



**Office of Children  
and Family Services**

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Governor

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Acting Commissioner



**Commission on National  
and Community Service**



**New York State  
Office of Children and Family Services**

**Grant Procurement**

**REQUEST FOR PROPOSALS  
RFP# - 2017-26**

**2018-2019 New York State  
AmeriCorps Request for Proposals (Competitive Pool)  
Procurement**

**Issued: 11/16/2017**  
**Amended: 11/17/2017**  
**Amended: 11/27/17**

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## **1.0 GENERAL INFORMATION/CALENDAR OF EVENTS**

The New York State Commission on National and Community Service (hereafter “the Commission”) seeks applicants for 2018-19 AmeriCorps grant funding. The Commission is a governor-appointed commission. It is a diverse, non-partisan body of, among others, representatives of business, labor, education, government, human service agencies and community-based organizations. The Commission directs national service policy for the state and directly administers funding awarded by the Corporation for National & Community Service (hereafter “the Corporation” or “CNCS”) to support New York State AmeriCorps programs.

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

This RFP is for a pool of AmeriCorps national service funding (hereafter the “competitive pool”) that is determined based on a national competition and selected by the Corporation. This RFP is designed only to identify those proposals that New York State recommends for consideration to, and ultimate selection by, the Corporation. The actions taken by the Commission are not binding on the Corporation, which has sole authority to select which proposals to fund.

Any application in response to this RFP is for the competitive pool of funding. The proposals forwarded to the Corporation by the Commission will compete with proposals from states across the country and from United States territories. They will also compete with proposals from organizations that operate and provide services in more than one state (hereafter “national direct organizations”) for the same limited and competitive pool of funds.

### **AmeriCorps Planning Grant Applications**

For the 2018-19 program year, the Commission is also accepting applications for Evidence-Based Intervention Planning Grants. For example, in the Economic Opportunity focus area applicants could explore how to adapt social enterprise, workforce partnership, supportive housing, or financial literacy program models that have demonstrated effectiveness through the Social Innovation Fund. Similarly, in the Healthy Futures focus area, applicants might explore how to integrate AmeriCorps members into effective program models designed to improve health

outcomes such as increased access to, or utilization of, health care. Alternatively, applicants could propose taking an evidence-based practice such as motivational interviewing and training AmeriCorps members to apply these skills in ways that could improve individual economic or health outcomes. Planning grant applications should not exceed \$75,000 per application for a 12-month period.

A body of evidence that supports the role of national service in effective education interventions is emerging. Many of these service education interventions are currently being funded by AmeriCorps. The purpose of these planning grants is to identify new evidence-based service interventions in focus areas with less evidence such as Economic Opportunity and Healthy Futures.

**Note:** The Commission serves as the state commission referenced in AmeriCorps State and National Grants FY 2018 Notice of Funding Opportunity (hereafter “the NOFO”) and Application Instructions. **However, the federal NOFO is not the Commission’s RFP, and the Commission’s deadlines are earlier than those stated in the NOFO.** (Please see applicable deadlines listed in **Section 1.2 Calendar of Events**).

All competitive AmeriCorps applications, including planning grant applications, are due in the Corporation for National and Community Service web-based system, eGrants (<http://www.nationalservice.gov/build-your-capacity/grants/egrants>) and all supporting documents must be received by the Commission by ~~Friday–Monday~~, December 11, 2017, ~~5 12~~ p.m. ET (~~Amended 11/17/2017~~). Applications submitted after this date will not be considered for funding (exception: see **Section 5.5 Proposal Submittal Process, Applications Submitted Outside of eGrants**).

**Note:** You should only respond to this RFP if you are proposing an AmeriCorps program that will operate and provide service solely within the geographic borders of New York State. If your proposal encompasses programming that will cross these borders, or if it proposes to place AmeriCorps members funded under this proposal at sites outside of New York State, do not respond to this RFP. You are proposing a national direct program and must respond directly to the Corporation’s national RFP, which can be found at [AmeriCorps State and National Grants FY 2018](#).

Throughout this document, the terms proposals, bids, offers, and applications are used interchangeably, as are applicants, bidders, and offerers.

If the offerer discovers any ambiguity, conflict, discrepancy, omission, or other error in this Request for Proposals (RFP), the offerer shall immediately notify OCFS (See **Section 1.1 Procurement Contact** of such error in writing and request clarification or modification of the document.

If, prior to the deadline for submission of questions, an offerer fails to notify OCFS of a known error in or omission from the RFP, or of any error or omission or prejudice in bid specification or documents with the RFP that the offerer knew or should have known, the offerer agrees that it will assume such risk if awarded funds, and the offerer agrees that it is precluded from seeking further administrative relief or

additional compensation under the contract by reason of such error, omission, or prejudice in bid specification or documents.

### 1.1 Procurement Contact

All inquiries concerning this procurement must be addressed to the Commission at OCFS, via email (preferred) [AmeriCorps.RFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorps.RFP@NewYorkersVolunteer.NY.gov) or via hard copy mailed to:

Questions for **2017-26**, 2018-2019 New York State  
 AmeriCorps Request for Proposals (Competitive Pool)  
 Office of Children and Family Services  
 52 Washington Street  
 Room 338 North  
 Rensselaer, NY 12144  
 Attn: Stefanie Perez

### 1.2 Calendar of Events (Amended 11/17/2017)

RFP# 2017-26 – 2018-2019 NEW YORK STATE AMERICORPS REQUEST FOR PROPOSALS (COMPETITIVE POOL)	
EVENT	DATE
Issuance of Request for Proposals	11/16/17
Technical Assistance Call Sessions (attendance is optional)	11/28/17 2 P.M. ET
<b>Deadline for Submission of Written Questions</b>	11/29/17 5:00 p.m. ET
<b>Deadline for Letter of Intent for Planning Grant Proposals</b>	11/29/17 5:00 p.m. ET
Responses to Written Questions Posted in GGS	12/1/17
<b>Recommended Deadline to Prequalify in GGS</b>	12/1/17
<b>Deadline for Submission of Proposals</b>	12/11/17 5 12:00 p.m. ET
<b>Deadline for an application submitted outside of eGrants (exceptional circumstances only).</b>	12/11/17 5 12:00 PM ET (no later than)
<b>Anticipated</b> Notification of Award (not earlier than)	5/5/18
<b>Anticipated</b> Contract Start Date (not earlier than)	7/1/18

### **1.3 Informational Meeting/Technical Assistance Session**

The Commission is committed to providing the most current application information available and will rely primarily on the New Yorkers Volunteer website ([www.NewYorkersVolunteer.ny.gov](http://www.NewYorkersVolunteer.ny.gov)) to keep applicants abreast of changes. Applicants are encouraged to monitor this website frequently for training and technical assistance resources, updates to the application process, and other information.

Additionally, refer to **Section 1.2 Calendar of Events** for the date and time of the technical assistance call for potential applicants. The conference call will take place at 2 PM, and the number is (844) 633-8697; participant code 95155221.

**Note:** Before the technical assistance call, call participants are required to read this RFP.

### **1.4 Submission of Written Questions (Amended 11/27/17)**

All questions and requests for clarification, or to report errors or omissions in the procurement process, of this RFP should cite the particular RFP section and paragraph number and must be submitted via email (preferred) at [AmeriCorpsRFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.NY.gov) [AmeriCorpsRFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.NY.gov) with the subject line “2018-19 AmeriCorps Competitive RFP” or by hard copy mail to New York State Office of National and Community Service, 52 Washington Street, North Building - Suite #338 Rensselaer, New York 12144-2796, Attn: Stefanie Perez no later than the deadline for submission of written questions specified in **Section 1.2 Calendar of Events**. Questions received after the deadline will not be answered. The comprehensive list of questions and responses will be posted in the solicitation announcement in the New York State Grants Gateway System (“GGG” or “Grants Gateway”), on the OCFS Website (<http://ocfs.ny.gov/main/bcm/rfp.asp>), and the Contract Reporter website at (<https://www.nyscr.ny.gov/login.cfm>) on the date specified in **Section 1.2. Calendar of Events**.

To view the comprehensive list of questions and responses:

- Log onto the Grant Opportunity Portal by clicking the icon that says, “Click Here for the Grants Gateway.” Click on “Grant Opportunity.”
- Then click the icon for “Questions and Answers Link or Upload.”
- When you click the link, you will be directed to either a link that will take you to an internet location where the questions can be found, or the questions will be available there to download.

### **1.5 Deadline for Prequalification in the Grants Gateway**

Not-for-Profit applicants are strongly encouraged to prequalify in the Grants Gateway by the recommended date specified in the table in **Section 1.2. Calendar of Events**, and **MUST** prequalify by the date of submission. Please refer to **Section 3: MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS**.

NOTE: Government entities are not required to prequalify in Grants Gateway, but must register to submit an application.

## **1.6 Submission of Proposals**

All proposals must be submitted electronically through the Corporation for National and Community Service web-based system, eGrants. It is recommended that applicants create an eGrants account and begin the application creation process as soon as possible before the deadline. Applicants should draft the application as a word document and copy and paste the document into the appropriate eGrants fields no later than 10 days before the deadline.

The Commission requires a letter of intent to apply for all planning grant applications submitted in response to this RFP. Please submit a letter of intent via email to [AmeriCorpsRFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.NY.gov) no later than the date specified in **Section 1.2 Calendar of Events**. This letter of intent must indicate the amount of money for which you intend to apply and must be signed by the chief executive officer, or other responsible official (CFO, COO, board chair, etc.) of your organization.

Note: If the Commission recommends your application to the Corporation, you may be required to provide additional documents including a labor union concurrence (if necessary), a federally approved indirect cost agreement (if applicable), and other required documents as necessary. You will be provided with detailed instructions by Commission staff.

### **Required with bid submission:**

The following documents are required to be emailed to [AmeriCorps.RFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorps.RFP@NewYorkersVolunteer.NY.gov). In the subject heading of the email, please write "2018-19 AmeriCorps RFP Required Bid Documents" and please include your organization's name.

- A. MacBride Fair Employment Principles in Northern Ireland  
[\*\*\(OCFS-2633\)\*\*](#)
- B. [Non-Collusive Bidding Certification Required by Section 139d of the State Finance Law \(OCFS-2634\)](#)
- C. [Attachment A-2 \(Federal Assurances\)](#)

D. The three forms associated with Minority- and Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunity (EEO) requirements listed below must be completed and submitted with your administrative proposal. For complete proposal and contract requirements for MWBE and EEO requirements, refer to section 7.6.

- [Project Staffing Plan Form \(OCFS-4629\)](#)
- [MWBE Equal Employment Opportunity \(EEO\) Policy Statement Form \(OCFS-3460\)](#)
- [MWBE Utilization Plan Form \(OCFS-4631\)](#)

E. For complete proposal and contract requirements for the New York State Service-Disabled Veteran-Owned Business (SDVOB) Act, **please refer to section 7.11 and complete the following attachment:** [Attachment-Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance](#)

### **Proposal Due Date**

All 2018-19 proposals for cost reimbursement, education award program, fixed cost, and planning grants are due in the eGrants system by the date specified in **Section 1.2 Calendar of Events**.

