



**Office of Children
and Family Services**

ANDREW M. CUOMO
Governor

ROBERTO VELEZ
Acting Commissioner

REQUEST FOR PROPOSALS

Kinship Caregiver Programs



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Request for Proposals

03/06/2015

Proposal Submission:

See Section 2.2 Proposal Submittal Process/Application Documents

The New York State Grants Gateway will serve as the primary outlet for State agencies to post upcoming and available funding opportunities. Please reference Section 2.2 below for additional submission information.

Note:

Throughout this document the terms “proposal” and “application” are used interchangeably.

Timetable of Key Events:

<u>Event:</u>	<u>Date:</u>
Opportunity Announced	03/03/15 3:00 PM
Submittal of Question Deadline	03/10/15
Posted Date of Answers	03/20/15
Applications Due	04/01/15
Awards Announced (Tentative)	04/24/15
Contract Start Date (Projected)	09/01/15

Inquiries:

From the issuance of this Request For Proposal (RFP) until contractors are selected, all contacts with the New York State Office of Children and Family Services personnel, except as otherwise specified herein, concerning this RFP must be made through Marsha Chase, Agency Program Aide, NYS OCFS, 52 Washington St., Room 335N, Rensselaer, NY 12144, via email at Marsha.Chase@ocfs.ny.gov with Kinship Caregiver RFP inquiry in the subject line. All inquiries must be submitted in writing, and will be answered in writing.

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Section One.... BACKGROUND

NOTE: PREQUALIFICATION REQUIREMENT

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process that require not-for-profits to prequalify in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#). Complete information on Prequalification is available in Section 1.8 Contract Readiness, of this RFP.

1.1 Introduction

The New York State Office of Children and Family Services (OCFS) is pleased to announce this funding opportunity aimed at improving the safety, permanency and well-being of children and adults. The 2014-15 New York State budget includes funds to provide quality Kinship Care services to relatives raising children. According to the American Community Survey, between the years 2006-2010, there were 131,108 grandparents responsible for grandchildren and 87,405 non-grandparent caregivers raising relative children in New York State. Statewide, it is estimated that a quarter of children in foster care are in a formal kinship placement. Formal or informal kinship care, as well as the Kinship Guardianship Assistance Program (KinGAP) are key permanency options to promote the well-being of children and families.

Kinship care is a living arrangement in which children, who cannot live with their parents, live full time with a relative or close non-relative who has a long standing relationship or bond with the child. This living arrangement may be temporary or permanent. Kinship caregiver relationships can be established as an informal arrangement or through the more formal channels of legal custody, guardianship, direct placement with local department of social services supervision, foster care and/or adoption.

The Kinship Guardianship Assistance Program which went into effect on April 1, 2011, is a federally supported program for children in kinship foster care to achieve permanency through guardianship. The program provides financial assistance to related caregivers who assume legal guardianship of children formerly under their care as foster children. Under this program, medical coverage is provided to most of the children.

KinGAP is designed to promote permanency for foster children who do not have discharge goals of return to parent or adoption by providing safe permanent placements with relatives. It allows for permanency with relatives who, prior to the law's implementation, may not have been able to pursue legal guardianship due to the loss of financial assistance and medical coverage. Since the start of the KinGAP program in 2011, approximately 600 children in New York State have achieved permanency and have been discharged to a KinGAP arrangement.

Due to the complex issues facing kinship families, better aligning public and private resources to support effective neighborhood-based interventions can create a continuum of care to improve outcomes for all community residents. OCFS relies on both community-based services and the local departments of social services (LDSS) to help strengthen and support families. These partnerships are critical to improving the

safety and well-being for children, adults and families in New York's highest need communities.

Research shows that children in care who reside with relatives achieve better outcomes than those in non-relative foster care. For instance:

- Children who are raised in a safe and nurturing environment are able to form attachments to caregivers that will promote healing and self-worth.
- Keeping children with family members sustains their connection and identity to their family. Usually they are in close proximity to other relatives, including their siblings who would not be as accessible if placed in foster care.
- Children raised by grandmothers and other relatives tend to cut the risk of childhood injury roughly in half when compared with children living with foster care parents.
- Children in informal kinship care have fewer behavioral problems than children with unrelated foster parents and are more likely to attain household and family stability.
- According to recent research, (The Center for Law and Social Policy 2010), "children in kinship care have been found to experience fewer placement changes than children placed with non-kin foster parents."
- Fewer children in kinship care report having changed schools (63 percent) than do children in non-relative foster care (80 percent) or those in group care (93 percent). (Pew Research)
- Children who reunify with their birth parent(s) after kinship care are less likely to re-enter foster care than those who had been in non-relative foster placements. (Brookdale Foundation)

