

**ADDENDUM #3  
2/14/2020**

**RFA # 17371  
Grants Gateway # DOH01-DWFR41-2017(Component 1)  
Grants Gateway # DOH01-DWFR42-2017 (Component 2)**

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

Drinking Water Fluoridation – Round 4  
Component 1: Planning and Feasibility Projects  
Component 2: Implementation and Maintenance Projects

**Each Component has a unique and separate application in the NYS Grants Gateway.  
This amendment applies to BOTH.**

The New York State (NYS) Department of Health (DOH), Division of Family Health (DFH), Bureau of Child Health (BCH) is advising all prospective applicants that this procurement/opportunity is now closed. The Department will no longer be accepting applications for this procurement. The Department of Health will issue a new procurement for Drinking Water Fluoridation in late summer/early fall of 2020. If you have any questions, please feel free to email the Department at [DFHDWF@health.ny.gov](mailto:DFHDWF@health.ny.gov).

**THIS PROCUREMENT IS NOW CLOSED**

**ADDENDUM #2**  
**6/20/18**

**RFA # 17371**  
**Grants Gateway # DOH01-DWFR41-2017(Component 1)**  
**Grants Gateway # DOH01-DWFR42-2017 (Component 2)**

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

Drinking Water Fluoridation – Round 4  
Component 1: Planning and Feasibility Projects  
Component 2: Implementation and Maintenance Projects

**Each Component has a unique and separate application in the NYS Grants Gateway.**  
**This amendment applies to BOTH.**

*The following has been updated/modified in the RFA. Strike-through indicates deleted text; underlined text is new.*

As this procurement has expanded with rolling submission dates the Department has determined that it is more feasible to discuss the contract term with awardees because most awardees were requiring extensions to complete projects. The start date of the contract period will now be determined by sending a pre-award letter and asking the grantee for a project timeline. The timeline will then determine the start date.

To accommodate this, the Department has revised the Request for Applications document as follows.

Section I. Introduction (page 4)

Applications will be accepted continuously until funding is exhausted. Applications received after funding is exhausted will be rejected, and the applicant will be notified of such. Applicants will be notified of their approval by a pre-award letter from DOH. The pre-award letter will include a timeline that the applicant will complete and then an award letter will be sent with the contract term. ~~Contracts are expected to be executed approximately 6 months after the application is received. For example, if your application is received by August 1, 2017 it is anticipated your contract term will be January 1, 2018 to February 27, 2019.~~

#### Section IV. Administrative Requirements, G. Term of Contract (Page 18)

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 be executed approximately 6 months after the application is received, reviewed and approved for funding. For example, if your application is received by September 1, 2017 it is anticipated your contract term will be 2/1/18 to 1/31/19. Applicants will be notified of their approval by a pre-award letter from DOH. The pre-award letter will include a timeline that the applicant will complete and then an award letter will be sent with the contract term.~~

Continued funding throughout this 12-month **contract** period is contingent upon availability of funding and state budget appropriations. **The applicant is required to submit separate budgets for each 12-month period. This requirement is designed to coincide with the anticipated state funding appropriated for each year.** DOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.<sup>1</sup>

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<sup>1</sup> Revised in Addendum 1 issued on 5/24/18.

**ADDENDUM #1**  
**5/24/18**

**RFA # 17371**  
**Grants Gateway # DOH01-DWFR41-2017(Component 1)**  
**Grants Gateway # DOH01-DWFR42-2017 (Component 2)**

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

Drinking Water Fluoridation – Round 4  
Component 1: Planning and Feasibility Projects  
Component 2: Implementation and Maintenance Projects

**Each Component has a unique and separate application in the NYS Grants Gateway.**

**This amendment applies to BOTH.**

*The following has been updated/modified in the RFA. Strike-through indicates deleted text; underlined bold text is new.*

**Modification 1**

Many grantees have requested a term longer than 12 months as these types of projects usually cannot be accomplished in a year. To accommodate this, the Department is making the following changes to the RFA.

Section I. Introduction (page 4)

Contracts will be awarded for a 12-~~up to a 24~~-month period, ~~with a~~. **An option for a no-cost extension for projects that ~~have extenuating circumstances and~~ require additional time to be completed ~~will be considered. The Department will review each request for a no-cost extension individually to assess whether the explanation of the unexpected circumstance merits approval.~~** No-cost extension awards are dependent on the availability of funding and the contractor's performance over the initial contract year. Several variables will be considered when making awards including need, technical feasibility and budget.

Section IV. G. Term of Contract (page 18)

Continued funding throughout this 12-month ~~contract~~ period is contingent upon availability of funding and state budget appropriations. **The applicant is required to submit separate budgets for each 12-month period. This requirement is designed to coincide with the anticipated state funding appropriated for each year.** DOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

### Modification 2

More municipalities are requesting funding for Component 2 Implementation and Maintenance rather than Component 1 Planning and Feasibility. The Department is reallocating the funding as shown below.

#### Section I. Introduction (page 3)

Maximum awards for Component 1 is \$50,000 with approximately ~~\$500,000~~ **\$250,000** available for awards.

#### Section I. Introduction (page 4)

Maximum awards for Component 2 is \$1 million with approximately ~~\$4.5~~ **\$4.750** million available for funding.

### Modification 3

The RFA stated that five million is available under this RFA. However, five million is available each state fiscal year.

#### Section I. Introduction (page 3, 4<sup>th</sup> paragraph)

It is anticipated that approximately \$5 million will be made available **each state fiscal year** under this RFA.

#### Section V. C. Review and Award Process (page 30)

It is anticipated that approximately \$5 million, **each state fiscal year**, collectively for Components 1 and 2, will be made available to support awards for ~~a one-year~~ up to **a 24-month period**.