### **1.7 OCFS Reserved Rights**

OCFS reserves the right to:

1. place a monetary cap on the funding amount made in each contract award;
2. change any of the schedule dates stated in this RFP prior to the due date for the submission of proposals;
3. reject any or all proposals received in response to the RFP;
4. withdraw the RFP at any time at the agency's sole discretion;
5. make an award under the RFP in whole or in part;
6. disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
7. reject any proposal if, in the sole discretion of OCFS, it determines the bidder is not a responsible vendor;

8. seek clarification and revisions of proposals. Request bidders to present supplemental information clarifying their proposals either in writing or by formal presentation. Other than the requested clarification and supplemental information, submission of new information is not permitted;
9. require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal, which may include an oral presentation of their proposal. Any such demonstration or presentation may be considered in the evaluation of the proposal;
10. amend any part of this RFP prior to opening of bids, with notification to all bidders, and direct all bidders to prepare modifications addressing RFP amendments, if necessary. Expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP are the sole responsibility of the bidder or other party and will not be incurred or reimbursed by OCFS;
11. make funding decisions that maximize compliance with and address the outcomes identified in this RFP;
12. fund only one portion, or selected activities, of the selected bidder's proposal and/or adopt all or part of the selected bidder's proposal based on federal and state requirements;
13. eliminate any RFP requirements that cannot be met by all prospective bidders upon notice to all parties that submitted proposals;
14. waive procedural technicalities or modify minor irregularities in proposals received after notification to the bidder involved;
15. correct any arithmetic errors in any proposal or make typographical corrections to proposals with the concurrence of the bidder;
16. negotiate with the selected bidder(s) prior to contract award;
17. conduct contract negotiations or award a contract to the next highest bidder if contract negotiations with the selected bidder(s) cannot be accomplished within an acceptable time frame. No bidder will have any rights against OCFS arising from such actions;
18. award contracts to more than one bidder or to other than the lowest bidder;
19. require that all proposals be held valid for a minimum of 180 days from the closing date for receipt of proposals, unless otherwise expressly provided for in writing;
20. fund any or all of the proposals received in response to this RFP. However, issuance of this RFP does not commit OCFS to fund any proposals. OCFS can reject any proposals submitted and reserves the

right to withdraw or postpone this RFP without notice and without liability to any bidder or other party for expenses incurred in the preparation of any proposals submitted in response to this RFP and may exercise these rights at any time;

21. use the proposal submitted in response to this RFP as part of an approved contract. At the time of contract development, awardees may be requested to provide additional budget and program information for the final contract;
22. utilize any and all ideas submitted in the proposals received where an award is ultimately made;
23. 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 proposal and/or to determine an offerer's compliance with the requirements of the solicitation;
24. make additional awards based on the remaining proposals submitted in response to this RFP and/or provide additional funding to awardees if such funds become available;
25. make inquiries of third parties, including but not limited to, bidders references, with regard to the applicants' experience or other matters deemed relevant to the proposal by OCFS. By submitting a proposal in response to this RFP, the applicant gives its consent to any inquiry made by OCFS;
26. require contractors to participate in a formal evaluation of the program to be developed by OCFS. Contractors may be required to collect data for these purposes. The evaluation design will maintain confidentiality of participants and recognize practical constraints of collecting this kind of information;
27. consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals.
28. rescind awards for failure of awardees to meet timeframes that OCFS is required by statute to meet for contract development and approval.
29. Prior to the deadline for submission of proposals, any such clarifications or modifications as deemed necessary by OCFS will be posted in Grants Gateway, the NYS Contract Reporter, and the OCFS Website. Potential offerers that were sent the original bid notice via email will receive an email from the RFP Unit regarding the clarifications or modifications. All other individuals will have to check the NYS Contract Reporter, or the OCFS website for any changes, and check the posted questions and answers.

30. OCFS reserves the right to cancel this RFP, in whole or in part, at any time and to reject any and all proposals when appropriate in the best interests of the state.

## **2.0 EXECUTIVE OVERVIEW**

### **2.1 Introduction/Description of Program Objectives and Background**

The New York State Commission on National and Community Service was established in 1994 by an executive order of the governor. The Commission administers the state's AmeriCorps national service portfolio and seeks to improve lives, strengthen communities, and foster civic engagement through service and volunteering in New York State. The Commission also promotes volunteering and community service as methods to solve local problems.

#### **What is AmeriCorps?**

AmeriCorps is a federally funded service program that provides citizens the opportunity to engage in full or part-time service to their community. New York State AmeriCorps grants are awarded to public or private nonprofit organizations, including faith-based and other community organizations; institutions of higher education; state agencies or other government entities within states or territories (e.g., cities, counties); Native American Tribes; labor organizations; partnerships and consortia; and intermediaries that will operate solely in New York State and focus on one or more of the six focus areas identified by The Edward M. Kennedy Serve America Act. These focus areas are: Disaster Services, Economic Opportunity, Education, Environmental Stewardship, Healthy Futures, and Veterans and Military Families.

Each of these organizations and agencies, in turn, uses its AmeriCorps funding to recruit, place, and supervise AmeriCorps members who engage in intensive service to address pressing community problems. After successful completion of their terms of service, AmeriCorps members earn a Segal AmeriCorps Education Award that can be used to pay for college or graduate school at Title IV schools, or to repay qualified student loans. Most AmeriCorps members also receive a modest living allowance, health care benefits, and child care assistance.

### **2.2 OCFS Statewide Considerations**

OCFS's mission is to serve New York's public by promoting the safety, permanency and well-being of our children, families and communities. OCFS effectuates results by setting and enforcing policies and building partnerships at the federal, state, county and community levels that impact practice. OCFS funding investments assist communities to create and/or enhance the provision of quality services in the areas of child welfare, juvenile justice, adult protective services, and services for the legally blind and visually impaired.

OCFS conducts ongoing analysis of demographic data and fiscal expenditures to aid counties and communities in administering safe, effective and cost-efficient services to the residents of our state. Paramount is ongoing self-assessment within “the system” to identify changes in service needs, interventions, and partnerships. OCFS data reveals that many children and families who are involved with the child welfare and juvenile justice systems in New York State are disproportionately Black and Latino, and many are poor. For the blind and visually impaired service area, Black and Latino adults are underrepresented in the receipt of services from the legally blind and visually impaired service network.

In response to this situation, OCFS has been implementing various activities to:

- assess relevant data;
- identify which communities across the state are affected;
- identify evidence-based and/or best-practice strategies and/or approaches that can be replicated in New York State to respond to the issue; and
- provide funding to designated high-need communities to facilitate implementation of programs and services that address disproportionality and disparity rates.

This RFP provides OCFS and localities an opportunity to provide services to our most vulnerable children and families and to implement activities that address disproportionality in identified communities. OCFS will invest in services that are culturally and linguistically competent, cost efficient, and contribute toward alleviating issues identified for the respective communities. Organizations that are interested in applying for OCFS funding are therefore encouraged to review their community’s demographic data (i.e. child welfare, home visiting, adoption, and juvenile justice) and as indicated and where deemed appropriate per the target population and/or scope of services for the funding source, consider the following element(s) in their proposal design:

- **Disconnected/High-Need Youth**

OCFS’s priority is to “protect those in greatest need” through ongoing assessment and enhancement of services that promote safety and general well-being for at-risk children, adolescents, families and adults. This priority includes targeting services for “disconnected/high need youth” who are: youth aging out of foster care; youth in or re-entering the community from the juvenile justice system; and children of incarcerated parents. Grant applications that propose to serve the “disconnected/high-need youth” population must consider that the clients cited above often require service intervention from multiple service systems. Where required by the OCFS RFP narrative, applications must demonstrate capacity and scope for cross-agency collaborations and partnership with relevant community organizations.

- **Racial Equity and Cultural Competence**

OCFS continues work in the area of Racial Equity and Cultural Competence (RECC). Effort to address RECC includes examination of the issues related to the overrepresentation of Black, Latino and Native American children and their families in the state's child welfare and juvenile justice systems. It also entails a consideration of issues related to the underrepresentation of Blacks, Native Americans and Latinos in various service delivery systems to identify how best to enhance outreach and preventive measures that support the safe reduction of out-of-home placements for children and adults, and focus on the well-being of children, youth and families. OCFS has enlisted the participation of our state and local partners in this effort and is working with a number of counties to examine local data and develop strategies to address, reduce and ultimately eliminate racial and ethnic disparities and to seek equity within the systems of care and custody. We continue to partner with national experts Casey Family Programs and have also collaborated with the Center for the Study of Social Policy (CSSP) and other national experts dedicated to this work. The effort must be data driven and therefore, we have generated and shared county-level data with partners and stakeholders in our effort to encourage transparency and collaboration.

Current OCFS statewide data indicates that Black and Latino children and families continue to comprise 75 percent of the state's children in foster care and about 85 percent of the juvenile justice placements. OCFS views this RFP as an opportunity to heighten public awareness of this disproportionality and to begin to promote policies and practices that will gradually reduce it.

Specific areas that every applicant and community is requested to consider in the design of its program and scope of services identified in its application for OCFS funding include, but are not limited to:

- providing service strategies, approaches, and linguistic capacities that promote the delivery of services that are culturally competent and reflective of the population and community to be served;
- collecting and analyzing data relevant to disproportionality and service provision;
- strategically locating services within communities, to promote better access to service delivery in high-need areas; and
- promoting cross-agency dialogue and partnership regarding service planning to address disproportionality (including, but not limited to, social services, mental health, health, education, housing, substance abuse, probation agencies, and community-based providers).

- **Disproportionate Minority Representation (DMR) in the Child Welfare and Juvenile Justice Systems**

Disproportionate Minority Representation (DMR) or disproportionality occurs when the percentage for the representation of a particular minority group (racial, ethnic) involved with a service system is significantly higher or lower than that group's percentage or representation in the general population. Disproportionality has implications across all services administered by OCFS, including child welfare, juvenile justice, child care, youth development, and those services for the blind and visually impaired. In some service categories, disproportionality manifests itself by over-representation of racial/ethnic groups, and in other service categories, it is manifested by under-representation of racial/ethnic groups.

Further information regarding Disproportionate Minority Representation (DMR) and data in New York State can be found through the following link: [Disproportionate Minority Representation \(DMR\)](#).

## **2.3 Purpose and Funding Availability**

The Commission anticipates that 2018-2019 AmeriCorps competitive grant funding will be highly competitive. To maximize the impact of the public investment in national service, applications will be recommended for funding which demonstrate community impact and solve community problems using an evidence-based, or evidence-informed, approach (e.g. performance data, research, theory of change).

All New York State AmeriCorps programs are required to budget for travel to attend the annual New York State AmeriCorps kickoff (date in late 2018 to be announced) and to work collaboratively with other national service programs in your region on the national and state service days of September 11, MLK Day and "I Love My Park Day" (first Saturday in May of each year).

The grant awards made under this RFP have two components: Operating funds and AmeriCorps member positions. Grant award amounts vary – both in the level of operating funds and in the type and amount of AmeriCorps member positions – as determined by the scope of the projects. An AmeriCorps member is an individual who engages in community service through an approved national service position. AmeriCorps members will be recruited, trained, supervised and managed by the funded organization. AmeriCorps members may receive a living allowance and other benefits while serving. Upon successful completion of their service, AmeriCorps members may earn a Segal AmeriCorps Education Award from the National Service Trust that they can use to pay for higher education expenses or apply to qualified student loans.

## **Multiple Projects**

Applicants may apply for more than one grant if the proposed projects are different. Two projects will be considered the same if they: address the same issue areas, address the same priorities, address the same objectives, serve the same target communities and population, or utilize the same sites. Programs must get approval from the Commission to be considered a new project. A project will be considered new by the Commission and the Corporation if there is a meaningful difference between it and previous projects in a comparison of the following characteristics, among others: the objectives and priorities of the projects; the nature of the services provided; the program staff, participants, and volunteers involved; the geographic locations in which the services are provided; the populations served; and the proposed community partnerships.

Grant award amounts made under this RFP vary – both in the level of operating funds and in the type and amount of AmeriCorps Member positions. Eligible organizations must propose engaging AmeriCorps members in evidence-based or evidence-informed interventions to strengthen communities.

The actual level of national funding from the Corporation will be subject to the availability of annual congressional appropriations which have not yet been enacted. In the 2017-18 program year, \$230 million was available nationally to eligible applicants through the competitive funding processes.

As noted in **Section 1.7 OCFS Reserved Rights** above, OCFS reserves the right to place a monetary cap on the funding amount made in each contract award.

A first-time successful applicant is required to match at 24 percent for the first three-year funding period. If the program is re-funded after the first three-year period, and starting with year four, the match requirement gradually increases every year to 50 percent by year 10.

There is no specific match requirement for Fixed Amount and Education Award Program grants.

## **2.4 Term of Contract**

The contracts awarded in response to this RFP will be for no more than 39 months consisting of three 15-month contract periods that are programmatically and fiscally independent with a start date, for the first 15-month period, of no earlier than July 1, 2018, and an end date no later than December 31, 2019. Applicants who receive awards of federal funding under this RFP will be subject to all applicable federal laws, rules and regulations to include AmeriCorps program regulations found under 45 CFR Part 2522.

