan to replace or upgrade their existing fluoridation system. Funding from this Component may be used to develop the

Engineering Report needed to apply for the Drinking Water Fluoridation Request for Application # **1604120739**, available on the Grants Gateway (DOH01-DWF3R2-2016), and needed to apply for certain types of projects outlined in Component 2 of this funding opportunity (Grants Gateway # DOH01-DWF2R2-2016).

Funding will be made available to municipalities to hire a New York State licensed professional engineer to develop a full Engineering Report in accordance with Section 1.1 of [*Recommended Standards for Water Works, 2012 Edition*](#) and Attachment 3. Where fluoridation system implementation or improvements/upgrades are part of a larger project, only the costs associated with the fluoridation component will be eligible for funding under this opportunity.

A Project Coordinator from the municipality should be assigned to oversee the engineer and the project as a whole. This person should be indicated on the Grant Application Coversheet (Attachment 1). If needed, funding may be used to support the Coordinator's effort. The percentage of effort should be included in the Budget. An explanation for how the percent effort was calculated should be included in the Budget Justification.

Component 2 - Implementation Projects

This component is for municipalities looking to:

- Replace, repair, or upgrade existing water fluoridation equipment; or
- Install fluoridation systems to implement fluoridation.

This component aims to help municipalities that have made a commitment to implement or maintain water fluoridation in the community. Funding will be made available to municipalities to cover the costs associated with the construction, installation, repair, replacement, or upgrade of fluoride equipment in drinking water facilities. Where fluoridation system implementation, improvements or upgrades are part of a larger project, only the costs associated with the fluoridation component will be eligible for funding under this opportunity. Please note, costs associated with the operation of the fluoridation system are not eligible under this or any of the fluoridation funding opportunities.

A Project Coordinator from the municipality should be assigned to oversee the project. This person should be indicated on the Grant Application Coversheet (Attachment 1). If needed, funding may be used to support the Coordinator's effort. The percentage of effort should be included in the Budget. An explanation supporting the percent effort need for the Coordinator should be included in the Budget Justification.

These projects should be included in a separate application under this funding opportunity for projects costing \$50,000 or less (DOH01-DWF2R2-2016).

PLEASE NOTE: For requests greater than \$50,000, apply under the Drinking Water Fluoridation Request for Application # **1604120739**, available on the Grants Gateway (#DOH01-DWF3R2-2016).

In order to be considered for funding, applicants must meet all of the eligibility requirements and must complete and attach the following items:

- Grant Application Cover Sheet (Attachment 1)
- Community Needs Assessment Table (Attachment 2)
- Minority and Women Business Owned Forms (Attachment 9)

1. Population Health Impact

The applicant will need to include information about the populations directly (through *service connections*) and indirectly (through *wholesale* purchase) served by the public water supply. The following information will need to be included within the application to gain an understanding of the overall health need and potential public health impact:

- List of cities, towns, and villages directly or indirectly served by your public water system
- Number of people being served by those public water systems
- Percent of children participating in the free and reduced lunch program
- Percent of children (ages 0-20) on Medicaid
- Median household income
- Federal designation as a Dental Health Professional Shortage Area (can be determined by visiting <http://hpsafind.hrsa.gov/>)

2. Community Need and Support

The applicant should explain the needs of the community.

For **Component 1- Planning Projects**, applicants will need to describe the:

- Need for a new or updated Engineering Report for fluoridation.
- Infrastructure of the public water system.
- Proposed work to be done including the scope of work for the Engineer.

For **Component 2- Implementation Projects**, applicants will need to describe the:

- Need for new or replacement equipment and how this will impact the community.
- Technical feasibility of the proposed project. Applicants will need to include either an Engineering Report prepared by a New York State licensed professional engineer or a Technical Submittal prepared by a New York State licensed professional engineer, licensed water operator, or other knowledgeable authority with their application. The type of technical report required depends on the type of implementation project.