OCFS has developed a Child Welfare Practice Model which aligns all our work towards the achievement of specific outcomes. New York State's child welfare vision is that children, families and adults are protected and supported to achieve safety, permanency and well-being. To achieve our vision, New York State OCFS is seeking to improve the following outcomes for the most vulnerable children and families entrusted in our care:

- Children are safely maintained in their own home, families and communities with connections, culture and relationships preserved.
- When it is necessary to place children in out-of-home care, it is a safe, short and stable experience concluding with permanent attachments to caring adults.
- Through effective intervention, parents, caregivers and families improve their ability to develop and maintain a safe, stable environment for themselves and their children.
- Caregivers and parents have the capacity to provide for their children's needs.
- Children are cared for in a safe, permanent and nurturing environment that meet their needs and develop their physical, cognitive, behavioral/emotional and social functioning
- As youth transition to adulthood they benefit from services that promote healthy development, academic success and safe living conditions.
- Organizations are diverse, professionally and culturally competent and use child-centered, family-focused practice and demonstrate partnership at all levels.

To achieve improved outcomes through this RFP, the following core components must be provided by the vendor directly or through referral:

- Trauma screenings
- Trauma informed services
- Outreach to promote community awareness and early family engagement
- Information, referral, advocacy and linkage to community resources
- Early, comprehensive and on-going family assessment
- Coordination/collaboration with other service systems to address family-specific needs
- Parenting training/information
- Crisis intervention services
- Support Groups

Programs supported through this RFP must promote partnerships with other stakeholders. Of particular importance is the need to create an ongoing working relationship with LDSS's. LDSS's are often in unique positions to work in tandem with a specialized kinship program and collaboratively address the needs of the children as well as the adult caregiver. Streamlining access to joint training, shared planning, and improving access to non-parent caregiver assistance (a Temporary Assistance case for a child being cared for by a non-applying, non-legally responsible adult) are several activities that successful kinship programs and LDSS's have been able to establish. Other partnerships may include local community-based organizations as well as establishing collaborations with local offices for the aging, education and mental health providers, county youth bureaus and the statewide Kinship Navigator Program. Children and caregivers have better opportunities to thrive when there is a coordinated approach for addressing their needs.

1.2 OCFS Statewide Considerations

The Office of Children and Family Services (OCFS) 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 which 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.

OCFS conducts ongoing analysis of demographic data and fiscal expenditures to aid counties and communities to administer safe, effective and cost efficient services to the residents of our state. Paramount is ongoing self-assessment within OCFS to identify changes in service needs, interventions, and partnerships. An emerging trend in 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 under-represented in the receipt of services from the legally blind and visually impaired service network. In response to this situation, OCFS has begun to implement 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 Request For Proposals (RFP) provides community based, non-profit organizations 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 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:

a) Disconnected / High Need Youth

OCFS's priority is to "protect those in greatest need" by on-going 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 OCFS RFP narrative, applications must demonstrate capacity and scope for cross-agency collaborations and partnership with relevant community organizations.

b) Racial Equity and Cultural Competence

OCFS is in its seventh year of Racial Equity and Cultural Competence (RECC) work. 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. This work also entails a consideration of issues related to the underrepresentation of blacks, American Indians and Latinos in various service delivery systems. In addition there are efforts to identify how best to enhance outreach and preventive measures that support the safe reduction in out-of-home placements for children and adults, and focus on the wellbeing of children, youth and families. OCFS has enlisted the participation of our state and local partners in this effort, and is working actively with 13 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 74 percent of the state's children in foster care and

about 81 percent of the juvenile justice placements. OCFS views this Request For Proposals as an opportunity to heighten public awareness of the issue of disproportionality and to promote policies and practices that will gradually reduce it. Specific areas that every applicant and community are requested to consider in the design of their program and scope of services identified in their 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).

Section Seven contains further information regarding Disproportionate Minority Representation (DMR) and data in New York State.

1.3 Purpose and Funding Availability

The purpose of this RFP is to fund new, existing or expanded projects that will increase the State's capacity to achieve permanency by providing critical services to children and caregivers in kinship families, including those in both informal and formal arrangements and those in LDSS custody or supervision. These services are necessary to enable children in kinship care to thrive when their biological parents are unable to care for them. The services must include core components, based on best practices in the field that address the multiple needs of children residing with grandparents, relative and fictive kin. See RFP Section 2.1 Desired Outcomes and Program Requirements for additional information.