The 15-month contract periods allow the contractor a covered period to recruit members and remain compliant with federal regulations which provide full-time AmeriCorps members up to twelve months to complete their term of service. The start date for each fifteen-month contract period may be adjusted should a revised scope and approved program plan deem it operationally justified. Expenses incurred in a 15-month contract period may only be reimbursed with funds granted for that same 15-month contract period. Contract start dates should be July 1, 2018 or later and the contract end date may not be after December 31, 2019. Before payments may be made, OSC and OAG approval of the contract must be obtained, please see section 7.2 below.

In approving a multi-year project, the Corporation will approve initial funding for the first 15-month contract period. Continuation funding is not guaranteed. Applicants who are awarded funding must re-apply for years two and three of a multi-year project. Factors considered in awarding continuation grants include satisfactory performance, demonstrated capacity to manage the grant, compliance with grant requirements, agency priorities, and the availability of appropriated federal funds. The Commission and the Corporation reserve the right to adjust the amount of a grant or elect not to continue funding for subsequent years.

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

The New York State Commission on National and Community Service reserves the right to reallocate funding at any time if the Commission determines that a contractor is not able to expend all their funds during a contract period. Contractors may be asked at a point midway through the grant contract to provide their anticipated unexpended funds balance at the end of the contract. The figure you provide will be removed and de-obligated from the contract and will not be restored, absent extenuating circumstances.

**Note:** Contractors may not begin to provide services prior to the contract start date. No payments may be made prior to approval of the contract by the Office of the State Comptroller (OSC) and Office of the Attorney General (OAG). OCFS has no obligation to pay for services rendered prior to the contract start date and prior to the requisite approvals of the OSC and OAG.

### **3.0 MINIMUM QUALIFICATIONS TO PROPOSE AND PREQUALIFICATION PROCESS**

#### **3.1 Minimum Qualifications**

New York State AmeriCorps grants are awarded to public or private nonprofit organizations, including faith-based and other community organizations; institutions of higher education; state agencies or other government entities within states or territories (e.g., cities, counties); Native American Tribes; labor organizations; partnerships and consortia; and intermediaries that will operate

solely in New York State (See the [2018 AmeriCorps State and National Notice of Funding Opportunity \(NOFO\)](#), **Eligible Applicants**, p. 5).

The Corporation has determined that individuals that have been convicted of a Federal crime are disqualified from receiving the assistance described in this State RFP. Pursuant to the *Lobbying Disclosure Action of 1995*, an organization described in Section 501 (c) (4) of the Internal Revenue code of 1986, 26 U.S.C. 501 (c) (4) that engages in lobbying activities is not eligible to apply.

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

### **3.2 Prequalification Process**

New York State has instituted key reform initiatives to the grant contract process that require not-for-profit organizations to register in the New York State Grants Gateway System (GGS) and complete the Vendor Prequalification process in order for proposals to be evaluated. Not-for-profit organizations will only have to prequalify once every three years, with the responsibility to keep their information current throughout the three-year period.

**Proposals received from not-for-profit applicants that are not prequalified in the Grants Gateway on the proposal due date and time listed in Section 1.2 Calendar of Events will be disqualified from further consideration.** Pre-qualification in Grants Gateway is a pre-requisite for not-for-profit applicants to apply to this RFP.

NOTE: Governmental entities are not required to prequalify in Grants Gateway, but must register in Grants Gateway to submit an application.

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

#### **3.2.1 Register for the Grants Gateway**

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

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

### 3.2.2 Complete Your Prequalification Application

- Log into the [Grants Gateway](#). If this is your first time logging in, you will be prompted to change your password at the bottom of the “Profile” page. Enter a new password and click “SAVE.”
- Click the “Organization(s)” link at the top of the page and complete the required fields including selecting the state agency with which you have the most grant contracts. If you currently do not have any contracts with NYS, select OCFS. This page should be completed in its entirety before you click “SAVE”. A “Document Vault” link will become available near the top of the page. Click this link to access the main “Document Vault” page.
- Answer the questions in the “Required Forms” and upload “Required Documents.” This constitutes your “Prequalification Application”. “Optional Documents” are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be directed to the agency contact listed in **Section 1.1 Procurement Contact**, or to the Grants Reform Team at [grantsreform@budget.ny.gov](mailto:grantsreform@budget.ny.gov).

### 3.2.3 Submit Your Prequalification Application

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

**Vendors are strongly encouraged to begin this process as soon as possible and at the latest by the date specified in Section 1.2 Calendar of Events, in order to participate in this opportunity.**

### **3.3 Vendor Responsibility Requirements**

Section 163(9)(f) of the NY State Finance Law requires that a state agency make a determination that a bidder is responsible prior to awarding that bidder a state contract. Vendor responsibility will be determined based on the information provided by the bidder, on-line, through the New York State VendRep System Questionnaire or through a paper copy of the *Vendor Responsibility Questionnaire*. OCFS will review the information provided before making an award.

OCFS reserves the right to reject any proposal if, in its sole discretion, it determines the bidder is not a responsible vendor. All proposals are subject to a vendor responsibility determination before the award is made, and such determination can be revisited at any point up to the final approval of the contract by the New York State Office of the State Comptroller (OSC). Vendors must maintain their vendor responsibility throughout the duration of the contract.

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

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

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

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

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

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor Identification Number or

for direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

The New York State VendRep System offers the following benefits:

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

**Note:** The *Vendor Responsibility Questionnaire* must be dated within six months of the proposal due date. Any subcontractors under that proposed contract must also complete a *Vendor Responsibility Questionnaire* when the value of the subcontract is projected to be \$100,000 or more for the contract term.

Confirmation of **completion** of the vendor responsibility process must be submitted with your proposal. This confirmation can take the form of registration in the VendRep system, or by submitting your completed hardcopy questionnaire. To submit this confirmation with your application, go to the bottom of your certified questionnaire, and click the button called "Form Overview." Print this page and upload it to the proposal. Upload the page into your proposal by going to the Pre-Submission Uploads section of the RFP in the GGS. While it is not recommended, you have the option of uploading a completed hardcopy *Vendor Responsibility Questionnaire* to the Pre-Submission Uploads section.

## **4.0 PROGRAM REQUIREMENTS**

### **4.1 Desired Outcomes and Program Requirements**

#### **New Applicants**

The Commission encourages organizations that have never received AmeriCorps funding to apply for the AmeriCorps funding described in this RFP. The general practice is to cap the number of member slots for new

grantees at 50. New applicants are eligible to apply for Cost Reimbursement and Education Award Program (EAP) grants but are not eligible to apply for Fixed Amount grants.

### **Continuation Applicants**

Organizations that have current AmeriCorps contracts not ending by December 31, 2018, must submit a continuation application to be eligible to receive funding for the following year. (Please see the Continuation Instructions, contained in the [2018 AmeriCorps Application Instructions Section , CONTINUATION REQUESTS, p. 13.](#))

## **AmeriCorps Grant Award & Application Types**

### **A. Overview**

New York State AmeriCorps applications submitted to the Commission for recommendation to the Corporation may be structured on either a cost reimbursement or fixed amount basis. The Corporation will not provide both types of grants for the same project in one fiscal year. (See AmeriCorps Grant Award Types table below for an explanation of these types of grants.)

New applicants are eligible to apply for cost reimbursement and Education Award Program grants but not fixed amount grants. Existing sub-grantees (operating sites) of fixed amount grants that can demonstrate a track record and capacity to manage a fixed amount grant are considered to have AmeriCorps experience and therefore can apply for fixed amount grants in response to this RFP.

New applicants responding to this RFP must apply for a minimum of 20 AmeriCorps member positions. Applications requesting fewer than 20 members are not eligible to apply for this RFP and will not be reviewed. Applicants filing a Request for Continuation are not subject to this requirement, but must have a minimum of 10 Member Service Years (MSY). One Member Service Year (MSY) is equivalent to one full-time AmeriCorps member.

Grant requests may vary in size depending on the type and scope of a proposed program. The Commission allows applicants certain flexibility in developing their budgets within limitations. The maximum cost per MSY for AmeriCorps grants through the Commission (full-time equivalent member) in New York State is \$14,700 for a Cost Reimbursement grant and \$13,430 for a fixed amount grant request. The maximum cost per MSY is not to be confused with the maximum living allowance which is described more fully below under Section 4.B.

The following table illustrates the types of AmeriCorps state grant awards and gives brief outlines of the budgetary and program requirements for each type. Applicants should review the detailed descriptions to determine their eligibility for a particular type of AmeriCorps grant.

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

**Note:** The Commission will not provide both cost reimbursement and fixed amount grants for the same project in one fiscal year.

The following table describes the three different types of AmeriCorps applications. Applicants should review the application types to determine which type of application to submit.

<b>AmeriCorps Application Types</b>	
<b>Application Type</b>	<b>Description</b>
New	Applications submitted by an eligible organization that has not received AmeriCorps State funding from the Commission in the last five years. The New Competitive category includes Professional Corps, which is a program that recruits and places qualified participants to meet unmet human, educational, environmental, or public safety needs in communities with an inadequate number of such professionals.
Re-compete	Applications submitted by an eligible organization that (1) is completing a three-year New York State AmeriCorps contract cycle and is seeking a new, three-year grant. If your program is currently in the final year of its grant cycle, you must apply using the application instructions for new and re-competing programs.
Continuation	Applications submitted by an eligible organization that is currently managing a New York State AmeriCorps grant moving from year one to year two or from year two to year three of their three-year contract cycle.

## **B. Member Living Allowance**

The proposed budget must include a living allowance for full-time members between \$13,732 (minimum) and \$27,464 (maximum) per member, except as noted below.

A living allowance is not considered a salary or a wage. However, funded organizations are responsible for withholding income tax and FICA. In New York State, funded organizations do not withhold unemployment insurance premiums for AmeriCorps members, in accordance with the New York Department of Labor's memorandum issued in 1995, which clarified that service with AmeriCorps is not covered employment.

Cost reimbursement grants are not required to provide a living allowance for members serving in less than full-time terms of service. If a program chooses to provide a living allowance to a less than full-time member, it must comply with the maximum limits in the table below. For Cost Reimbursement grants, the amount must be included in the proposed budget as either Corporation or grantee/sub-grantee share, except as noted below.

While fixed amount grant applicants are not required to submit detailed budgets, they are still required to provide a living allowance that complies with the minimum and maximum requirements to members, except as noted below. Most fixed amount grant applicants are not required to indicate that amount in the application and should request those positions as "without living allowance" in the budget.

**Exceptions to the living allowance requirements:**

1. If a program existed prior to September 21, 1993, a living allowance is not required. If an applicant chooses to offer a living allowance, it is exempt from the minimum requirement (\$13,732), but not the maximum requirement (\$27,464).
2. EAP grantees are not required to provide a living allowance; however, if a living allowance is provided, it must comply with the minimum and maximum requirements set in the Living Allowance Table below.
3. Professional Corps grantees must provide members a living allowance or salary, which must meet the minimum but may exceed the maximum living allowance set in the Living Allowance Table below. Professional Corps member salaries are paid entirely by the organization with which the members serve, and are not included in the budget.

<b>Minimum and Maximum Living Allowance</b>				
<b>Service Term</b>	<b>Minimum # of Hours</b>	<b>Minimum Living Allowance</b>	<b>Maximum Living Allowance</b>	
Full-Time	1,700	\$13,732	\$27,464	
Half-Time	900	n/a	\$14,539	
Reduced Half-Time	675	n/a	\$10,905	
Quarter-Time	450	n/a	\$7,270	
Minimum-Time	300	n/a	\$4,847	

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

Maximum costs per MSY are set forth in the table below. The CNCS cost per MSY is determined by dividing the CNCS share of budgeted grant costs by the number of MSY requested; it does not include child care or the value of the education award a member may earn. The maximum amount an applicant may request from CNCS per MSY is determined on an annual basis.

New and re-competing sub-grantees must not exceed the maximum cost per MSY for their grant type.