Type of Project	Type or Report Required	For Report Requirements Refer to
Installation of equipment to implement fluoridation	Engineering Report	Attachment 3
In-kind equipment replacement	Technical Submittal	Attachment 4

Equipment replacement involving a structural, chemical or process modification	Engineering Report	Attachment 3
--	--------------------	--------------

Note: All components of the Report/Submittal must be combined into one pdf **no larger than 10MB**. If the file size is larger, applicants should upload a condensed pdf version (this should be denoted in the Report/Submittal along with the size, in MB, of the full report/submittal). The NYSDOH reserves the right to request the full Engineering Report/Technical Submittal prior to announcing awards/executing contracts.)

- Proposed work to be done, including a list of proposed feed, monitoring, overfeed prevention, laboratory and safety equipment and appurtenances.

All applicants will also need to describe the community’s commitment or support for fluoridation. This may include internal or public efforts to discuss, promote or maintain fluoridation in the community.

3. Budget

Applicants need to complete the budget on line. Please refer to the budget instructions in Attachment 6. All costs must be related to the planning of fluoridation, as well as be consistent with the scope of services, reasonable and cost effective. For **Component 1**, funding should primarily be used to hire a NYS licensed professional engineer to develop the Engineer’s Report. For **Component 2**, funding should primarily be used to purchase or repair fluoridation equipment. Costs may also be used to partially support a municipal employee to act as the Project Coordinator. This person will be responsible for the oversight and coordination of the engineer and the overall project.

Justification for each cost should be submitted in narrative form. For all existing staff, the Budget Justification must delineate how the percentage of time devoted to this initiative has been determined.

This funding may only be used to expand existing activities or create new activities pursuant to this funding opportunity. 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 costs will be limited to a maximum of 15% of total direct costs.
- If personnel costs are included in the budget, the percentage of staff time should be commensurate with their role in the implementation of this project.

Estimates for work and equipment required for the either component should be uploaded in the pre-submission upload section of Grants Gateway. Applicants may use Attachment 7 or can upload a similar style estimate document. Those applying for **Component 2** may use the cost estimate section from the Engineer’s Report or Technical Submittal.

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 funding opportunity. The value assigned to each section is an

indication of the relative weight that will be given when scoring your application.

IV. Administrative Requirements

A. Issuing Agency

This funding opportunity is issued by the New York State Department of Health (NYSDOH), Division of Family Health, Bureau of Child Health. The NYSDOH 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 or via email to:

Erin C. Knoerl
Community Water Fluoridation Program Manager
Bureau of Child Health
New York State Department of Health
878 Corning Tower
Albany, NY 12237
Ph: 518-474-1961
oralhealth@health.ny.gov

To the degree possible, each inquiry should cite the Funding Opportunity section and paragraph to which it refers. Written questions will be accepted until the date posted on the cover of this Funding Opportunity. 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 by emailing oralhealth@health.ny.gov or via telephone by calling *Ms. Knoerl at 518-474-1961*. **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 Funding Opportunity.

- www.grantsreform.ny.gov/grantees
- Grants Reform Videos (includes a document vault tutorial and an application tutorial) on YouTube: <http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>
- Agate Technical Support Help Desk
Phone: 1-800-820-1890
Hours: Monday thru Friday 8am to 8pm
Email: helpdesk@agatesoftware.com
(Technical questions)

- Grants Team Email: Grantsreform@budget.ny.gov
(Application Completion, Policy, and Registration questions)
- www.grantsgateway.ny.gov

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 Funding Opportunity has been posted on the NYS Grants Gateway website at: https://www.grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx and 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 Funding Opportunity.

C. 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 Funding Opportunity. Tutorials (training videos) for use of the Grants Gateway are available at the following web address (and upon user log in): https://www.grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx.

To apply, log into the Grants Gateway and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name listed above and select the Department of Health as the Funding Agency and hit the Search button. Click on the name of the Grant Opportunity from the search results grid and then click on the APPLY FOR GRANT OPPORTUNITY button located bottom left of the Main page of the Grant Opportunity.