**RFA # 17371**  
**Grants Gateway # DOH01-DWFR41-2017(Component 1)**  
**Grants Gateway # DOH01-DWFR42-2017 (Component 2)**

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

**Request for Applications**

**Drinking Water Fluoridation – Round 4**

Component 1: Planning and Feasibility Projects  
Component 2: Implementation and Maintenance Projects

**This is a procurement which encompasses 2 components.**  
**Each Component has a unique and separate application in the New York State Grants Gateway.**

***KEY DATES:***

<b>Release Date:</b>	<b>August 23, 2017</b>
<b>Letter of Interest/Intent Due:</b>	<b>N/A</b>
<b>Questions Due:</b>	<b>Questions accepted on a rolling basis and will be due every 2 months. Refer to RFA Section IV. B. for complete details.</b>
<b>Applicant Conference Registration Deadline:</b>	<b>September 13, 2017</b>
<b>Applicant Conference:</b>	<b>September 20, 2017 at 11:00AM</b> <b>Dial-in #: 1-844-633-8697</b> <b>Access Code: 646 298 323</b>
<b>Questions, Answers and Updates Posted (on or about):</b>	<b>November 23, 2017 and every 90 days until funding is exhausted.</b>
<b>Applications Due:</b>	<b>Will be accepted on a rolling basis until funding is exhausted.</b>
<b>DOH Contact Name &amp; Address:</b>	<b>Erin C. Knoerl</b> <b>Community Water Fluoridation Program Manager</b> <b>NYS Department of Health, Bureau of Child Health</b> <b>Room 878 Corning Tower, Empire State Plaza Albany,</b> <b>N.Y. 12237</b> <a href="mailto:DFHDWF@health.ny.gov">DFHDWF@health.ny.gov</a>

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# I. Introduction

The New York State (NYS) Department of Health (DOH), Division of Family Health (DFH), Bureau of Child Health (BCH) announces the availability of continued funding to maintain and increase New York residents' access to optimally fluoridated water. The purpose of this Request for Application (RFA) is to award grants to support counties, cities, towns, or villages (municipalities), for costs related to the planning, construction, installation, repair, replacement, or upgrade of fluoride equipment in drinking water facilities.

The prevention of tooth decay is a high priority area for the NYSDOH because good oral health is important to maintaining overall health. Social determinants of health like economic and educational status also contribute to increases in dental diseases, like tooth decay. According to the 2009-2011 NYSDOH Oral Health Survey of Third Grade Children, 44.1 percent of third grade children have had a history of tooth decay and 22.1 percent had untreated tooth decay. Community water fluoridation is an important intervention that communities can undertake to significantly address the problem of tooth decay. In fact, 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 percent over one's lifetime. Additionally, a 2010 NYSDOH study found that there is an annual Medicaid savings of approximately \$24 per child (0-20 years) per year in counties with greater access to fluoridated water ( $\geq 70$  percent of the population) compared to their counterparts in a lesser fluoridated county ( $\leq 30$  percent of the population).

The BCH is seeking applications from municipalities, which own their public water system and water supply, including public authorities, looking to either: 1) develop an Engineering Report to determine the feasibility of starting community water fluoridation or upgrade/modify an existing fluoridation system; or 2) to purchase, upgrade, replace or repair water fluoridation equipment to initiate or maintain community water fluoridation. It is anticipated that approximately \$5 million will be made available under this RFA. This funding is authorized under the 2017-18 NYS Enacted Executive Budget.

This RFA has two components:

**Component 1: Planning and Feasibility Projects** support municipalities seeking to pursue an Engineering report to:

- Study the feasibility (technical and economical) of starting fluoridation; OR,
- Develop a technical plan for initiating fluoridation; OR,
- Upgrade existing fluoridation system, including projects that have structural, chemical, or process modifications, that requires professional design services.

Maximum awards for Component 1 is \$50,000 with approximately \$500,000 available for awards.

It is expected that at least 10 projects will be funded under this Component. Additional projects may be funded depending on application score and availability of funding.



**Component 2: Implementation and Maintenance Projects** support municipalities looking to upgrade, replace, repair or purchase equipment<sup>1</sup> to initiate or maintain water fluoridation. This Component also includes construction/modification of buildings for the storage of fluoride additives and/or equipment, and upgrade of buildings and/or fluoridation equipment to meet Ten State Standards.

Maximum awards for Component 2 is \$1 million with approximately \$4.5 million available for funding. It is expected that at least 4 projects will be funded under this Component. Additional projects may be funded depending on application score and availability of funding.

**Applicants may only apply for one Component (either Component 1 or 2) at a time.** If both Components are required for your project, it is advised that you apply for Component 1 (Planning and Feasibility Projects) first. Once an applicant has been awarded funding for Component 1 and has completed their project (Engineering Report developed and final voucher and progress report submitted to NYSDOH), an applicant may then submit a separate application for Component 2: Implementation and Maintenance Project funding.

**Applications will be accepted continuously until funding is exhausted. Applications received after funding is exhausted will be rejected, and the applicant will be notified of such. Contracts are expected to be executed approximately 6 months after the application is received. For example, if your application is received by August 1, 2017 it is anticipated your contract term will be January 1, 2018 to February 27, 2019.**

Department staff will review applications in the order in which they are received (using the time and date stamp in the Grants Gateway.)

Applicants will be selected for an award on a first-come first-served basis if their applications are complete and meet the requirements of the RFA. When funding has been depleted to a level such that an applicant's total requested funding amount cannot be met, the applicant will be offered a reduced award amount. If the applicant accepts that amount, no further awards will be made. If the applicant declines that amount, the next eligible applicant will be offered an award until funds are completely exhausted.

Contracts will be awarded for a 12-month period, with an option for a no-cost extension for projects that require additional time to be completed. No-cost extension awards are dependent on the availability of funding and the contractor's performance over the initial contract year. Several variables will be considered when making awards including need, technical feasibility and budget.

***Please Note: Applicants cannot begin work or start incurring costs until after a contract has been awarded and executed by the Office of the New York State Comptroller. Any work conducted prior to this time is not eligible for reimbursement.***

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<sup>1</sup> Water fluoridation equipment: equipment required for the fluoride feed system (saturator, dry feed, or acid-based system), testing and analysis of fluoride, and/or personal operator safety when operating the fluoride feed system.

## II. Who May Apply

### A. Minimum Eligibility Requirements - Component 1: Planning and Feasibility Projects

To be eligible to apply for funding under Component 1, an applicant must be a:

- NYS county, city, town, or village that own its 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; and,
- Community water system<sup>2</sup> or sell water wholesale<sup>3</sup> to one or more community water systems.