**2018 New York State Maximum Cost per MSY**

<b>Grant Types</b>	<b>Cost Reimbursement</b>			<b>Fixed Amount</b>		
<b>Available Subtypes</b>	<b>Traditional</b>	<b>Professional Corps</b>	<b>Evidence-Based Planning Grants</b>	<b>Full-time</b>	<b>Education Award Program (EAP)</b>	<b>Professional Corps</b>
<b>Maximum Cost per MSY</b>	\$14,700	\$1,000	N/A	\$13,430	\$800	\$1,000
<b>Type of Slots in the National Service Trust</b>	All	All	N/A	Full-time or Less than Full-time serving in a full-time capacity	All	Full-time only
<b>Budget Submission Required</b>	Yes			No	Yes, if requesting operating funds	
<b>Availability of Funds linked to enrollment and retention of awarded MSYs</b>	No			Yes		
<b>Special Requirements</b>	N/A	Must place qualified professionals in communities with an inadequate number of such professionals. Member salaries must be paid entirely by organization where member serves and not included in budget.	See Notice	N/A	Must place qualified professionals in communities with an inadequate number of such professionals. Member salaries must be paid entirely by organization where member serves and not included in budget.	
<b>Financial Reporting Requirements</b>	Yes	Yes; Living allowance or salary paid to members may not be counted toward the match requirements	Yes	No		
<b>Available to new Applicants</b>	Yes			No	Yes	

**Note:** The Corporation assumes that Professional Corps will cover the operating expenses associated with the AmeriCorps program through non-grant funds and thus will not be requesting operating funds as part of their applications.

**D. Segal AmeriCorps Education Award**

AmeriCorps members serving in programs funded through this RFP who successfully complete a term of service will receive an education award from the National Service Trust. The amount of the education award is linked to the value of the Pell Grant, and is therefore subject to change after 2018. A member has seven years after his or her term of service to use the education award.

**E. Cost Sharing or “Match” Requirements**

**Fixed Amount Grants**

There is no specific match requirement for Fixed Amount grants. The Corporation does not provide all the funds necessary to operate the program. Organizations must raise the additional revenue required to operate the program.

**Cost Reimbursement Grants**

A first-time successful applicant is required to match at 24 percent for the first three-year funding period. Starting with year four, the match requirement gradually increases every year to 50 percent by year ten, according to the minimum overall share chart found in 45 CFR §2521.60 and below.

<b>AmeriCorps Funding Year</b>	1, 2, 3	4	5	6	7	8	9	10+
<b>Match Requirement</b>	24%	26%	30%	34%	38%	42%	46%	50%

**Note:** Section 121(e)(5) of NCSA (42 U.S.C. 12571(e)) requires programs that use other federal funds as match for an AmeriCorps grant to report the amount and source of these funds to the Corporation on a Federal Financial Report (FFR). Grantees must track and be prepared to report on that match separately each year and at closeout. All New York State AmeriCorps grantees and sub-grantees must report on that match to the Commission on a schedule included in their OCFS contract.

## **Planning Grants**

Matching requirements for planning grants are the same as cost reimbursement grants.

## **Alternative Match**

Under certain circumstances, applicants may qualify to meet alternative matching requirements that increase over the years to 35 percent instead of 50 percent as specified in the regulations at 45 CFR §2521.60(b). To qualify, applicants must demonstrate that the proposed program is either located in a rural county or in a severely economically distressed community as defined in the [2018 AmeriCorps Application Instructions](#). Applicants who intend to request an alternative match schedule must send their requests to the Commission for review and approval via email to [AmeriCorpsRFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.NY.gov) on or before December 2, 2017. The Commission will forward the request to the Corporation for consideration if it recommends the application for funding. Requests for alternative match schedules are determined by the Corporation.

## **F. AmeriCorps Focus Areas**

The National and Community Service Act of 1990, as amended by the Serve America Act, emphasizes measuring the impact of service and focusing on a core set of issue areas. To carry out Congress' intent and to maximize the impact of investment in national service, the Corporation has the following focus areas:

### **Disaster Services**

Grant activities will provide support to increase the preparedness of individuals for disasters, improve individuals' readiness to respond to disasters, help individuals recover from disasters, and/or help individuals mitigate disasters. Grantees also have the ability to respond to national disasters under the Corporation for National and Community Service cooperative agreements and Federal Emergency Management Agency (FEMA) mission assignments.

### **Economic Opportunity**

Grants will provide support and/or facilitate access to services and resources that contribute to the improved economic well-being and security of economically disadvantaged people; help economically disadvantaged people to have improved access to services that enhance financial literacy; transition into or remain in safe, healthy, affordable housing; and/or have improved employability leading to increased success in becoming employed.

## **Education**

Grants will provide support and/or facilitate access to services and resources that contribute to improved educational outcomes for economically disadvantaged children; improved school readiness for economically disadvantaged young children; improved educational and behavioral outcomes of students in low-achieving elementary, middle, and high schools; and/or support economically disadvantaged students prepare for success in post-secondary educational institutions.

## **Environmental Stewardship**

Grants will support responsible stewardship of the environment, while preparing communities for challenging circumstances and helping Americans respond to and recover from disruptive life events: Programs that conserve natural habitats; protect clean air and water; maintain public lands; support wildland fire mitigation; cultivate individual and community self-sufficiency; provide reforestation services after floods or fires; and more. AmeriCorps programs support activities, such as conservation and fire corps, which may also help veterans and others learn new job skills through conservation service.

## **Healthy Futures**

Grants will provide support for activities that will improve access to primary and preventive health care for communities served by AmeriCorps programs; increase seniors' ability to remain in their own homes with the same or improved quality of life for as long as possible; and/or increase physical activity and improve nutrition in youth with the purpose of reducing childhood obesity.

## **Veterans and Military Families**

Grants will positively impact the quality of life of veterans and improve military family strength; increase the number of veterans, wounded warriors, military service members, and their families served by AmeriCorps programs; and/or increase the number of veterans and military family members engaged in service through AmeriCorps programs.

## **G. Corporation Funding Priorities**

The Corporation has designated the following as “priority funding” issue areas. (See [2018 AmeriCorps State & National Mandatory Supplemental Guidance](#) for further information about some of the priorities.) Please note that “priority funding” is not identical in all cases to the focus areas described above. The AmeriCorps focus areas are delineated in the Edward M. Kennedy Serve America Act, while the priority funding issue areas are determined annually by the Corporation. For 2018-19, the Corporation seeks to prioritize the investment of national service resources in the following:

- Disaster Services – improving community resiliency through disaster preparation, response, recovery, and mitigation
- Economic Opportunity – increasing economic opportunities for communities by engaging opportunity youth, either as the population served and/or as AmeriCorps members, to prepare them for the workforce
- Education – improving student academic performance in Science, Technology, Engineering, and/or Mathematics (STEM)
- Healthy Futures – reducing and/or preventing prescription drug and opioid abuse
- Veterans and Military Families – positively impacting the quality of life of veterans and improving military family strength
- Governor and Mayor Initiatives
- Rural Intermediaries – organizations that demonstrate measurable impact and primarily serve communities with limited resources and organizational infrastructure
- Safer Communities – programs that focus on public safety, preventing and mitigating civil unrest, and/or partnerships between law enforcement and the community
- Evidence-based Intervention Planning Grants
- Encore Programs – programs that engage Americans age 55 and older

To receive priority consideration for submitting an application within a notice priority(ies), applicants must demonstrate that the priority area is a significant part of the program focus and intended outcomes, and must include a high-quality program design. Responses that propose programs for receiving priority consideration are not guaranteed funding.

## **H. Performance Measures**

All applications must include at least one aligned performance measure (output and outcome) that corresponds to the proposed primary intervention. This may be a National Performance Measure or an applicant-determined measure. Additional performance measures, including output-only National Performance Measures, may also be included if desired; however, all performance measures must be consistent with the program's Theory of Change and represent significant program activities.

**Note:** The Corporation does not expect applicants to select performance measures to correspond to each and every potential member activity or community impact. The Corporation values the quality of performance measures over the quantity of performance measures.

The Corporation expects applicants to use National Performance Measures as part of their comprehensive performance measurement strategy if the National Performance Measures are part of the applicant's theory of

change. Applicants should use both performance and evaluation data to learn from their work as well as make tactical and strategic adjustments to achieve their goals. For more information, please refer to the National Performance Measure Instructions at the link below:

[2018 AmeriCorps State and National Performance Measures Instructions](#)

Applicants must include all information about their proposed performance measures in the Performance Measure section of the application in eGrants. All definitions and data collection requirements described in the National Performance Measure Instructions must be included in the text of the performance measures themselves, and it must be evident in the performance measure text that all definitions and requirements outlined in the National Performance Measures Instructions are met.

**Note:** Providing performance measures information elsewhere in the narrative cannot be in lieu of providing full information in the Performance Measures section of the application in eGrants.

In the application narrative, applicants should discuss their rationale for setting output and outcome targets for their performance measures. Re-competing applicants proposing to significantly increase or decrease output or outcome targets from their previous grant should provide a justification for this change.

**Note:** The Commission has posted tables, charts, graphs and other supplemental materials on its website, [www.newyorkersvolunteer.ny.gov](http://www.newyorkersvolunteer.ny.gov), that may be helpful to you. These materials must be read in conjunction with this RFP and are not a substitute for the instructions and information contained in this RFP. In the event of an actual or implied conflict between these supplemental materials and this RFP, the text of this RFP will in all cases be controlling.

#### **4.2 Accessibility of Web-Based Information and Applications**

Any web-based Intranet and Internet information and applications development or programming delivered pursuant to this procurement must comply with New York State Enterprise IT Policy NYS-P08-005, Accessibility Web-Based Information and Applications, and New York State Enterprise IT Standard NYS-S08-005, Accessibility of Web-Based Information Applications, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based Intranet and Internet information and applications are accessible to persons with disabilities. Web content must conform to New York State Enterprise IT Standards NYS-S08-005 as determined by quality assurance testing. OCFS will conduct such quality assurance testing and the test results must be satisfactory to OCFS before web content will be considered a qualified deliverable under the contract or procurement.

## 5.0 PROPOSAL CONTENT AND SUBMISSION

### 5.1 Technical Proposal Content

Each applicant must describe a project that will deploy AmeriCorps members effectively to solve a significant community problem. Applicants are urged to submit high-quality applications that carefully follow the guidance in this RFP. The quality of an application will be an important factor in determining whether an organization will receive funding.

**Note:** There are three page limits that must be adhered to: Narrative, Logic Model, and Learning Memo (if re-competing). **Please note that the page restrictions have changed from prior years.**

Applications must not exceed 12 pages for the Narratives or 15 pages for Rural Intermediaries. **The Commission will instruct its grant reviewers to cease their reviews once the allowable page limit has been reached, and applications will receive a “0” score for any information beyond the page limit.**

In determining whether an application complies with page limits, the Corporation will count the following for the narrative:

- The application’s Executive Summary, SF 424 Facesheet; and,
- The Narrative portions contained in the Program Design, Organizational Capacity, and Cost Effectiveness and Budget Adequacy sections of the application.

The Commission and the Corporation will consider the number of pages only as they print out from the “Review” tab in the Corporation’s web-based management system (where you will see the “View/Print your application” heading) when determining compliance for page limits. The Corporation will not consider the results of any alternative printing methods in determining whether an application complies with the applicable page limits.

The Commission strongly encourages applicants to print out the application from the “Review” tab prior to submission to check that the application does not exceed the page limit.

The application page limit does not include the Budget, narrative portion of the Evaluation Plan, the Logic Model, performance measures, or the supplementary materials, if applicable.

The Logic Model may not exceed three pages when printed with the application from the “Review” tab in the Corporation’s web-based management system (eGrants).

**Please note the length of a document in word processing software may be different than what will print out in the CNCS's web-based system.** Reviewers will not consider any submitted material that exceeds the page limits in the printed report, also, note that the system will not prevent an applicant from entering text that will exceed page limitations. This applies to both the application page limit and the Logic Model page limit.

If a re-competing applicant, the learning memo must be in a 12-point font or larger and should not exceed three single sided pages double spaced text.

## **Proposal Content**

In eGrants, applicants will enter the following components of a complete application:

- Standard Form 424 (SF-424) Face Sheet (This is automatically generated when applicants complete the data elements in the system.)
- Narratives
  - Executive Summary
  - Program Design
  - Organizational Capacity
  - Cost Effectiveness and Budget Adequacy
  - Evaluation Plan (if applicable)
- Logic Model
- Standard Form 424 Budget
- Performance Measures
- Authorization, Assurances, and Certification

## **Criteria for Operating Grant:**

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

Please fill-in the bracketed sections of these sentences below. Do not deviate from the template below.

The [Name of the organization] proposes to have [Number of] AmeriCorps members who will [service activities the members will be doing] in [the locations the AmeriCorps members will serve]. At the end of the first program year, the AmeriCorps members will be responsible for [anticipated outcome of project]. In addition, the AmeriCorps members will leverage [number of leveraged volunteers, if applicable] who will be engaged in [what the leveraged volunteers will be doing.]