In order to access the online application and other required documents such as the attachments, you MUST be registered and logged into the NYS Grants Gateway system in the user role of either a “Grantee” or a “Grantee Contract Signatory”.

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

For further information on how to apply, please access the Grantee Quick Start Guide under the Pre-Submission Upload Properties for this opportunity.

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: <http://grantsreform.ny.gov/Grantees> and select the “Grantee Quick Start Guide” from the menu. There is also a more detailed “Grantee User Guide” available on this page as well.

Applicants should submit their applications, **at a minimum**, one (1) hour prior to the submission deadline. The system will perform an application error check and all identified issues must be resolved before the application is successfully submitted. Failure to leave adequate time to address issues identified during this process may jeopardize an applicant’s ability to submit their application. The Grants Gateway will notify applicants of successful submission.

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

D. The 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 opportunity.
2. Withdraw the opportunity at any time, at the Department’s sole discretion.
3. Make an award under the opportunity in whole or in part.
4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the opportunity.
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 opportunity.
7. Prior to application opening, amend the opportunity 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 opportunity 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 opportunity.
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 opportunity, 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 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 opportunity.
17. Negotiate with successful applicants within the scope of the opportunity 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.

E. Term of Contract

It is expected that contracts resulting from this FO will have the following time period:

- For applications received on or before June 30, 2016 (first review cycle), the anticipated contract period is October 31, 2016-October 30, 2017.
- For applications received on or before August 31, 2016 (second review cycle), the anticipated contract period is December 31, 2016-December 30, 2017.

Contracts will be awarded for an initial 12-month period, with an option for a no-cost extension for projects that require additional time to be completed. This is dependent on the availability of funding and the contractor's performance over the initial contract year.

F. Payment and Reporting Requirements

The grant contractor will be required to submit *QUARTERLY* invoices and required reports of expenditures to the State. Invoices and reports should be submitted electronically to the following designated payment office: dfh.boa@health.ny.gov. In the future, invoices and reports will be required to be submitted through the Grants Gateway. Contractors will be given notice prior to this shift.

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, and the Department. 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.

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

G. 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 include the Vendor Identification number on the application cover sheet. 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.

H. Registration for the Grants Gateway

Counties/municipalities must be registered in the Grants Gateway.

If not already registered, 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 Gateway.

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

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%** on any subcontracted labor or services, equipment, materials, or any combined purchase of the foregoing greater than \$25,000 under a contract awarded from this solicitation. 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 upper right hand side of the webpage under “Search for Certified Firms” and accessed by clicking on the link entitled “MWBE 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 9** of this FO. 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.

V. Completing the Application

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.

ALL APPLICATIONS SHOULD CONFORM TO THE FORMAT/CONTENT PRESCRIBED BELOW. POINTS WILL BE DEDUCTED FROM APPLICATIONS WHICH DEVIATE FROM

THE PRESCRIBED FORMAT.

A. Application Format/Content

1. Pre-Submission Uploads

The following attachments need to be completed and uploaded with the application.

- a. The Grant Application Cover Sheet (Attachment 1)
- b. MWBE forms (Attachment 9)

2. Program Specific Questions

- a. Program Summary (*Maximum Score: 10 points - **both** components*)

- The purpose of this section is to summarize the entire project. Provide a brief description of the proposed work to be done and the reason why it is necessary. (*1,000 character limit*)
- Briefly describe the process or internal controls that will be used to control project costs and maintain economic efficiency. (*1,000 character limit*)
- Describe and/or upload documentation indicating how the water system has met the following eligibility criteria:
 - For **Component 1**:
 - Serves 5,000 through service connections, wholesale or both; or
 - Currently is fluoridating the water supply; or
 - Has necessary approvals in place to fluoridate the water supply.
 - For **Component 2**:
 - Currently is fluoridating the water supply; or
 - Has necessary approvals in place to fluoridate the water supply.