The applicant must also meet **ONE** of the following criteria:

- Serve at least 5,000 people (includes people served directly through service connections<sup>4</sup> and/or indirectly through wholesale<sup>5</sup> purchase); **OR**,
- Currently be fluoridating the public water supply; **OR**,
- Have the necessary approvals in place to fluoridate the public water supply in accordance with [New York State Public Health Law §1100-a](#). (Click on Laws at top bar, choose Laws of New York; scroll down to PHL – Public Health Law; enter 1100-a in search box and click “Search”).

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.

*Please Note: Public water systems that currently fluoridate are automatically eligible for this funding. Federal Government, Native American, private, and State owned water systems are not eligible for this funding.*

### B. Minimum Eligibility Requirements - Component 2: Implementation and Maintenance Projects

To be eligible to apply for funding under Component 2, an applicant must be a:

- NYS county, city, town, or village that own its 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; and,
- Community water system<sup>6</sup> or sell water wholesale<sup>7</sup> to one or more community water systems.

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2 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.

3 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.

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

5 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.

6 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.

7 Wholesale: public water system that treats source water as necessary to produce finished water and then delivers some or all

The applicant must also meet **ONE** of the following criteria:

- Currently be fluoridating the public water supply; **OR**,
- Have the necessary approvals in place to fluoridate the public water supply in accordance with [New York State Public Health Law §1100-a](#). (Click on Laws at top bar, choose Laws of New York; scroll down to PHL – Public Health Law; enter 1100-a in search box and click “Search”.)

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.

*Please note: Public water systems that currently fluoridate are automatically eligible for this funding. Federal Government, Native American, private, and State owned water systems are not eligible for this funding.*

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

Awards through this procurement are specifically to support the maintenance and expansion of community water fluoridation in NYS. Two types of projects are fundable under this RFA:

- Planning and Feasibility Projects (Component 1); and,
- Implementation and Maintenance Projects (Component 2).

Additional information for both types of projects/Components are outlined below.

#### **A. Overview for Component 1 - Planning and Feasibility Projects**

This component provides funding to municipalities seeking to develop an Engineering Report for water fluoridation specifically to:

- Determine or study the feasibility of adding fluoride to the water supply/adding fluoridation as a water treatment process at the water system; **OR**
- Develop a design plan to implement water fluoridation at the water system; **OR**
- Upgrade the existing fluoridation system including projects that have structural, chemical, or process modifications, that require professional design services.

Awards through Component 1 are to support the technical and administrative costs associated with the planning and design of fluoridation systems in accordance with Section 1.1 of [Recommended Standards for Water Works, 2012 Edition](#) and Attachment 2. *Please Note: Where fluoridation system implementation or improvements/upgrades are part of a larger project, only the costs associated with the fluoridation component of a project will be eligible for funding under this opportunity.*

This Component is targeted to both non-fluoridating and fluoridating municipalities. Any non-fluoridated municipality that meets the eligibility criteria contained in *Section II. Who May Apply* interested in pursuing water fluoridation is strongly encouraged to apply.

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of that finished water to another public water system. Delivery may be through a direct connection of through the distribution system of one or more consecutive systems.

This Component also includes the development of an Engineering Report for currently fluoridating water systems. If a municipality requires professional design services for a large-scale upgrade to their fluoridation system (costs >\$50,000) or the fluoride system is undergoing a structural, chemical or process modification, the municipality is eligible and encouraged to apply.

*Please Note: Funding from this Component may be used to develop the Engineering Report required for certain types of projects outlined in Component 2 of this RFA (Grants Gateway # DOH01-DWFR42-2017).*

A Project Coordinator from the municipality should be assigned to oversee the engineer and the project regardless of whether funding is being requested for the position in the budget. Funding to support this position may be included in the budget as needed and justified in accordance with the Budget Instructions in Attachment 3.

## **B. Project Expectations for Component 1 - Planning and Feasibility Projects**

To be considered for funding, applicants must meet the eligibility requirements outlined in Section II Who May Apply, must attach the Minority and Women Business Owned Forms (Attachment 7) as part of the application, and must clearly demonstrate the need at both the community and water system level. Several variables will be considered when making awards including community need, technical feasibility and budget.

### **1. Demonstrated Need and Support**

Applicants are expected to describe the demonstrated need in the following areas:

- List and describe the communities served by their public water supply including:
  - a. List of cities, towns, and villages directly or indirectly served by your public water system.
  - b. Number of people being served by those public water systems.
- Describe their water systems and the need for grant funding specifically:
  - a. Need for an Engineering Report for fluoridation.
  - b. Infrastructure of the public water system including number of active water sources, treatment plants, and distribution centers.
- The applicant will also need to demonstrate the interest in or support from the municipality and/or the public regarding community water fluoridation. This may include internal or public discussions held regarding maintaining or starting fluoridation, examples of efforts or actions taken by the municipality or water system to promote fluoridation in or to the community, and/or documentation showing commitment or support for fluoridation including resolutions, laws, awards, letters of support, and community-level fluoridation promotion activities.

### **2. Technical Elements**

All contracts awarded under this RFA will be a period of one year. Applicants must demonstrate that their project is technically sound and can be completed within the given timeframe. Applicants must clearly outline the proposed work to be done, including the scope of work for the Engineer. Applicants

will need to, at a minimum, include a timeline with the following action steps:

- Solicitation of bids;
- Selection of Engineer; and
- Development of Engineering Report.

### 3. **Budget**

Applicants need to complete the budget online in accordance with the budget instructions in Attachment . All costs must be consistent with the scope of services, reasonable and cost effective.

Funding is specifically to support the technical and administrative costs associated with the planning and design of fluoridation systems in drinking water facilities including to support the services of a NYS licensed professional engineer to develop the Engineer's Report. Funds may also be used to partially support a Project Coordinator, at the municipality or water system, to oversee the engineer and the project.

Justification for each cost should be included in the narrative section of the corresponding budget line. For all existing staff, the Budget Narrative must delineate how the percentage of time devoted to this initiative has been determined. Staff working in-kind on this project should also be listed. Cost estimates, bids and/or quotes should be included as part of the application and should be uploaded in the Pre-Submission Upload section of the Grants Gateway.