This program will focus on the CNCS focus area(s) of [Focus Area(s)].\* The CNCS investment of \$[amount of request] will be matched with \$[amount of projected match], \$[amount of local, state, and federal funds] in public funding and \$[amount of non-governmental funds] in private funding.

\*If the program is not operating in a Corporation focus area, omit this sentence.

Fixed-Amount grant applicants (EAP, Full-time Fixed) should list their Other Revenue (see [2018 AmeriCorps State & National Mandatory Supplemental Guidance](#) , p. 7) because they are not required to provide a specific amount of match, but still raise significant additional resources to operate the program. CNCS will post all Executive Summaries of awarded grant applications on <http://www.nationalservice.gov> in the interest of transparency and Open Government.

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

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

### **1. Need (4 points)**

The problem the program will address is prevalent and severe in communities where members will serve and has been documented with relevant data.

“Community” can be a geographic region, a specific population of people, or a combination of both. The applicant must document the need it plans to address with its proposed program, whether it is a defined geographic community or a subset of individuals living in a particular area.

### **2. Theory of Change and Logic Model (24 points)**

The Theory of Change shall address:

- The proposed intervention is responsive to the identified community problem.
- The applicant's proposed intervention is clearly articulated including the design, dosage, target population, and roles of AmeriCorps members and (if applicable) leveraged volunteers.
- The applicant's intervention is likely to lead to the outcomes identified in the applicant's theory of change.
- The expected outcomes articulated in the application narrative and logic model represent meaningful progress in addressing the community problem identified by the applicant.
- The rationale for utilizing AmeriCorps members to deliver the intervention(s) is reasonable.
- The service role of AmeriCorps members will produce significant contributions to existing efforts to address the stated problem.

The Logic Model shall depict:

- A summary of the community problem outlined in the narrative.
- The inputs or resources that are necessary to deliver the intervention, including but not limited to:
  - Number of locations or sites in which members will provide services

- Number of AmeriCorps members that will deliver the intervention
- The core activities that define the intervention or program model that members will implement or deliver, including:
  - The duration of the intervention (e.g., the total number of weeks, sessions or months of the intervention)
  - The dosage of the intervention (e.g., the number of hours per session or session per week)
  - The target population for the intervention (e.g., disconnected youth, third graders at a certain reading proficiency level)
- The measurable outputs that result from delivering the intervention (i.e. number of beneficiaries served, hours of service delivered, types and number of activities conducted). If applicable, identify which National Performance Measures will be used as output indicators.
- Outcomes that demonstrate changes in knowledge/skill, attitude, behavior, or condition that occur as a result of the intervention. If applicable, identify which National Performance Measures will be used as outcome indicators.

**Note:** The logic model is a visual representation of the applicant’s theory of change. Programs may include short, medium or long-term outcomes in the logic model. Applicants are not required to measure all components of their theory of change. The applicant’s performance measures should be consistent with the program’s theory of change and should represent significant program activities.

In the application narrative, applicants should discuss their rationale for setting output and outcome targets for their performance measures. Re-competing applicants proposing to significantly increase or decrease output or outcome targets from their previous grant must provide a justification for this change.

Applicants should use National Performance Measures if they are part of the program’s theory of change. Applicants are not required to use National Performance Measures and should only use them if they are part of the program’s theory of change. Rationales and justifications should be informed by the organization’s performance data (e.g., program data observed over time suggests targets are reasonable), relevant research (e.g. targets documents by organizations running similar programs with similar populations), or prior program evaluation findings.

Applicants with multiple interventions should complete one Logic Model chart which incorporates each intervention. Logic model content that exceeds three pages will not be reviewed.

### **3. Evidence Base (12 points)**

The assessment of an applicant’s evidence base has two steps. First, the applicant will be assigned to an evidence tier. (See [2018 AmeriCorps State & National Mandatory Supplemental Guidance](#) for Evidence Tiers ) Second, the

quality of the applicant's evidence and the applicant's overall capacity to collect and use data (including performance measurement and evaluation data) will be assessed and scored.

### **Evidence Tier:**

An evidence tier will be assessed for each applicant for the purpose of applying the strategic characteristics (moderate/strong evidence) and understanding the relative strength of each applicant's evidence base and the likelihood that the proposed intervention will lead to outcomes identified in the logic model. Applicants should use the evidence checklist to self-assess their evidence tier before completing the application.

Applicants must: 1) state the evidence tier in which they think they qualify; 2) clearly indicate and describe the evidence that supports the highest evidence tier for which they are eligible; and, 3) describe the complete body of evidence that supports their program intervention including evidence from lower tiers.

Applicants should pay particular attention to the requirements for each tier of evidence. All requirements must be met in order for applicants to be assigned to a tier. Applicants who do not fully describe their evidence base may not be assigned to a tier for which the applicant otherwise may have qualified.

In 2017, the evidence tiers of funded AmeriCorps State and National competitive grantees were as follows: Strong 9%, Moderate 9%, Preliminary 38%, and Pre-Preliminary 27%. As these figures indicate, CNCS values and funds programs at all points along the evidence continuum and expects programs to progress along the evidence continuum over time. Thus, do not be deterred from applying for funding due to your current evidence level.

Applicants classifying their evidence as preliminary who propose to replicate an identical or similar evidence-based intervention, as well as applicants classifying their evidence as either moderate or strong evidence should reference the information about the evidence tiers. Submission of additional documents (e.g., advocacy pieces, policy briefs, other narratives that are not research studies or program evaluations) that are not consistent with the guidance and requirements described in the *Notice* will not be reviewed.

All applicants must include as much detailed information as possible in the Evidence section of the application. All applicants who have collected relevant performance measurement data must describe this data fully as outlined in the requirements for the pre-preliminary evidence tier. Applicants who have conducted evaluations of their own program or that are replicating other evidence-based programs must describe these evaluations in the application narrative as outlined in the evidence tier descriptions. Applicants are advised to focus on presenting high-quality evidence from up to two of the strongest and most relevant studies while also summarizing the remaining body of evidence that exists for the program. Studies must be evaluations of specific programs or interventions. Research that does not focus on a specific program or intervention,

but rather focuses on a broader issue area or population, will not be considered applicable and will not be reviewed or receive any points.

When describing research studies or evaluations in the application narrative, applicants must include the following information in order to earn points:

- 1) The date the research or evaluation was completed, and the time period for which the intervention was examined
- 2) A description that shows the study's relevance to the proposed intervention
- 3) A description of the target population studied (e.g., the demographics)
- 4) The methodology used in the study (e.g., outcome study, random assignment, regression discontinuity design, propensity score matching, etc.)
- 5) A description of the data, data source, and data collection methods
- 6) The outcomes or impacts examined and the study findings
- 7) The strength of the findings (e.g., effect size, confidence level, statistical power of the study design and statistical significance of findings)

Applicants must provide this information in the narrative even if they submit the study or evaluation. Applicants should provide citations for the studies they describe, if applicable; however, reviewers will not review any links or cited documents referenced in the application and will not review any additional documents that is not a study submitted in accordance with the *Notice* instructions. [2018 AmeriCorps State and National Notice of Funding Opportunity \(NOFO\)](#)

Reviewers will examine the descriptions (and attached studies if relevant) using the following criteria:

- a) How closely the intervention evaluated in the studies matches the one proposed by the applicant;
- b) The methodological quality and rigor of the studies presented (e.g., sample size and statistical power, internal and/or external validity, use of control or equivalent comparison groups, baseline equivalence and study attrition, etc.);
- c) Strength and consistency of the findings, with preference given to findings that show a meaningful and persistent positive effect on participants demonstrated with confidence levels; and,
- d) The date of the study, with a preference towards studies that have been conducted within the last six years.

If the evidence submitted as part of an application does not describe a well-designed and well-implemented evaluation, the applicant may be considered for a lower evidence tier. Applicants must meet all requirements of the evidence tier in order to be considered for that tier. Applicants who do not meet all requirements will be considered for a lower tier.

### **Evidence Quality and Evaluation Capacity:**

After the applicant’s evidence tier has been assessed, the quality of the applicant’s evidence and the applicant’s overall capacity to collect and use data (including performance measurement and evaluation data) will be assessed and scored. Applicants must address the following standards in the application narrative. The standards are weighted differently for applicants in different evidence tiers to reflect expected variations in program life cycle and evaluation capacity at each stage of the evidence continuum.

<b>Evidence Quality and Evaluation Capacity Standards</b>	<b>No Evidence &amp; Pre-Preliminary Points</b>	<b>Preliminary Points</b>	<b>Moderate &amp; Strong Points</b>
The applicant’s evidence is of satisfactory quality. Applicants with no evidence describe an evidence-informed theory of change.	2	2	2
The applicant’s data collection systems are sufficient to yield high quality process and outcome data.	5	4	1
The applicant demonstrates adequate capacity to use process and outcome data including performance measurement (and evaluation data if applicable) to inform continuous learning and program improvement.	5	5	5
The applicant’s long-term research agenda is aligned to the organization’s learning needs and position on the evidence continuum (evidence tier).	0	1	4

Evidence quality and evaluation capacity standards must be addressed in the application narrative. All applicants, including new grantees, are required to provide additional information in the Evaluation Summary or Plan field of the application (See Section E. Evaluation Plan); however, information provided in the Evaluation Summary or Plan field will not be scored and will not be reviewed until after funding decisions have been made.

**4. Notice Priority (3 points)**

The applicant proposed program fits within one or more of the 2018 AmeriCorps funding priorities as outlined in the *Funding Priorities* section and more fully described in the Mandatory Supplemental Guidance and the proposed program meets all of the requirements detailed in the *Funding Priorities* section, p. 2 of the NOFO, (See [2018 Mandatory Supplemental Guidance](#) for further information about some of the priorities).

## **5. Member Experience (7 points)**

AmeriCorps members will gain skills as a result of their training and service that can be utilized and will be valued by future employers after their service term is completed.

- AmeriCorps members will have access to meaningful service experiences that includes education about the community problem/need and the community in which they will serve.
- AmeriCorps members will have access to opportunities for reflection that involves the intentional processing of members' experience and the incorporation of lessons learned.

The program will recruit AmeriCorps members from the geographic or demographic communities in which the programs operate.

The applicant will also foster an inclusive service culture where different backgrounds, talents, and capabilities are welcomed and leveraged for learning and effective service delivery.

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

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

### **1. Organizational Background and Staffing (7 points)**

- The organization has the experience, staffing, and management structure to plan and implement the proposed program.

### **2. Compliance and Accountability (8 points)**

- The organization will comply with AmeriCorps rules and regulations including those related to prohibited and unallowable activities at the grantee, sub-grantee (if applicable), and service site locations.
- The applicant will hold sub-grantees (if applicable) and service site locations accountable if instances of risk or noncompliance are identified.
- If applicable, the CNCS-required evaluation report meets CNCS requirements.
- If applicable, the CNCS-required evaluation report is of satisfactory quality.

### **3. Culture that Values Learning (8 points)**

- The applicant's board, management, and staff collects and uses information for learning and decision making.
- The applicant's management and staff produces frequent reports on how well the organization is implementing its programs and strategies.

#### **4. Member Supervision (2 points)**

- AmeriCorps members will receive sufficient guidance and support from their supervisor to provide effective service.
- AmeriCorps supervisors will be adequately trained/prepared to follow AmeriCorps and program regulations, priorities, and expectations.

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

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

**Note: This criteria will be assessed based on the budget submitted. No narrative should be entered in the narrative box except for "See budget."**

##### **1. Cost Effectiveness and Budget Adequacy (25 points)**

- Budget is submitted without mathematical errors and proposed costs are allowable, reasonable, and allocable to the award.
- Budget is submitted with adequate information to assess how each line item is calculated.
- Budget is in compliance with the budget instructions.
- Match is submitted with adequate information to support the amount written in the budget.
- The cost per MSY is equal to or less than the maximum cost per MSY.

Proposed budgets that contain MSY costs that exceed the maximum cost per MSY and/or less than required match will be considered unresponsive to the application criteria.