- b. Statement of Need (*Maximum Score: 30 points - **both** components*)

- Upload Attachment 2, Community Needs Assessment Table.
- Describe any additional considerations about the data reported in the Community Needs Assessment Table (Attachment 2) or other concerns that supports the Statement of Need. (*1,000 character limit*)

*Additional questions for **Component 1** applicants*

- Provide a detailed description of the need for a new or updated Engineering Report. Please note what, if any, structural, chemical or process modifications are involved with the need for a new report. If you currently fluoridate, describe any problems/issues resulting from age, poor condition of, or lack of, proper equipment. For example, note challenges or inability to provide optimal fluoride concentrations or to accurately monitor fluoride concentrations (could include a past overfeed incident). Also note if the system is currently offline for health and safety reasons. (*4,000 character limit*)

*Additional questions for **Component 2** applicants*

- Describe of the need for new or replacement equipment and how this will impact the

community (4,000 character limit). Please include:

- Name(s) of equipment being upgraded, replaced, repaired or added.
 - Age and condition of equipment being upgraded, replaced, or repaired.
 - Detailed description of any equipment problems/issues resulting from age, poor condition of, or lack of, proper equipment. Note challenges or inability to provide optimal Fluoride concentrations or to accurately monitor Fluoride concentrations or if equipment is currently offline for health and safety reasons.
 - Other infrastructure needs beyond equipment such as construction of new room for fluoridation equipment or fluoride additive storage. (If this is not applicable, state so within the description.)
- Upload a one page statement and justification from the water supply owner or the water system's operator/engineer in charge that verifies the age and condition of existing fluoridation equipment and the need for replacement and/or new equipment. (Upload this document at the appropriate Program Specific Question in the Grants Gateway). (1,000 character limit)

c. Description of Project (*Maximum Score: 20 points - both components*)

- Describe any efforts the municipality has taken to discuss, promote or maintain fluoridation in the community. (1,000 character limit)
- Upload any documentation showing commitment or support for fluoridation. This may include resolutions, laws, awards, letters of support, community-level fluoridation promotion activities, etc. (Upload these documents at the appropriate Program Specific Question in the Grants Gateway. Please note: All documents must be combined into one pdf no larger than 10MB.)

*Additional questions for **Component 1** applicants*

- Provide a detailed description about the infrastructure of the public water system. Include the number of active water sources, treatment plants, and distribution centers. If there are multiples of any of the aforementioned, make note of how often each are utilized (daily, seasonally, only in emergency, etc.). (4,000 character limit)
- Provide a detailed description of proposed work to be done. Include whether the system is looking to add fluoridation or replace or repair an existing fluoridation system, how the engineer will be selected, the scope of work anticipated, and other details deemed appropriate. (4,000 character limit)

*Additional questions for **Component 2** applicants*

- Provide a detailed description of proposed work to be done. Include a list of proposed feed, monitoring, overfeed prevention, laboratory and safety equipment and appurtenances. Describe if/how upgrades will improve system's ability to provide and monitor optimal fluoride concentrations and prevent overfeed. (4,000 character limit)

- Please indicate in the description which of the following best describes your current fluoridation status:
 - System has not been fluoridating due to faulty or broken fluoridation equipment.
 - System is fluoridating at the optimal level but the equipment is in need of repair or the system is being switched to a new fluoride additive.
 - System was fluoridated in the past but has discontinued and wishes to restart.
 - System has never been fluoridated but has been approved to initiate a fluoridation program.
- Describe if this project is a Type I or Type II action under NYS Department of Environmental Conservation (DEC) State Environmental Quality Review Act (SEQR). If it is a Type I action, upload the documentation from NYS DEC that all provisions of SEQR have been met. (This should be uploaded at the appropriate Program Specific Question in the Grants Gateway). *(1,000 character limit)*

d. Program Activities *(Maximum Score: 10 points - **both** components)*

- State the timeline for the project:
 - For **Component 1** include:
 - Solicitation of bids/selection of Engineer
 - Development of Engineering Report
 - For **Component 2** include:
 - Solicitation of bids or quotes from vendors;
 - Selection of vendor;
 - Purchase of equipment;
 - Installation of equipment;
 - Certification of project completion.