This funding is for "new" projects only, meaning any previously completed work, such as fluoridation system remodel in 2016, or work currently in progress, such as an Engineering Report in development, are not eligible for reimbursement under this RFA. **Any work performed prior to the execution of the contract by the Office of the New York State Comptroller will NOT be reimbursed.** In addition, funding may not be used to supplant funds for currently existing staff or other fluoridation activities.

It is important to note:

- 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.

It is the applicant's responsibility to ensure that all materials 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.

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 DOH.

### **C. Project Management for Component 1 - Planning and Feasibility Projects**

This RFA 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 online application, please include the required performance measures for each work plan objective as outlined in Attachment 5.

### **D. Overview for Component 2 - Implementation and Maintenance Projects**

Awards through Component 2 are to support the technical and administrative costs associated with the start-up and/or maintenance of community water fluoridation in drinking water facilities including costs associated with construction, installation, repair, replacement, and upgrade of existing or purchase of new fluoridation equipment. 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 RFA.

*Please Note, costs and expenses associated with the operation of the fluoridation system, including cost of fluoride additives and water operator(s) salary, are not eligible under this RFA.*

The scope of work for an Implementation and Maintenance Project can include any or all of the following:

- Purchase/repair and installation of fluoride equipment including equipment used for fluoride feed, personal operator safety and laboratory/analysis;
- Construction/modification of building for the storage of fluoride additive and/or equipment; and
- Upgrade of building and/or fluoridation equipment to address/meet the codes and standards outlined in the [Recommended Standards for Water Works, 2012 Edition](#) (Ten State Standards).

Applicants must meet eligibility criteria as contained in Section II. Who May Apply.

Applicants are expected to provide the following assurances (Attachment 6):

- Funds will be used for costs of installation, including but not limited to the technical and administrative costs associated with planning, design and construction, and start-up of fluoridation systems; or procuring, replacing, repairing or upgrading of fluoridation equipment and facilities for such public water systems. Where fluoridation system improvements/upgrades are part of a larger project, only the costs associated with the fluoridation component will be eligible for funding under this program.
- Grant funding will not be used for assistance towards the costs and expenses of operation of the fluoridation system.
- The new equipment must be in place and in use for administering fluoride into the drinking water within six months from submittal of the final invoice to DOH.

The funded organization is responsible for:

- Ensuring all program deliverables are met.
- Reviewing and approving work plan modifications before submission to the DOH.
- Providing budget support to the project and demonstrating capacity to expeditiously process

budget and purchasing requests to facilitate the smooth operation of the contract.

- Submitting all required documents and claims for payment in accordance with the terms of the contract and administering all fiscal requirements of the contract in a timely and efficient manner.
- Submitting documentation from a *NYS licensed professional engineer* certifying the completion of the project and verifying that it is the same project that was submitted to and accepted by the DOH. This should be submitted within 180 days from the date the final voucher is submitted to the NYSDOH for payment. *Please Note: If changes to the work plan or Engineering Report need to be made, a formal request should be submitted to DOH for review and approval.*

A Project Coordinator from the municipality should be assigned to oversee the project regardless of whether funding is being requested for the position in the budget. Funding to support this position may be included in the budget as needed and justified in accordance with the Budget Instructions in Attachment 3.

### **E. Project Expectations for Component 2 - Implementation and Maintenance Projects**

The intent of Component 2 is to support the maintenance and expansion of community water fluoridation in communities across NYS. To be considered for funding, applicants must meet the eligibility requirements outlined in Section II. Who May Apply and must attach the Minority and Women Business Owned Forms (Attachment 7) as part of the application, and must clearly demonstrate the need at both the community and water system level. Several variables will be considered when making awards including community need, technical feasibility and budget.

#### **1. Demonstrated Need and Support**

Applicants are expected to describe the demonstrated need in the following areas:

- List and describe the communities served by their public water supply including:
  - a. List of cities, towns, and villages directly or indirectly served by your public water system.
  - b. Number of people being served by those public water systems.
- Applicants should describe their water systems and the need for grant funding specifically:
  - a. Infrastructure of the public water system including number of active water sources, treatment plants, and distribution centers.
  - b. Need for new or replacement equipment, modifications to the building/water treatment plant, etc.
  - c. How the improvements/upgrades will improve the water system's ability to provide and monitor optimal fluoride concentrations and prevent overfeed.
- The applicant will also need to demonstrate the interest in or support from the municipality and/or the public regarding community water fluoridation. This may include internal or public discussions held regarding maintaining or starting fluoridation, examples of efforts or actions taken by the municipality or water system to promote fluoridation in or to the community, and/or documentation showing commitment or support for fluoridation including resolutions, laws, awards, or letters of support.

## 2. **Technical Elements**

All contracts will be awarded for a one-year period. Applicants must demonstrate that their project is technically sound and can be completed within the given timeframe. Applicants must clearly address 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. Applicants must include the following information based on the type of project.

Projects that are:

- **Equipment replacement in-kind<sup>8</sup> - Less than or equal to \$50,000**
  - An 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; and,
  - A justification statement about the need for the project with respect to any socioeconomic indicators and challenges faced by the applicant community.
- **Equipment replacement in-kind<sup>8</sup> - \$50,001 and above.**
  - An 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; and,
  - Engineer's Report<sup>9</sup> prepared by a New York State licensed professional engineer - 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](#) and in Attachment 2.

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<sup>8</sup> 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.

<sup>9</sup> The Engineer's Report 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 Engineer's Report along with the size, in MB, of the full report). The NYSDOH reserves the right to request the full Engineer's Report prior to announcing awards/executing contracts.)



- **Equipment replacement project involving a structural, chemical or process modification**
  - An 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; and,
  - Engineer's Report<sup>10</sup> prepared by a New York State licensed professional engineer - 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](#) and in Attachment 2.
  
- **Newly implementing fluoridation**
  - List of proposed feed, monitoring, and overfeed prevention equipment and appurtenances;
  - Description on how the system will be able to provide and monitor optimal fluoride concentrations and prevent overfeed;
  - Description of proposed work to be done;
  - 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; and,
  - Engineer's Report<sup>10</sup> prepared by a New York State licensed professional engineer - 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](#) and in Attachment 2.