Applicants must complete the budget and ensure the following information is in the budget screens:

- Current indirect rate cost if used to claim indirect/administrative costs.
- Identify the non-CNCS funding and resources necessary to support the project, including for Fixed Amount applicants.
- Indicate the amount of non-CNCS resource commitments, type of commitments (in-kind and/or cash), the sources of these commitments, and if the commitments are proposed or secured.

#### **E. Evaluation Plan (Required for re-competing grantees – 0 percent)**

If the applicant is competing for the first time, please provide a data collection plan in the “Evaluation Summary or Plan” field that includes the following:

- A description of the applicant’s data collection system and how it is sufficient to collect high quality performance measurement data during the first three years of the grant. If the applicant does not yet have a data collection system, describe the plan and timeline for developing a high-quality system.
- A description of how the applicant will use performance data (including CNCS performance measures and other process and outcome measures if applicable) to improve its program in the first three years of funding.

First-time applicants should be aware that CNCS may require submission of data collection instruments if a grant is approved for funding.

If the applicant is re-competing for AmeriCorps funds for the first time (see definition of “re-competing” below) the program must submit its evaluation plan in the “Evaluation Summary or Plan” section of the Narratives field in CNCS’s web-based management system. If the applicant is re-competing for a subsequent time, the program must submit its evaluation report and a learning memo as attachments (see the *Submission of Additional Documents* section for more information), and must also submit an evaluation plan for the next three-year period in the “Evaluation Summary or Plan” field in the system. Evaluations plans submitted outside of the system will not be reviewed.

Evaluation plans must include as much information as possible for each of the following (see Frequently Asked Questions: Evaluation, available at <http://www.nationalservice.gov/resources/evaluation/cnsc-evaluation-policies>):

- A short description of the theory of change - why the proposed intervention is expected to produce the proposed results
- Outcome of interest - clear and measurable outcomes that are aligned with the theory of change and will be assessed during the evaluation
- Research questions to be addressed by the study - concrete research questions (or hypotheses) that are clearly connected to the outcomes
- Study components – a) a proposed research design for the evaluation including a rationale for the design selected, an assessment of its strengths and limitations, and a description of the main components; b) description of the sampling methods, measurement tools, and data collection procedures, and c) an analysis plan
- Qualifications needed for the evaluator
- The proposed budget

For more information about evaluation plans visit the CNCS Knowledge Network’s Evaluation Resources:

<http://www.nationalservice.gov/resources/evaluation/planning-evaluation>.

The evaluation requirements differ depending on the amount of the grant, as described in 45 CFR §2522.710:

- If the applicant is a State/Territory subgrantee and/or National Direct Grantee (other than an Education Award Program grantee), and its average annual CNCS program grant is \$500,000 or more, it must arrange for an external evaluation of the program, and it must submit the evaluation with any subsequent application to CNCS for competitive funds as required in 45 CFR §2522.730.
- If the applicant is a State/Territory subgrantee and/or National Direct Grantee whose average annual CNCS program grant is less than \$500,000, or an Education Award Program Grantee, it must conduct an internal or an external evaluation of the program, and it must submit the evaluation with any subsequent application to CNCS for competitive funds as required in 45 CFR §2522.730.

For purposes of compliance with evaluation plan and report requirements, a program will be considered a re-competing application if it satisfies the CNCS definition of “same project” (see Mandatory Supplemental Guidance) and has been funded competitively for at least three of the last five years. If the project satisfies the definition of same project and the applicant has received competitive funding for at least three of the last five years, it will be required to submit an evaluation plan. If the project satisfied the definition of same project and the applicant has completed two or more competitively funded three-year cycles, including at least four years of competitive funding in the last five years, the applicant will be required to submit an evaluation report as well as an evaluation plan for the upcoming 3 year grant. If the project does not satisfy the definition of re-competing, it will not be required to submit an evaluation plan or completed evaluation report.

The “Evaluation Summary or Plan” field of the Narrative does not count toward the page limit of the application; however, it does have a set character limit of 10,000 characters. Applicants should print out the plan to ensure the narrative does not exceed the character limits when entered in CNCS’s web-based management system.

State/Territory sub-grantees and/or National Direct Grantees that are re-competing for funds may be eligible to apply for approval of an alternative evaluation approach. Grantees requesting approval of an alternative evaluation approach should submit a request for approval of an alternative evaluation approach along with their evaluation plan in the Evaluation Summary or Plan field in the system. The request should clearly explain: (a) the evaluation constraints faced by the program, (b) why the proposed approach is the most rigorous option feasible, and (c) how the proposed alternative approach will help the grantee build their evidence base. Evaluation plans should include, at a minimum, the required elements listed in this *Notice*. The evaluation plan must be consistent with the information submitted in the competitive funding application and in the request for approval of an alternative evaluation approach. CNCS guidance on alternative evaluation approaches can be found at:

[https://www.nationalserviceresources.gov/files/guidance\\_for\\_grantees\\_approval\\_of\\_alternative\\_evaluation\\_approach.pdf](https://www.nationalserviceresources.gov/files/guidance_for_grantees_approval_of_alternative_evaluation_approach.pdf)

If the request for the alternative evaluation approach and the evaluation plan itself will exceed the character limit of the evaluation summary or plan field in the system, the applicant should do the following:

- Enter the evaluation plan in the evaluation summary or plan field in the system.
- Include a note in the evaluation summary or plan field stating that the applicant is requesting an alternative evaluation approach.
- Include the alternative evaluation approach at the END of the application narrative with the heading “REQUEST FOR ALTERNATIVE EVALUATION APPROACH.” This section of the application narrative will not count against the page limit.

**F. Amendment Justification (0 percent)**

Enter N/A. This field will be used if the applicant is awarded a grant and needs to amend it.

**G. Clarification Information (0 percent)**

Enter N/A. this field will be used to enter information that requires clarification in the post-review period.

**H. Continuation Changes (0 percent)**

Enter N/A. This field will be used to enter changes in the application narratives in continuation requests.

**Criteria for Evidence-Based Intervention Planning Grants**

**A. Executive Summary (fill in the brackets) (0 percent)**

The [Name of the organization] proposes to develop an AmeriCorps program serving in [the location(s) the AmeriCorps program will serve] that will focus on the CNCS focus area(s) of [Focus Area(s)]. The CNCS investment of \$[amount of request] will be matched with \$[amount of projected match], \$[amount of local, state, tribal, and federal funds] in public funding and \$[amount of non-governmental funds] in private funding. No AmeriCorps members will be needed to execute this plan.

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

**1. Need (10 points):**

- The community problem is prevalent and severe in communities where the program plans to serve and the problem has been documented with relevant data.

## **2. Evidence-Based Intervention (30 points):**

- The evidence-based intervention has successfully addressed the problem in other communities. The applicant must describe the evidence for the intervention in the application narrative and must submit at least one, and no more than two, randomized controlled trials (RCT) or quasi-experimental design (QED) evaluations of the intervention. If applicable, cite the clearinghouse and rating where the intervention is rated. The studies must be well-designed and well-implemented, must have been conducted by an independent, external evaluator, and must demonstrate, at minimum, evidence of effectiveness (positive findings) on one or more key outcomes that address the community problem/need.
- The key elements of the intervention will be implemented with fidelity to the evidence based model (e.g., context, target population, content or curriculum, delivery process, training for members).
- AmeriCorps members are well-suited to deliver the evidence-based intervention.

## **3. Planning Process/Timeline (10 points):**

- The applicant describes a clear and logical planning process, including:
  - A detailed description of the planning process and who is leading it.
  - A well-developed timeline for planning activities.
  - A clear description of how the planning period will be used to develop the necessary components to effectively manage an AmeriCorps program in the future.
- The applicant includes development of the following program elements in the planning process/timeline:
  - Theory of Change/Logic Model that describes implementation of the evidence-based intervention with fidelity and why the proposed intervention is expected to produce the proposed outcomes
  - Member selection and training plan
  - Member supervision plan
  - Commitment to AmeriCorps Identity
  - Compliance and Accountability
- Securing match support for the program
- The applicant includes development of the following evaluation elements in the planning process/timeline:

- Assessing fidelity to the evidence-based intervention being replicated, including a detailed accounting of which core components were modified as a result of integrating AmeriCorps members, how they were modified, and which core components were implemented with fidelity without adaptation
- Assessing outcomes achieved in previous evaluations of the evidence-based intervention
- Assessing any new outcomes anticipated as a result of integrating AmeriCorps members into the evidence-based intervention

**C. Organizational Capacity (25 percent)**

**1. Organizational Background and Staffing (25 points)**

- The applicant has the experience, staffing, and management structure to plan the proposed program.
- The applicant has prior experience in the proposed area of programming.
- The applicant has conducted high-quality process and outcome evaluations and has used evaluation results for organizational learning and continuous improvement.

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

Reviewers will assess the quality of the application’s budget to the following criteria below. Do not assume all sub-criteria are of equal value.

**This criteria will be assessed based on the budget submitted. No narrative should be entered in the narrative box except for “See budget”.**

**1. Cost Effectiveness and Budget Adequacy (25 points)**

- Budget is submitted without mathematical errors and proposed costs are allowable, reasonable, and allocable to the award.
- Budget is submitted with adequate information to assess how each line item is calculated.
- Budget is in compliance with the budget instructions.
- Match is submitted with adequate information to support the amount written in the budget.
- The cost per MSY is equal to or less than the maximum cost per MSY.

Proposed budgets that contain MSY costs that exceed the maximum cost per MSY and/or less than required match will be considered unresponsive to the application criteria.

Applicants must complete the budget and ensure the following information is in the budget screens:

- Current indirect rate cost if used to claim indirect/administrative costs.
- Identify the non-CNCS funding and resources necessary to support the project, including for Fixed Amount applicants.
- Indicate the amount of non-CNCS resource commitments, type of commitments (in-kind and/or cash), the sources of these commitments, and if the commitments are proposed or secured.

## **E. Evaluation Plan (0 percent)**

Evaluating the implementation and outcomes of proposed models will be critical to determining whether or not it is feasible to integrate national service into evidence-based interventions and achieve the same kinds of programmatic outcomes and impacts. As such, applicants should understand that they will be required to submit an evaluation plan with their application for a three-year AmeriCorps grant.

- A short description of the theory of change - why the proposed intervention is expected to produce the proposed results
- Outcome of interest - clear and measurable outcomes that are aligned with the theory of change and will be assessed during the evaluation
- Research questions to be addressed by the study - concrete research questions (or hypotheses) that are clearly connected to the outcomes
- Study components – a) a proposed research design for the evaluation including a rationale for the design selected, an assessment of its strengths and limitations, and a description of the main components; b) description of the sampling methods, measurement tools, and data collection procedures, and c) an analysis plan
- Qualifications needed for the evaluator
- The estimated budget

## **5.2 Proposed Budget**

For Fixed-Amount grants, including EAPs: Use the Budget Instructions for Fixed-Amount applicants [2018 AmeriCorps Application Instructions | Corporation for National and Community Service](#) (Attachment D. Detailed Budget Instructions for Fixed-Amount Grants, p. 31) and the Budget Worksheet (Attachment E. Budget Worksheet for Fixed-amount Grants, p. 33) to prepare your budget.

### **A. Match Requirements:**

Program requirements, including requirements on match are located in the AmeriCorps regulations and summarized above in section 4.1, E.

- Grantees are required to meet an overall matching rate that increases over time. You have the flexibility to meet the

overall match requirements in any of the three budget areas, as long as the minimum match of 24% for the first three years, and the increasing minimums in years thereafter, are maintained. See 45 CFR §§ 2521.35– 2521.90 for the specific regulations .

- If you are applying for the first time, you must match with cash or in-kind contributions at least 24% of the project's total Operating Costs (Section I) plus Member Costs (Section II) plus Administrative Costs (Section III). If you are re-competing, please see 45 CFR §§ 2521.40-2521.95 for the match schedule.
- The acceptable sources of matching funds are federal, state, local, and/or private sector funds in accordance with applicable AmeriCorps requirements.
- In the “Source of Funds” field that appears at the end of Budget Section III, enter a brief description of the match. Identify each match source separately. Identify if the match is secured or proposed. Include dollar amount, the match classification (cash or in-kind), and the source type (Private, State/Local, or Federal) for your **entire match**. Define all acronyms the first time they are used. See **Attachment G** [2018 AmeriCorps Application Instructions | Corporation for National and Community Service](#) for instructions for applying for the Alternative Match Schedule.