*Additional questions for **Component 2** applicants*

- Describe how you will ensure that new equipment will be in place and in use for administering appropriate levels of fluoride into the drinking water within six months from the final invoice submission. *(4,000 character limit)*
- Upload the applicable report: Engineer's Report (Attachment 3) or Technical Submittal (Attachment 4) (This should be uploaded under the appropriate Program Specific Question in the Grants Gateway. Please note: All sections of the Report/Submittal must be combined into one pdf no larger than 10MB. If the file size is larger, applicants should upload a condensed version. The NYSDOH reserves the right to request the full Engineering Report prior to announcing awards/executing contracts.).

e. Work Plan *(Maximum Score: 10 points – both components)*

- This funding opportunity has a Grant Opportunity Defined work plan set in the Grants Gateway. The Objectives and Tasks cannot be removed from the work plan. The applicant will adhere to the implementation of the work plan activities per the standardized work plan. In the Work Plan Properties section of the Grants Gateway on line application, please enter the required performance measures for each work plan

objective as listed in Attachment 5.

f. Budget (*Maximum Score: 20 points - both components*)

- Provide a budget narrative that includes a description for all costs including those related to engineering (**Component 1**) and construction, installation, repair, replacement, or upgrade of fluoride equipment (**Component 2**). (*4,000 character limit*)
- Provide detailed cost estimates for proposed work. Cost estimates should include engineering and/or services costs as appropriate. (This will be uploaded under the appropriate Program Specific Question in the Grants Gateway.)
- Upload all bids, quotes and cost estimates for equipment or services related to the project. (This will be uploaded under the appropriate Program Specific Question in the Grants Gateway.)

Applicants need to complete Year 1 of the budget on line.

B. Review and Award Process

Applications meeting the guidelines set forth above will be reviewed and evaluated competitively by staff within the NYSDOH, Center for Community Health. A technical advisor from the Bureau of Water Supply will review the technical components of the “Description of the Project” and “Activities” section of the application. The technical advisor will ensure that the proposed description of the project is feasible and includes the necessary components to upgrade the system in order to provide and monitor optimal fluoride concentrations. The technical advisor will notify the review team of any inadequate or missing technical pieces of the description and activities section.

Applications will be reviewed and scored on the basis of population health impact, community need and support, and budget.

An application must have a minimum score of 65 to be considered for funding. Awards will be ranked by score and the top scoring applications will be funded.

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

In the event of a tie score, a higher score in Section V- Statement of Need, breaks the tie.

Applications will be accepted and reviewed on an ongoing basis.

- For applications received on or before June 30, 2016 (first review cycle), the anticipated contract period is October 31, 2016-October 30, 2017.
- For applications received on or before August 31, 2016 (second review cycle), the anticipated contract period is December 31, 2016-December 30, 2017.

VI. Attachments

Please note that certain attachments are accessed in the “Pre-Submission Uploads” section of an online application. 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:*	Grant Application Cover Sheet
Attachment 2:*	Community Needs Assessment Table
Attachment 3:	Content to be included in an Engineer’s Report
Attachment 4:	Content to be Included in a Technical Submittal
Attachment 5:	Performance Measures for the Work Plan
Attachment 6:	Gateway Budget Instructions
Attachment 7:*	Cost Estimates Form
Attachment 8:	Drinking Water Fluoridation - Planning and Implementation Definition Sheet
Attachment 9:*	Minority & Women-Owned Business Enterprise Requirement Forms

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

Attachment 3:

Content to be included in an Engineer's Report Developed Under this Funding Opportunity