Additionally, all applicants will need to, at a minimum, include a timeline with the following action steps:

- Solicitation of bids or quotes from vendors;
- Selection of vendor;
- Purchase of equipment;
- Installation of equipment; and
- Certification of project completion.

### **3. Budget**

Applicants need to complete the budget online. Please refer to the budget instructions in Attachment 3. All costs must be consistent with the scope of services, reasonable and cost effective.

Funding is specifically to support the technical and administrative costs associated with the start-up and

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<sup>10</sup> The Engineer's Report 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 Engineer's Report along with the size, in MB, of the full report). The NYSDOH reserves the right to request the full Engineer's Report prior to announcing awards/executing contracts.)

maintenance of community water fluoridation in drinking water facilities including costs associated with construction, installation, and repair, replacement, and upgrade of existing or purchase of new fluoridation equipment (includes fluoride feed, personal operator safety and laboratory/analysis equipment), and should primarily be used to purchase or repair fluoridation equipment. However, funding may be used to construct or modify a building to store fluoride additives and/or equipment. Funds may also be used to partially support a Project Coordinator at the municipality or water system level responsible for the oversight and coordination of the overall project.

A Project Coordinator from the municipality should be assigned to oversee the project regardless of whether funding is being requested for the position in the budget. Funding to support this position may be included in the budget as needed and justified in accordance with the Budget Instructions in Attachment 3.

Justification for each cost should be submitted in the narrative section of the corresponding budget line. For all existing staff, the Budget Narrative must delineate how the percentage of time devoted to this initiative has been determined. Staff working in-kind on this project should also be listed.

Cost estimates, bids and/or quotes are required for all work/services to be conducted and/or equipment to be purchased and/or repaired. These estimates should be uploaded in the Pre-Submission Upload section of the Grants Gateway.

This funding is for “new” projects only; previously completed work, such as a fluoridation system remodel in 2016, or work currently in progress, such as an Engineering Report in development, are not eligible for reimbursement under this RFA. **Any work performed prior to the execution of the contract by the Office of the New York State Comptroller will NOT be reimbursed.** In addition, funding may not be used to supplant funds for currently existing staff activities.

It is important to note:

- 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.

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.

## **F. Project Management for Component 2 - Implementation and Maintenance Projects**

This RFA 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 required performance measures listed in Attachment 5.

Applicants may subcontract components of the scope of work for this RFA. 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. Whether stated in the application or post award, all subcontractors are required to be approved by the DOH.

## IV. Administrative Requirements

### A. Issuing Agency

This RFA is issued by the New York State Department of Health (DOH), Division of Family Health, Bureau of Child Health. DOH 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 Knoerl at: [DFHDWF@health.ny.gov](mailto:DFHDWF@health.ny.gov).

Questions will be accepted on a rolling basis and will be due every two months. For example:

	Questions Accepted	Q&A Document Posted to GG
Period 1	August 23-October 22, 2017	November 23, 2017
Period 2	October 23-December 22, 2017	January 23, 2018
Period 3	December 23, 2017-February 22, 2018	March 23, 2018
And so on until funding is exhausted.		

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted as outlined above. 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 *Ms. Knoerl* at [DFHDWF@health.ny.gov](mailto:DFHDWF@health.ny.gov) or 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 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 Gateway Team Email: [grantsgateway@its.ny.gov](mailto: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](mailto:helpdesk@agatesoftware.com)  
(Technical questions)

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

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

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

#### **C. Letter of Interest – N/A**

Prospective applicants are not required to submit a letter of interest.

#### **D. Applicant Conference**

**An Applicant Conference will be held for this project.** This conference will be held via conference call on the date and time posted on the cover sheet of this RFA. The Department requests that potential applicants register for this conference by emailing Ms. Knoerl at [DFHDWF@health.ny.gov](mailto:DFHDWF@health.ny.gov) to ensure that adequate accommodations be made for the number of prospective attendees. A maximum number of two representatives from each prospective applicant will be permitted to participate in the applicant conference. Failure to participate in the Applicant conference will not preclude the submission of an application. Deadline for reservations is posted on the cover page of this RFA.

#### **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 Gateway 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 <INSERT NAME> and select the Department of Health as the Funding Agency.
4. Click on “Search” button to initiate the search.
5. Click on the name of the Grant Opportunity from the search results grid and then select the “APPLY FOR GRANT OPPORTUNITY” button located bottom left of the Main page of the Grant Opportunity.

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

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

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

- Not-for-profit applicants must be prequalified on the due date for this application submission. Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit’s essential financial documents - the IRS990, Financial Statement and Charities Bureau filing - expire on an annual basis. If these documents are allowed to expire, the not-for-profit’s prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.
- Only individuals with the roles “Grantee Contract Signatory” or “Grantee System Administrator” can submit an application.
- Prior to submission, the system will automatically initiate a global error checking process to protect against incomplete applications. An applicant may need to attend to certain parts of the application prior to being able to submit the application successfully. Be sure to allow time after pressing the submit button to clean up any global errors that may arise. You can also run the global error check at any time in the application process. (see p.66 of the Grantee User Guide).
- Grantees should use numbers, letters and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also be aware of the restriction on file size (10 MB) when uploading documents.

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.

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

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

**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 be executed approximately 6 months after the application is received, reviewed and approved for funding. For example, if your application is received by September 1, 2017 it is anticipated your contract term will be 2/1/18 to 1/31/19.

Continued funding throughout this 12 month 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 invoices and required reports of expenditures to the State's designated payment office (below) or, in the future, through the Grants Gateway:

[dfh.boa@health.ny.gov](mailto:dfh.boa@health.ny.gov)

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

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

- The grant contractor will be required to submit the following reports to the Department of Health at the address above and, in the future, through the Grants Gateway:

*Quarterly Report due 30 days after the end of the report period as noted below.*

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

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

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

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report



found evidence of statistically significant disparities between the level of participation of minority- and women-owned business enterprises in state procurement contracting versus the number of minority- and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that DOH establish goals for maximum feasible participation of New York State Certified minority- and women-owned business enterprises (“MWBE”) and the employment of minority groups members and women in the performance of New York State contracts.