**Note:** CNCS legislation permits the use of non-CNCS federal funds as match for the grantee share of the budget. Please discuss your intention of using federal funds to match an AmeriCorps grant with the other agency prior to submitting your application. Section 121(e)(5) of the National Community Service Act requires that grantees who use other federal funds as match for an AmeriCorps grant report the amount and source of these funds to CNCS. If you use other federal funds as match, you must ensure you can meet the requirements and purpose of both grants. Grantees who use federal funds as match will be required to report the sources and amounts on the Federal Financial Report (FFR).

Your proposed budget should be sufficient to allow you to perform the tasks described in your narrative. Reviewers will consider the information you provide in this section in their assessment of the Cost-Effectiveness and Budget Adequacy selection criterion (see D. Cost Effectiveness and Budget Adequacy on page 17 of the [2018 AmeriCorps State and National Notice of Funding Opportunity \(NOFO\)](#))

Follow the detailed budget instructions in the [2018 AmeriCorps Application Instructions | Corporation for National and Community Service](#) to prepare your

budget. We recommend that you prepare your budget in the same order as indicated in the Budget Worksheets in the Attachments.

As you enter your detailed budget information, eGrants will automatically populate a budget summary and budget narrative report. Prior to submission be sure to review the budget checklist in the [2018 AmeriCorps Application Instructions | Corporation for National and Community Service](#) to ensure your budget is compliant. In addition, eGrants will perform a limited compliance check to validate the budget. If eGrants finds any compliance issues you will receive a warning and/or error messages. You must resolve all errors before you can submit your budget.

As you prepare your budget:

- All the amounts you request must be defined for a particular purpose. Do not include miscellaneous, contingency, or other undefined budget amounts.
- Itemize each cost and present the basis for all calculations in the form of an equation.
- Do not include unallowable expenses, e.g., entertainment costs (which include food and beverage costs) unless they are justified as an essential component of an activity.
- Do not include fractional amounts (cents).

Programs must comply with all applicable federal laws, rules, regulations, and the requirements of the OmniCircular. Please refer to the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) for allowable, allocable, and reasonable cost information, as well as, audit requirements, including the need to provide audits to the Clearinghouse if expending over \$750,000 in federal funds as required in the Omni Circular. The OMB OmniCircular can be found on-line at [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

### **5.3 Key Concepts**

[2018 AmeriCorps State and National Notice of Funding Opportunity \(NOFO\)](#)

[2018 AmeriCorps Application Instructions | Corporation for National and Community Service](#)

[2018 Performance Measure Instructions](#)

[2018 Mandatory Supplemental Guidance](#)

## 5.4 Proposal Content

See Section 5.1 Technical Proposal Content

## 5.5 Proposal Submittal Process

### How to Submit a Proposal

**Note:** Prior to submitting a proposal, not-for-profit organizations must prequalify in the Grants Gateway. If you are not already registered, register with the Grants Gateway at <http://grantsreform.ny.gov>.

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or proposals should be directed to the OCFS contact listed in **Section 1.1 Procurement Contact** on page one of this RFP.

Grants Reform Videos (includes a document vault tutorial and an application tutorial) are available on YouTube: <http://www.youtube.com/channel/UCYnWskVc7B3ajjOVfOHL6UA>

[www.grantsgateway.ny.gov](http://www.grantsgateway.ny.gov)

**OCFS Help Desk: 518-474-5595**

Grants Reform Helpdesk -Monday thru Friday 8:00am to 4:00pm  
[grantsreform@its.ny.gov](mailto:grantsreform@its.ny.gov)

Grants Gateway Helpdesk -Monday thru Friday 8:00am to 8:00pm  
Phone: 1-800-820-1890  
Email: [helpdesk@agatesoftware.com](mailto:helpdesk@agatesoftware.com)  
Grants Team email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov)  
(Proposal completion, policy, and registration questions)

Proposals must be submitted online via eGrants (<http://www.nationalservice.gov/build-your-capacity/grants/egrants>) by the deadline for submission of proposals posted in **Section 1.2 Calendar of Events**.

Proposals will not be accepted via fax, email, hard copy or hand delivery except under the circumstances noted below.

### **Submission Outside of eGrants (Amended 11/17/2017)**

The Commission will only accept submission outside of eGrants for two reasons:

1. Lack of Access to Necessary Technology to Submit in eGrants: If an applicant does not possess access to web-based technology, that

applicant must notify the Commission that it will be submitting its application outside of eGrants. Such notification must be by first class mail postmarked no later than December 7, 2017 to the address below, and must identify the reason(s) why the applicant cannot submit electronically.

2. eGrants Technical Issues: All other applicants are required to submit their proposal electronically utilizing eGrants; however, the Commission recognizes that technical issues with electronics may arise. In order to submit an application under these circumstances by the published due date, applicants must make at least one attempt to submit via eGrants no later than December 7, 2017. If a technical issue with the eGrants system is discovered on or before December 7, 2017, the applicant must immediately contact the National Service Hotline at 800-942-2677 or <https://questions.nationalservice.gov/app/ask> to secure a Ticket Number (National Service Hotline hours are Monday through Thursday 9:00 a.m. to 7:00 p.m. ET.). Be prepared to provide the Application ID, organization's name, and the NOFA (Part I: Section 2) to which your organization is applying.

If the issue cannot be resolved after contacting the National Service Hotline, the following materials must be sent by **mail**, overnight carrier, **or by hand delivery** and arrive (not be post-marked) at the Commission Office no later than **5 12:00 PM ET on Friday-Monday**, December 11, 2017. The following must be included with your submission: (1) the National Service Hotline Ticket Number and a brief paragraph explaining the technical issues that prevented submission of your application in eGrants by the due date; (2) a complete paper copy of the applicant's 2018-19 State AmeriCorps Application including all eGrants Application Components and Required Application Forms; and (3) an electronic version of the application on flash drive or CD-ROM. The electronic version must be an exact duplicate of the paper original. If there are differences between the paper and electronic versions, the Commission will review the electronic version as final.

You must retain proof of an application submitted outside of eGrants, whether through electronic tracking or otherwise.

All hard copy applications must arrive **by mail, overnight carrier, or by hand delivery** no later than **five twelve** PM ET on December 11, 2017. **If you are mailing the application, be sure to allow enough time for delivery by the due date and time listed in Section 1.2 Calendar of Events.** **If you choose to hand deliver, please call the procurement contact specified in Section 1.1 Procurement Contact to make arrangements.** Applications must be **delivered to at** the following address:

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

## 6.0 MINIMUM CRITERIA/EVALUATION PROCESS

### 6.1 Minimum Criteria (Pass/Fail Review Criteria)

- Bidders must meet the Minimum Qualifications to submit a Proposal in accordance with **Section 3.1 Minimum Qualifications and Section 3.2 Prequalification Process**. Bidders not meeting these requirements will be disqualified from further consideration.

### 6.2 Evaluation Process

The Commission will use the following procedures to select applications for recommendation to the Corporation for competitive AmeriCorps funding:

1. If a proposal meets the minimum criteria, it will be reviewed and scored by two readers selected by the Commission. These readers will review the proposal as a team and will be asked to agree on a consensus score sheet that will be used to rank proposals. The score sheet will align with the outline and points values specified in this RFP. If, and only if, the readers cannot come to consensus, an additional reader may be asked to review the proposal and to work with the original readers to submit a consensus score sheet.

**Note:** For the 2018-19 program year, the Commission will consider and rank applications for funding for Planning Grants separately from applications for other types of grants. Special instructions for these grants appear below. Please note that all New York State Grants Gateway pre-registration and pre-qualification requirements, as well as any other relevant minimum requirements, apply to applications for Planning Grants. Planning Grant applications will be reviewed and scored by the same procedures as Cost Reimbursement grants by reviewers trained in the special scoring criteria for Planning Grants.

**Note:** The Commission requires a letter of intent to apply for all planning grant applications submitted in response to this RFP. Please submit this letter via email to [AmeriCorpsRFP@NewYorkersVolunteer.NY.gov](mailto:AmeriCorpsRFP@NewYorkersVolunteer.NY.gov) with "AmeriCorps Planning Grant" in the subject line. This notice must indicate the amount of money for which you intend to apply and must be signed by the chief executive officer, or other responsible official (CFO, COO, board chair, etc.) of your organization.

2. The role of the Commission staff is to facilitate the best possible review by the reviewers through training, technical assistance, and support. Commission staff will be available to the reviewers for such support throughout the evaluation process.

3. At the conclusion of the review process, the reviewers will submit their consensus score sheets for each application to the Commission and the applications will be ranked according to score from highest to lowest. (Planning Grant applications will be ranked separately from other applications from highest to lowest.)
4. The commission will then evaluate and act upon which applications to recommend to the Corporation for funding. The applications that are in the top 20 percent of all applications scored will be recommended for funding to the Corporation, absent exceptional circumstances, about which the Commission reserves the right to make determinations in its discretion. The Commission also reserves the right to recommend any application in the next 30 percent of proposals scored, if, in its determination, the programming proposed will increase geographic diversity of the state's AmeriCorps portfolio; will increase opportunities for individuals with disabilities to serve in AmeriCorps and/or to receive AmeriCorps services; or will serve a population, or focus on a need, not otherwise addressed in its AmeriCorps programming.

The Commission will determine, within its discretion, the number of proposals it will recommend to the Corporation, the amount of funding requested in total and for any one proposal it recommends, and any technical or other minor changes it determines are necessary before a proposal is recommended to the Corporation. (Planning Grant applications will be evaluated and recommended following the same procedures, but separately from the other types of grants, i.e., the top 20 percent of all Planning Grant applications will be recommended for funding to the Corporation, absent exceptional circumstances, and the Commission reserves the right to recommend any proposal in the next 30 percent of all Planning Grant applications scored.)

5. After the Commission determines its recommendations, the Commission staff will notify applicants via email if their applications will be forwarded to the Corporation.
6. If your proposal is selected for recommendation, you may be asked to work with Commission staff to make technical and other minor changes to your proposal so that it adheres to all applicable laws, rules, and regulations, including AmeriCorps statutes and regulations. You may also be asked to clarify areas of the proposal that are vague, nonresponsive, or confusing. No changes made during this period will affect the recommendations as previously determined by the Commission. You will be asked to enter any changes to your proposal into eGrants (the Corporation's online system) by a date specified by the Commission.

**Note:** When you are drafting your proposal, please keep in mind the eGrants character and page limits to prevent the need to excise portions of your proposal.

7. The rankings, reviews and scores of the Commission are not binding on the Corporation as it determines which proposals to select for competitive funding, except as the Corporation may determine within its discretion. While the Corporation may take the Commission's rankings and recommendations into account, it is not obligated to do so. Essentially, once a proposal is forwarded to the Corporation, it will be evaluated anew, by the Corporation's selected reviewers and according to the Corporation's own criteria and by its own review process which is independent of the Commission's.
8. The Corporation is expected to announce its final grant selections in May 2018. However, that date is solely within the discretion of the Corporation and is subject to change.
9. If your proposal is selected for funding by the Corporation, you will need to develop and execute a contract with New York State, the Commission and with OCFS, which must be approved by the OSC and OAG before programming can begin and before you can receive any funds. The Commission and its host agency, OCFS, will be the administrators of any grant you are awarded through this RFP.
10. If your proposal is not selected by the Commission for recommendation, and/or your proposal is not selected by the Corporation for funding, you may request feedback from the Commission, according to a process determined by the Commission. You will be notified, at a point subsequent to the announcement of final awards by the Corporation, on how to request feedback.

### **6.3 Proposal Review**

Proposals will be rated by two reviewers, who will come to consensus on the scoring. If they cannot reach consensus, a third reviewer will be brought into assist the reviewers to reach consensus.

The applications that are in the top 20 percent of all applications scored will be recommended for funding to the Corporation, absent exceptional circumstances, about which the Commission reserves the right to make determinations in its discretion. The Commission also reserves the right to recommend any application in the next 30 percent of the proposals scored, if, in its determination, the programming proposed will increase geographic diversity of the state's AmeriCorps portfolio; will increase opportunities for individuals with disabilities to serve in AmeriCorps and/or to receive AmeriCorps services; or will serve a population, or focus on a need, not otherwise addressed in its AmeriCorps programming.