The Engineering Report developed under Component 1 or required for Component 2¹ must be prepared by a New York State licensed professional engineer. The Report must clearly state the scope of the project and must contain the project-relevant components listed under Section 1.1 of [*Recommended Standards for Water Works, 2012 Edition*](#). The Engineer's Report must include the following:

- a. Basic system information: population served, consecutive systems served, total population served, average daily water demand, number of Fluoride feed locations, peak flow demand at each feed location, typical Fluoride concentration provided in finished water.
- b. Detailed assessment of existing fluoridation equipment, including age and condition of existing equipment.
- c. Detailed description of any problems/issues resulting from age, poor condition of, or lack of, proper equipment. For example, note challenges or inability to provide optimal Fluoride concentrations or to accurately monitor Fluoride concentrations (could include a past overfeed incident).
- d. Detailed description of proposed work to be done. List of proposed feed, monitoring, and overfeed prevention equipment and appurtenances. Describe if/how upgrades will improve system's ability to provide and monitor optimal Fluoride concentrations and prevent overfeed.
- e. Documentation, if available, from previous fluoride facilities inspections/assessments with recommended improvements. This may include information from, in whole or in part, NYS DOH Optimization Program Reports from 2006 – 2008, NYS DOH Comprehensive Performance Evaluation (CPE) Reports, State or local Health Department Sanitary Survey inspection reports,, NY Rural Water Association (RWA) inspections, or other evaluations done by water engineers or drinking water professionals.
- f. Schematic drawings.
- g. Detailed cost estimates for proposed work. Cost estimates should include engineering and/or services costs as appropriate.
- h. Detailed schedule for proposed work.
- i. Documentation from the NYS Department of Environmental Conservation (DEC) that the project is a Type II action under the State Environmental Quality Review Act (SEQR). If the project is a Type I or Unlisted action, submit documentation from NYSDEC that all the provisions of SEQR have been complied with. Most projects will likely be Type II Actions; however, newly fluoridating systems may need to do a SEQR Type I Action.
- j. A statement of measures and means that will be used to control project costs and maintain economic efficiency.

¹ An Engineering Report must be included with the application, to be considered complete, for the following types of projects:

- Projects installing equipment to implement fluoridation; or
- Equipment replacement projects involving a structural, chemical or process modification.

Attachment 4

Content to be Included in a Technical Submittal for this Funding Opportunity

A Technical Submittal must be included with the application, to be considered complete, for the following types of projects:

- In-kind equipment replacement

The Technical Submittal should be developed by a New York State licensed professional engineer, licensed water operator, or another knowledgeable authority and include a discussion of the technical aspects of the project. This must include a detailed project description and should include discussion of the water system's source inventory and existing treatment processes. This information should be presented in a submittal of at least one entire page in length and may be in the form of a letter report or Preliminary Engineering Report. [Please note that for projects greater than \$35,000 in Implementation costs where competitive bidding is required under Municipal Law, consideration should be given to using professional engineering services.] Technical submittals should include:

- Assessment of existing fluoridation equipment, including age and condition of existing equipment.
- Description of any problems/issues resulting from age, poor condition of, or lack of, proper equipment. For example, note challenges or inability to provide optimal Fluoride concentrations or to accurately monitor Fluoride concentrations (could include a past overfeed incident).
- Description of proposed work to be done.
- Cost estimates for proposed work. Cost estimates should include engineering and/or services costs as appropriate.
- Schedule for proposed work.
- A justification statement about the need for the project with respect to any socioeconomic indicators and challenges faced by the applicant community.

The submittal may include:

- Documentation from previous fluoride facilities inspections/assessments with recommended improvements. This may include information from, in whole or in part, NYS DOH Optimization Program Reports from 2006 – 2008, NYS DOH Comprehensive Performance Evaluation (CPE) Reports, State or local Health Department Sanitary Survey inspection reports, NY Rural Water Association (RWA) inspections, or other evaluations done by water engineers or drinking water professionals.