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

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

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

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

The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found in the 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 7** 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 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/forms.htm](http://www.osc.state.ny.us/vendor_management/forms.htm).

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

#### **L. Vendor Responsibility Questionnaire**

THIS SECTION DOES NOT APPLY TO MUNICIPALITIES.

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](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](mailto:ciohelpdesk@osc.state.ny.us).

## **M. 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 [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov). If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

**Applicants 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:  
<https://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.

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.

Applications meeting the guidelines set forth above will be reviewed and evaluated by the New York State Department of Health, Division of Family Health. Applications whose applicant agencies do not meet eligibility requirements, will not be reviewed. Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

### **Component 1: Planning and Feasibility Projects – Application Requirements**

- Pre-Submission Uploads - The following attachments need to be completed and uploaded with the application (upload under the Pre-Submission section of the application):
  - The Grant Application Cover Sheet (Attachment 1)
  - MWBE forms (Attachment 7)
- Program Specific Questions
  1. **Applicant Organization and Project Summary** (*Maximum Score: 30 points*)
    - a. Describe the public water system that this funding will benefit. Please include information on the following: 1) Infrastructure, including information on its active water sources, treatment plants, and distribution centers; and 2) Operation, including average daily water demand and peak flow demand.

- b. Provide a brief description of the proposed project including the work to be done and the reason for applying.
- c. Describe your agency's experience managing projects similar to the project outlined in the application and describe the process or internal controls that will be used to control project costs and maintain economic efficiency.
- d. Describe any interest in or support from your agency and/or the public in regards to community water fluoridation. Include any efforts taken to discuss, promote or maintain fluoridation in the community.
- e. Upload any documentation showing interest, commitment or support for fluoridation. This may include resolutions, laws, awards, letters of support, community-level fluoridation promotion activities, meeting notes, etc. *Please Note: All documents must be combined into one pdf no larger than 10MB.*

**2. Statement of Need** (*Maximum Score: 20 points*)

- a. List and describe the counties, cities, towns, and villages (municipalities) served directly, through residential service connections, in addition to, municipalities and/or public water systems served indirectly through wholesale purchase. Include the number of people served.
- b. Provide a detailed description on the need for an Engineering Report for fluoridation.

**3. Description of Project** (*Maximum Score: 15 points*)

- a. Please describe your current fluoridation status. Examples may include:
  - i. System is currently fluoridated; however, the equipment and/or infrastructure needs to be updated.
  - ii. System was fluoridated in the past but has discontinued and wishes to restart.
  - iii. System has never been fluoridated but has been approved to initiate a fluoridation program.
  - iv. System has never been fluoridated but is interested in determining the technical and/or financial feasibility to implement fluoridation.
- b. Provide a detailed description of proposed work to be done including information on how the engineer will be selected, the scope of work anticipated including what water sources, treatment plants and/or distribution centers will be addressed, and other details deemed appropriate.

**4. Project Activities** (*Maximum Score: 10 points*)

- a. Provide a detailed timeline for the project. At a minimum the activities listed below must be included in your response. Applicants may include additional activity steps in their answer.

- i. Solicitation of bids
- ii. Selection of Engineer
- iii. Development of Engineering Report
- iv. Submittal of completed Engineering Report to municipality

5. **Work Plan** (*Not scored*)

- a. This RFA 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 Performance Measures as outlined in Attachment 5.

*Please Note: Applicants may develop and include additional performance measures in the Work Plan Properties section of the Grants Gateway.*

6. **Budget** (*Maximum Score: 25 points*)

- a. Applicants must complete the budget online in the Grants Gateway (instructions outlined in Attachment 3). All costs must be related to the provision of services under this RFA, as well as be consistent with the scope of services, reasonable and cost effective. 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 RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF.**

Funding is specifically to support the technical and administrative costs associated with the planning and design of fluoridation systems in drinking water facilities and should primarily be used to support a NYS licensed professional engineer to develop the Engineer's Report. Funds may also be used to partially support a Project Coordinator, at the municipality or water system, to oversee the engineer and the project. **All projects should have a Project Coordinator assigned to it and this position should be listed in the "Personal Services" section of the Budget, even if in-kind.**

- b. In addition to entering the budget in the Grants Gateway, applicants will provide a detailed budget narrative justifying the cost elements of the application and describing the overall cost effectiveness of the proposed project, including reasonableness of price.
- c. Upload all bids, quotes and cost estimates for services (engineering, labor, etc.) related to the project. (This will be uploaded under the appropriate Program Specific Question in the Grants Gateway.)

- d. If using a Federally Approved Rate Agreement, upload a copy of the current federal rate agreement with it (you must combine all pages into one pdf file for uploading). Upon award, a Federally Approved Rate Agreement must be uploaded to the Grantee Document Folder located in the Forms Menu.

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, etc.

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.

## **Component 2: Implementation and Maintenance Projects – Application Requirements**

- Pre- Submission Uploads - The following attachments need to be completed and uploaded with the application (upload under the Pre-Submission section of the application):
  - The Grant Application Cover Sheet (Attachment 1)
  - MWBE forms (Attachment 7)
  - Assurances (Attachment 6)
- Program Specific Questions

### **1. Applicant Organization and Project Summary** (*Maximum Score: 25 points*)

- a. Describe the public water system that this funding will benefit. Please include information on the following: 1) Infrastructure, including information on its active water sources, treatment plants, and distribution centers; and 2) Operation, including average daily water demand and peak flow demand.
- b. Provide a brief description of the proposed project including the work to be done and the reason for applying.
- c. Describe your agency's experience in managing projects similar to the project outlined in the application and describe the process or internal controls that will be used to control project costs and maintain economic efficiency.
- d. Describe any interest in or support from your agency and/or the public in regards to community water fluoridation. Include any efforts taken to discuss, promote or maintain fluoridation in the community.
- e. Upload any documentation showing interest, commitment or support for fluoridation. This may include resolutions, laws, awards, letters of support, community-level fluoridation promotion activities, meeting notes, etc. (*Please Note: All documents must be combined into one pdf no larger than 10MB.*)