### **6.4 Cost Evaluation**

Proposal budgets must demonstrate a clear relationship between funds requested and the program activities and objectives. The proposal budget must include sufficient funds to operate the program successfully (**See Section 5.1, D, Cost-Effectiveness and Budget Adequacy and Section 5.2 Proposed Budget**).

#### **6.5 Bonus Points: RECC**

Not Applicable

#### **6.6 OCFS Procedure for Handling Debriefing Requests**

##### **Debriefing Request**

In accordance with section 163 of the NY State Finance Law, OCFS must, upon request, provide a debriefing to any unsuccessful offerer that responded to the RFP, regarding the reasons that the proposal or bid submitted by the unsuccessful offerer was not selected for an award.

1. OCFS will provide notice in writing or electronically to all unsuccessful offerers that the offerer will not receive a funded award under the RFP. An unsuccessful offerer wanting a debriefing must request a debriefing in writing, within fifteen calendar days of receipt of the notice from OCFS that the offerer's proposal did not result in an award.
2. OCFS, upon receipt of a timely written request from the unsuccessful offerer, will schedule the debriefing to occur within a reasonable period of time following the receipt of such request. Debriefings will be conducted in-person, unless OCFS and the offerer mutually agree to utilize other means, including, but not limited to, telephone, video-conferencing or other types of electronic communications.
3. Such debriefing will include: (a) the reasons that the proposal, bid or offer submitted by the unsuccessful offerer was not selected for an award; (b) the qualitative and quantitative analysis employed by OCFS in assessing the relative merits of the proposals, bids or offers; (c) the application of the selection criteria to the unsuccessful offerer's proposal; and (d) when the debriefing is held after the final award, the reasons for the selection of the winning proposal, bid or offer. The debriefing will also provide, to the extent practicable, general advice and guidance to the unsuccessful offerer concerning potential ways that their future proposals, bids or offers could be more responsive.

### **7.0 MANDATORY CONTRACTING REQUIREMENTS**

#### **7.1 Contract Readiness**

New York State's Prompt Contracting laws require all state agencies to complete contract development and the signatory process within statutorily-prescribed timeframes. Awardees must be available and prepared to respond within the required timeframes. If selected, awardees may be required to travel to Rensselaer, New York for contract development and will be expected to cover the costs of that travel. OCFS may rescind the awards of awardees who cannot satisfactorily complete the contracting process in order to commence services by the anticipated contract start date.

## **7.2 Standard Contract Language**

The terms and conditions for all funded projects are specified in a detailed contract that must be signed by OCFS and approved by the New York State Office of the Attorney General (OAG) and the OSC before work begins or payments are made. This RFP includes all relevant contract terms and conditions, which can be found in **Section 8 Contract Documents**. Upon contract award and completion of negotiations, OCFS will send successful awardees the complete contract for development and signature prior to submitting it to the OAG and to OSC for approval.

## **7.3 Workers Compensation Insurance and Disability Benefits Coverage**

Sections 57 and 220 of the Workers' Compensation Law (WCL) and section 142 of the State Finance Law require that businesses contracting with New York State have and maintain and provide evidence of appropriate workers' compensation and disability benefits insurance coverage. In the event that an award is made from this RFP, updated proof of coverage must be provided during contract development. Failure to submit the proof will delay the contract development process, and may result in the award being rescinded. Municipalities are not required to show proof of coverage.

**Please note: The ACCORD form is not acceptable proof of Workers' Compensation or Disability Insurance coverage.**

### **A. Proof of Workers' Compensation Coverage**

To comply with coverage provisions of the WCL, the Workers' Compensation Board requires that a business seeking to enter into a state contract, or contract renewal, submit appropriate proof of coverage to the state contracting entity issuing the contract. To prove the awardee has appropriate workers' compensation insurance coverage, submit ONE of the following four forms:  
<http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

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

## **B. Proof of Disability Benefits Coverage**

To comply with coverage provisions of the WCL regarding disability benefits, the Workers' Compensation Board requires that a business seeking to enter into a state contract, or contract renewal, submit appropriate proof of coverage to the state contracting entity issuing the contract. To prove the awardee has appropriate disability benefits insurance coverage, submit ONE of these three forms: <http://www.wcb.ny.gov/content/main/forms/AllForms.jsp>

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

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

OCFS is responsible for maintaining the safety of the youth in its care. New York State law requires that any client identifiable information be kept confidential. Any contractor who will provide goods and/or services to a residential facility or programs operated by OCFS must require all of its employees and volunteers who will have the potential for regular and substantial contact with youth in the care or custody of the commissioner of OCFS to complete and sign the [Confidentiality Non-Disclosure Agreement \(OCFS-4715\)](#) and [Contractor Employee and Volunteer Background Certification \(OCFS-4716\)](#) forms. These forms must be completed before any such employees and/or volunteers are permitted access to youth in the care or custody of OCFS, and/or any financial and/or client identifiable information concerning such youth. **The forms should be completed after the bidder has been awarded funding, during the contract development, and only if applicable.** For additional information see Attachment A-1, section 3b. "[Confidentiality and Protection of Human Subjects](#)", located in Section 8.0: Contract Documents – Attachment A-1, Agency Specific Terms and Conditions.

## **7.5 Charities Registration (not-for-profit corporations only)**

Not-for-profit vendors must be registered with the New York State Office of the Attorney General as a charitable organization, and the registration must be up to date at the time of contracting. Vendors must be sure all their documents are up-to-date and comply with the vendor responsibility requirements as outlined below. To determine the status of your charities registration information, contact: [https://www.charitiesnys.com/RegistrySearch/search\\_charities.jsp](https://www.charitiesnys.com/RegistrySearch/search_charities.jsp)

## **7.6 Federal Requirements (if federally funded)**

See Attachment A-2, *Federally Funded Grants*, located in **Section 8 Contract Documents** for federally funded opportunities.

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

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

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

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

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

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

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

## **7.8 Iran Divestment Act**

By submitting a bid in response to this solicitation or by assuming the responsibility of a contract awarded hereunder, bidder/contractor (or any assignee) certifies that it is not on the Prohibited Entities List, as defined

by the *Entities determined to be non-responsive bidders/offers pursuant to The New York State Iran Divestment Act of 2012* (the Act), which is posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize on such contract any subcontractor that is identified on the “Prohibited Entities List.” Bidder/contractor is advised that should it seek to renew or extend a contract awarded in response to the solicitation, it must provide the same certification at the time the contract is renewed or extended.

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

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

## **7.9 Statewide Financial System**

Recipients of grant awards must also be registered in the New York Statewide Financial System (SFS) Central Vendor Registry File and provide their identification number at the time of contracting. To register and for additional information on the vendor file, visit: [http://www.osc.state.ny.us/vendor\\_management/index.htm](http://www.osc.state.ny.us/vendor_management/index.htm)

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

This section outlines contractor requirements and procedures for business participation opportunities for New York State certified Minority- and Women-Owned Business Enterprises (MWBE) and Equal Employment Opportunities (EEO) for minority group members and women. For more information and details regarding required forms, see [Appendix MWBE](#).

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

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations

OCFS is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of OCFS contracts.

### **7.10.2 MWBE Business Participation Opportunities – OCFS Established Goals**

A. For purposes of this solicitation, OCFS hereby establishes an overall goal of 30 percent for MWBE participation, 15 percent for New York State-certified Minority-owned Business Enterprise (“MBE”) participation and 15 percent for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs), however, strict adherence to the suggested 15% MBE and 15% WBE utilization goal is not required as long as the overall goal of 30 percent is met. A contractor (“Contractor”) on any contract resulting from this procurement (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this RFP, the respondent agrees that OCFS may withhold payment pursuant to any Contract awarded as a result of this RFP pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. Click on the Click on the MWBE Directory on the right hand side. For guidance on how OCFS will evaluate a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8.

The respondent understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25 percent of the total value of the contract.

### **7.10.3 Contract Compliance**

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFP, such finding constitutes a breach of contract and OCFS may withhold payment as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals;

and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System, which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a respondent may arrange to provide such evidence via a non-electronic method by contacting OCFS.

Additionally, a respondent will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to OCFS for review and approval.

OCFS will review the submitted MWBE Utilization Plan and advise the respondent of OCFS acceptance or issue a notice of deficiency within 30 days of receipt.

- B. If a notice of deficiency is issued, the respondent will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to OCFS a written remedy in response to the notice of deficiency, to [MWBEINFO@ocfs.ny.gov](mailto:MWBEINFO@ocfs.ny.gov). If the written remedy that is submitted is not timely or is found by OCFS to be inadequate, OCFS shall notify the respondent and direct the respondent to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OCFS may disqualify a respondent as being non-responsive under the following circumstances:

- a) If a respondent fails to submit an MWBE Utilization Plan
- b) If a respondent fails to submit a written remedy to a notice of deficiency
- c) If a respondent fails to submit a request for waiver
- d) If OCFS determines that the respondent has failed to document good faith efforts

The successful respondent will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the

Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to OCFS, but must be made no later than prior to the submission of a request for final payment on the Contract.

The successful respondent will be required to submit a quarterly M/WBE Contractor Compliance & Payment Report to OCFS, by the 10<sup>th</sup> day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

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

By submission of a bid or proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women OR Authority equivalent to Appendix A. The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The respondent will be required to submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement, Form # 4, to OCFS with its bid or proposal.

If awarded a Contract, respondent shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by OCFS on a Quarterly basis during the term of the Contract.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other state and federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors

will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

**Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

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

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

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

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

### **7.12 Omnibus Procurement Act**

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

1. The contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors on this project and has retained the documentation of these efforts to be provided upon request to the State of New York; and has
2. Documented their efforts to encourage the participation of New York state business enterprises as suppliers and subcontractors by showing that they have done the following:
  - Solicited bids, in a timely and adequate manner, from ESD business enterprises, including certified minority/women-owned businesses; or
  - Contacted ESD to obtain listings of New York State business enterprises and MWBEs; or
  - Placed notices for subcontractors and suppliers in newspapers, journals or other trade publications distributed in New York State, or
  - Participated in bidder outreach conferences; and
  - Provided a statement indicating the method by which they determined that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, *if the contractor has determined such*; and
  - Provided a statement verifying no intention of using subcontractors, *if the contractor has no such intention*.
3. The contractor has complied with the federal Equal Opportunity Act of 1972 (P.L. 92-961), as amended.
4. The contractor will be required to notify New York State residents of employment opportunities by listing any such positions with the Community Services Division of the New York State Department of Labor, providing for such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The agency agrees to document these efforts and to provide said documentation to OCFS upon request.
5. Bidders located in a foreign country are notified that the state may assign or otherwise transfer offset credits to third parties located in New York State, and the bidders shall be obligated to cooperate with the state in any and all respects in making such assignment or transfer, including, but not limited to, executing any and all documents deemed by the state to be necessary or desirable to effectuate such assignment or transfer and using their best efforts to obtain the

recognition and accession to such assignment or transfer by any applicable foreign government.

6. Bidders are hereby notified that state agencies and authorities are prohibited from entering into contracts with businesses whose principle place of business is located in a “discriminatory jurisdiction.” Discriminatory jurisdiction is defined as a state or political subdivision which employs a preference or price distorting mechanism to the detriment of or otherwise discriminates against a New York State business enterprise in the procurement of commodities and services by the same or a nongovernmental entity influenced by the same. A list of discriminatory jurisdictions is maintained by Commissioner of the New York State Empire State Development Corporation.

### **7.13 Other Requirements [Optional]**

Not Applicable

## **8.0 CONTRACT DOCUMENTS**

The contract documents consist of the documents listed below.

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

NYS Standard Terms and Conditions (State of New York Master Contract for Grants) is located in the **NYS Grants Gateway System (GGS)** at the following link:

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

**AmeriCorps State and National** Terms and Conditions are located at the following link:

<https://www.nationalservice.gov/resources/terms-and-conditions-cnccs-grants>

## **9.0 GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS**

**[2018 AmeriCorps State & National Mandatory Supplemental Guidance](#)**

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

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

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

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

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

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

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

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

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

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

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

**Project Work Plan:** Steps necessary to implement a program.

**Staffing Pattern:** Please identify the staff assigned to a program, regardless of whether it is paid through OCFS funds.

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

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

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

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

## **10.0 PROGRAM-SPECIFIC REQUIREMENTS AND FORMS**

Not Applicable