Attachment 5

Performance Measures for the Work Plan

This funding opportunity has a Grant Opportunity Defined work plan set in the Grants Gateway. The Objectives and Tasks cannot be removed from the work plan. The applicant will adhere to the implementation of the work plan activities per the standardized work plan. In the Work Plan Properties section of the Grants Gateway on line application, please include the following required performance measures for each work plan objective.

- Hover over the Forms Menu and click on the Performance Measure link to enter Performance Measure(s).
- Enter all the required information and click on the save button on the Performance Measure screen.

Component 1

Objective: Licensed Professional Engineer

Performance Measure 1: A NYS licensed professional engineer is selected and hired within 90 days of signing the DOH contract.

Note the specific day/month/year will be submitted by the contractor with their first quarterly report.

Objective: Engineer's Report

Performance Measure 2: The Engineer's report is submitted to the municipality within 364 days of DOH contract execution.

Note the specific day/month/year will be submitted by the contractor with their first quarterly report.

Component 2

Objective: Engineer's Report

Performance Measure 1a: The project scope is approved within 90 days of DOH contract execution.

Note the specific day/month/year will be submitted by the contractor with their first quarterly report.

Performance Measure 1b: Obtain bids for equipment installation and select vendors within 180 days of DOH contract execution.

Note the specific day/month/year will be submitted by the contractor with their first quarterly report.

Objective: Fluoride Distribution

Performance Measure 2: Delivery of fluoridated water is provided by the new or updated public water system within 180 days of the final invoice to DOH.

Note the specific day/month/year will be submitted by the contractor with their first quarterly report.

Attachment 6

Gateway Budget Instructions

The budget will be completed on-line through the Grants Gateway

Complete the online Budget for Year One of the project.

Please refer to Section 6.2.9.1 – Expenditure Budget 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 online Budget.

Please refer to the training video – Grantee Tutorial: Apply for Funding (available at: <http://grantsreform.ny.gov/youtube> and clicking the appropriate link) for detailed instructions on how to complete the online budget with examples that include the budget match requirement. This content begins approximately nine minutes into the video. Online training opportunities are also available at: <http://grantsreform.ny.gov/training-calendar>. Below is a quick summary:

- Click on each applicable detail budget category form you need to include in your budget. Enter all required information. Be sure to Click on the SAVE button after all information is entered.
- The Expenditure Budget Summary in the Forms Menu will display the total Grant Funds, Match Funds, Match Percent, and Other Funds for your budget. Please review this summary to determine whether or not you are meeting the requirements of the FO.
- After you save each detail budget form, hover over the Forms Menu and click on the associated Narrative form. Use this form to provide a detailed justification for each budget line. 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 will negatively impact the application score.
 - Starting with personnel, **fully justify** amounts requested in each budget category and budget line.
 - Provide a **detailed** justification for each ‘Non Personal Service’ (e.g., travel, supplies and other expenses).
- Once your detail pages have been completed, click on the Expenditure Summary and SAVE.

Attachment 8

Drinking Water Fluoridation - Planning and Implementation Definition Sheet

Community water system: a public water system which serves at least five service connections used by year-round residents or regularly serves at least 25 year-round residents.

Equipment replacement in-kind: an item that is generally of the same type, size, ratings, and specifications and that is consistent with prior regulatory approvals; the item does not necessarily have to be from the same manufacturer.

Public water system: community, noncommunity or nontransient noncommunity water system which provides water to the public for human consumption through pipes or other constructed conveyances, if such system has at least five service connections or that regularly serves an average of at least 25 individuals daily at least 60 days out of the year.

Service connection: pertinent pipes, valves and fittings that connect a distribution system to a consumer's facility.

Water fluoridation equipment: equipment required for:

- Fluoride feed system (saturator, dry feed, or acid-based system)
- Testing and analysis of fluoride
- Personal operator safety when operating the fluoride feed system

Wholesale: public water system that treats source water as necessary to produce finished water and then delivers some or all of that finished water to another public water system. Delivery may be through a direct connection or through the distribution system of one or more consecutive systems.