**2. Statement of Need** (*Maximum Score: 20 points*)

- a. List and describe the counties, cities, towns, and villages (municipalities) served directly, through residential service connections, in addition to, municipalities and/or public water systems served indirectly through wholesale purchase. Include the number of people served.
- b. Describe the needs at the public water system level to implement or maintain fluoridation in the community. The applicant should address needs in terms of equipment (fluoride feed, laboratory analysis and/or personal operator safety) and/or infrastructure (buildings, rooms, storage, electrical, exhaust systems, etc.). The name of equipment/infrastructure being upgraded, replaced, repaired and/or added should be included as should its age and condition (if applicable). A detailed description should be provided for any and all problems/issues resulting from age, poor condition, or lack of, proper equipment/infrastructure. Examples may include challenges or inability to provide optimal fluoride concentrations or to accurately monitor fluoride concentrations, equipment being offline for health and safety reasons, the fluoride system not currently meeting standards outlined in Section 1.1 of [\*Recommended Standards for Water Works, 2012 Edition\*](#).
- c. Upload a one page statement and justification from the water supply owner or the water system's Chief Operator/Engineer in Charge verifying the age and condition of existing fluoridation equipment and the need for replacement and/or new equipment. For systems implementing fluoridation, a statement should be uploaded verifying the water system's equipment and/or infrastructure needs. (Upload this document at the appropriate Program Specific Question in the Grants Gateway).

**3. Description of Project** (*Maximum Score: 15 points*)

- a. Please describe your current fluoridation status. Examples may include:
  - i. System has not been fluoridating due to faulty or broken fluoridation equipment.
  - ii. 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.
  - iii. System was fluoridated in the past but has discontinued and wishes to restart.
  - iv. System has never been fluoridated but has been approved to initiate a fluoridation program.
- b. Provide a detailed description of the proposed work to be done including information on how vendors will be selected; the scope of work anticipated including what water sources, treatment plants and/or distribution centers will be addressed, what fluoride feed, monitoring, overfeed prevention, laboratory and/or safety equipment will be updated, repaired and/or purchased, and what modifications will be made to the building infrastructure; and other details deemed appropriate.
- c. Upload the document most applicable to your project.



- i. **Equipment in-kind projects ( $\leq \$50,000$ )** must upload a document stating how or why your project is an in-kind project.
  - ii. **Equipment in-kind projects ( $> \$50,000$ )** must upload an Engineering Report completed by a NYS licensed engineer.
  - iii. **Equipment replacement projects involving a structural, chemical or process modification** must upload an Engineering Report completed by a NYS licensed engineer.
  - iv. **Newly implementing fluoridation** projects must upload an Engineering Report completed by a NYS licensed engineer.
- d. Describe how your project will improve the water system's ability to provide and monitor optimal fluoride concentrations and prevent overfeed.

4. **Program Activities** (*Maximum Score: 15 points*)

- a. Provide a detailed timeline for the project. At a minimum, the activities listed below must be included. Applicants may include additional activity steps in their answer.
  - i. Solicitation of bids or quotes from vendors;
  - ii. Selection of vendor(s);
  - iii. Purchase of equipment;
  - iv. Installation of equipment;
  - v. Certification of project completion.
- b. 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 (180 days) from the final invoice submission.

5. **Work Plan** (*Not scored*)

- This RFA 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 as outlined in Attachment 5.

*Please Note: Applicants may develop and include additional performance measures in the Work Plan Properties section of the Grants Gateway.*

6. **Budget** (*Maximum Score: 25 points*)

- a. Applicants must complete Year 1 of the budget on line in the Grants Gateway (instructions outlined in Attachment 4 ). All costs must be related to the provision of services under this RFA, as well as be consistent with the scope of services, reasonable and cost effective. 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 RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF.

Funding is specifically to support the technical and administrative costs associated with the start-up and maintenance of community water fluoridation in drinking water facilities including costs associated with construction, installation, and repair, replacement, and upgrade of existing or purchase of new fluoridation equipment (includes fluoride feed, personal operator safety and laboratory/analysis equipment), and should primarily be used to purchase or repair fluoridation equipment. However, funding may be used to construct or modify a building to store fluoride additives and/or equipment. Funds may also be used to partially support a Project Coordinator at the municipality or water system who will be responsible for the oversight and coordination of the overall project. **All projects should have a Project Coordinator assigned to it and this person should be listed in the “Personal Services” section of the Budget, even if the person is working in-kind.** *Please Note: Costs and expenses associated with the operation of the fluoridation system, including cost of fluoride additives and water operator(s) salary, are not eligible under this RFA.*

- b. In addition to entering the budget forms in Grants Gateway, applicants will provide a detailed budget narrative justifying the cost elements of the application and describing the overall cost effectiveness of the proposed project, including reasonableness of price.
- c. Upload all bids, quotes and cost estimates for equipment and/or services (engineering, construction, labor, etc.) related to the project. (This will be uploaded under the appropriate Program Specific Question in the Grants Gateway.)
- d. If using a Federally Approved Rate Agreement, upload a copy of the current federal rate agreement with it (you must combine all pages into one pdf file for uploading), Upon award, a Federally Approved Rate Agreement must be uploaded to the Grantee Document Folder located in the Forms Menu.

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, etc.

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 Division of Family Health*. A technical advisor from the Bureau of Water Supply will review the technical components of the application. The technical advisor will ensure that the proposed project is technically feasible and appropriate. The programmatic review team will be notified of any inadequate or missing technical pieces of the application.

It is anticipated that approximately \$5 million, collectively for Components 1 and 2, will be made available to support awards for a one-year period. Funds will be distributed on a rolling basis to successful applicants based upon the methodology described below. Those failing to be responsive to all RFA requirements or failing to follow the prescribed format may not be scored or considered for funding.

*Please Note: There will be an independent scoring, ranking and award process for each of the Components. Application scores from Component 1 will have no bearing on the ranking and award list for Component 2 and application scores from Component 2 will have no bearing on the ranking and award list for Component 1.*

### **Component 1: Planning and Feasibility Projects**

- Applications will be reviewed using an objective rating system reflective of the required items specified for each section. The review process may be followed by a quality assurance review to ensure that all review standards were uniformly applied. Panels convened by the NYSDOH Bureau of Child Health will conduct reviews of applications from eligible agencies. Applications will be reviewed and scored based on demonstrated need and support, technical elements and the budget. The reviewers will consider the clarity of the application and responsiveness to the RFA based upon the above scoring.
- 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 nonresponsive and will be disqualified.
- The requested funding needs to be consistent with the proposed scope of services, reasonable, and cost effective.
- Applications will be screened to verify that the minimum eligibility criteria defined in the RFA has been met. Applications that are determined not to meet minimum eligibility criteria will be rejected and not considered for funding. Eligible applications will be reviewed and scored by teams of trained reviewers using a structured, pre-approved review tool. Applications that achieve a minimum passing score of 65 (out of 100) points or higher will be designated as

“passing” and considered for funding. Applications that do not achieve a minimum passing score of 65 will be designated as “not passing” and not considered for funding.

- Applications will be reviewed on a rolling basis as received. Funds will be awarded to all applicants with a passing score based on date received until funding is depleted. Because of this, it is advantageous to submit an application, if possible, early after release of the RFA.
- In the event of a tie score and funding is limited, the funding will be awarded to the applicant by date received. If sufficient funding is available, and the applicants with the tie scores are reachable, both will be eligible for awards.
- In the event of a tie score and the tied applications were received on the same date and funding is limited, the funding will be awarded to the applicant which serves a larger number of people.
- If changes in funding amounts are necessary for this initiative, funding will be modified and awarded in the same manner as outlined in the award process described above.
- Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

## **Component 2: Implementation and Maintenance Projects**

- Applications will be reviewed using an objective rating system reflective of the required items specified for each section. The review process may be followed by a quality assurance review to ensure that all review standards were uniformly applied. Panels convened by the NYSDOH Bureau of Child Health will conduct reviews of applications from eligible agencies. Applications will be reviewed and scored based on demonstrated need and support, technical elements and the budget. The reviewers will consider the clarity of the application and responsiveness to the RFA based upon the above scoring.
- 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 nonresponsive and will be disqualified.
- The requested funding needs to be consistent with the proposed scope of services, reasonable, and cost effective.
- Applications will be screened to verify that the minimum eligibility criteria defined in the RFA has been met. Applications that are determined not to meet minimum eligibility criteria will be rejected and not considered for funding. Eligible applications will be reviewed and scored by teams of trained reviewers using a structured, pre-approved review tool. Applications that achieve a minimum passing score of 65 (out of 100) points or higher will be designated as passing and eligible for funding. Applications that do not achieve a minimum passing score of 65 will be designated as “not passing” and not considered for funding.
- Applications will be reviewed on a rolling basis as received.
- In the event of a tie score and funding is limited, the funding will be awarded to the applicant by date received. If sufficient funding is available, and the applicants with the tie scores are reachable, both will be eligible for awards.
- In the event of a tie score and the tied applications were received on the same date and funding is limited, the funding will be awarded to the applicant which serves a larger number of people.
- If changes in funding amounts are necessary for this initiative, funding will be modified and awarded in the same manner as outlined in the award process described above.

- Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

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

To request a debriefing, please send an email to Erin Knoerl at [DFHDWF@health.ny.gov](mailto:DFHDWF@health.ny.gov) with a copy to [DFH.BOA@health.ny.gov](mailto:DFH.BOA@health.ny.gov). In the subject line, please write: *Debriefing Request Drinking Water Fluoridation – Round 4*.

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:	*Grant Application Cover Sheet
Attachment 2:	Engineer’s Report Requirements
Attachment 3:	Gateway Budget Instructions
Attachment 4:	*Budget Data Entry Guidelines
Attachment 5:	Work Plan Standards and Instructions for Performance Measures
Attachment 6	*Assurances for Component 2
Attachment 7	*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 2: Engineer's Report Requirements

The Engineering Report developed under Component 1 or required for Component 2<sup>1</sup> 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.

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<sup>1</sup> 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 and/or process modification.

### **Attachment 3: 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>

#### 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](http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rgn=div5#sg2.1.200_1401.sg12)



## Attachment 5 – Work Plan Standards and Instructions for Performance Measures

**PROJECT NAME:** Drinking Water Fluoridation – Round 4

**CONTRACTOR SFS PAYEE NAME:**

**CONTRACT PERIOD:** From:

To:

**Project Summary:**

**Insert a Project Summary in the Grants Gateway:**

### **Instructions:**

This RFA 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 Work Plan activities per the standardized Work Plan.

Applicants are instructed to insert **only** the performance measures as they are listed for each objective and task(s) in this attachment.

For the Grants Gateway Work Plan Project Summary, applicants should briefly summarize their project. In the Grants Gateway Work Plan Organizational Capacity section, applicants should enter “not applicable.” Any additional Organizational Capacity entered in this area will not be considered or scored by reviewers of your application.

Drinking Water Fluoridation – Round 4 - Component 1			
Objective	Budget Category	Tasks (Activities)	Measures
1: Licensed Professional Engineer is hired	N/A	1. Contractor will submit the specific day/month/year the licensed professional engineer was hired with their first quarterly report.	1. A NYS licensed professional engineer is selected and hired within 90 days of signing the DOH contract.*
2. Engineer's Report is submitted	N/A	2. The contractor will provide the specific day/month/year within 30 days of completion.	2. The Engineer's report is submitted to the municipality within 364 days of DOH contract execution.*

Drinking Water Fluoridation – Round 4 - Component 2			
Objective	Budget Category	Tasks (Activities)	Performance Measures
1. Engineer's Report		1a. Contractor will submit the specific day/month/year with their first quarterly report.  1b. Obtain bids for equipment installation and select vendors within 180 days of DOH contract execution.	1a. The project scope is approved within 90 days of DOH contract execution.*  1b. Obtain bids for equipment installation and select vendors within 180 days of DOH contract execution.*
2. Fluoride Distribution		2. The specific day/month/year will be submitted by the contractor within 30 days of completion.	2. Delivery of fluoridated water is provided by the new or updated public water system within 180 days of the final invoice to DOH.*

\*Please Note: The specific day/month/year will be submitted by the contractor with their first quarterly report.