The 2014-15 Budget includes a combination of state funds and Temporary Assistance to Needy Families (TANF) funds for Kinship Care services, it is anticipated that this combination of TANF and state funds, approximately \$838,750, will be made available to community-based, non-profit organizations including faith-based organizations and American Indian community organizations. Programs may apply for up to \$100,000 each. No local match is required but is encouraged.

TANF funds are designed to support low-income families with children and improve their long-term outcomes as they move towards self-sufficiency. TANF funds must be used to serve eligible families under 200 percent of the poverty level on and funds may only be used for "non-assistance" as defined in TANF Guidelines attached to the end of this RFP. Families must be United States citizens or TANF qualified non-citizens. Applicants will need to demonstrate the capacity to determine income eligibility based on the required TANF certification form and to serve or refer families who are not income eligible. The TANF Services Application/Certification can be accessed at <http://otda.ny.gov/programs/applications/4726.pdf>.

Children meeting 200 percent TANF income guidelines will be eligible for services whether or not there are formal legal arrangements, such as guardianship or kinship foster care. An intake will be conducted to obtain information that verifies the caregiver/child relationship, as well as to determine eligibility. These participant eligibility guidelines will be used by all programs regardless of TANF or State funding. The care-taking arrangements, will be based on best practices in the field, and should decrease the need for children to be placed in non-kinship foster homes. The outcomes sought by this RFP are the promotion and support of valuable kinship arrangements.

Accepted applications will be ranked according to a final average score from highest to lowest within each geographical region listed below, except in New York City where the final average score will be ranked from highest to lowest within the five (5) boroughs.

OCFS Counties Listed by Region

Albany Region

Albany, Clinton, Columbia, Delaware, Essex, Franklin, Fulton, Greene, Hamilton, Montgomery, Otsego, Rensselaer, Saratoga, Schenectady, Schoharie, Warren, Washington

Buffalo Region

Allegany, Cattaraugus, Chautauqua, Erie, Genesee, Niagara, Orleans, Wyoming

Rochester Region

Chemung, Livingston, Monroe, Ontario, Schuyler, Seneca, Steuben, Wayne, Yates

Syracuse Region

Broome, Cayuga, Chenango, Cortland, Herkimer, Jefferson, Lewis, Madison, Oneida, Onondaga, Oswego, St. Lawrence, Tioga, Tompkins

Spring Valley Region

Dutchess, Nassau, Orange, Putnam, Rockland, Suffolk, Sullivan, Ulster, Westchester

New York City Region

Bronx, Kings, Manhattan, Queens, Richmond

Note: OCFS reserves the right to place a monetary cap on the funding amount made in each contract award.

1.4 Term of Contract

The contracts awarded in response to this RFP will be for five years with an anticipated start date of September 1, 2015, and end date of August, 31, 2020. The contract will be for 12 months with the option of up to four one-year renewals. Annual funding will be contingent upon availability of funds and satisfactory contractor performance. Terms and conditions of Single Year and/or Simplified Renewal contract(s) can be found in the State Of New York Master Contract For Grants and Attachment A-1 documents, located in **Section Six: Contract Documents**.

1.5 Eligible Applicants

Community-based, non-profit organizations, including faith-based organizations as well as American Indian community organizations, are eligible to apply. An LDSS, or an American Indian tribe that has entered into a state tribal agreement with OCFS in accordance with Section 39(2) of the Social Services Law, is not eligible to apply.

Note: For the purposes of this RFP, the terms “applicant” and “bidder” are used interchangeably.

Services must be neighborhood or home-based and include services and supports that actively engage children and kinship caregivers. Coordination strategies with key stakeholders need to be established that strengthen caregiver/child access to services. **All applicants are required to submit a Letter of Commitment to Collaborate from their LDSS from each county proposed to be served detailing partnership activities.** While we request receipt of this letter at the same time as the proposal, the latest date this letter of Commitment will be accepted is 4/17/15. Proposals without these Letters of Commitment from LDSS on 4/17/15 will be considered incomplete and no longer eligible for award from this RFP> The letter should include the plan for providing referrals to families for kinship services, proposed trainings for kinship staff and caseworkers and examples of successful past partnerships. Letters must be signed by the LDSS Commissioner or Director of Service. In addition, as key kinship stakeholders, partnerships with local offices for the aging and county youth bureaus will need to be established by selected applicants during the first year of operation. Eligible New York City applicants must demonstrate services consistent with Administration for Children’s Services (ACS) principles and outcomes (www.nyc.gov/acs).

Priority will be given to programs in counties of highest need based on a number of factors (– Section IV – Data Indicators, Resource Information & Key Concepts). The factors, in which the higher number / rate indicates the higher community need, include:

- Recurrence of Abuse/Maltreatment;
- Rate of children in first admission to foster care;
- Percentage of children who are in relative foster care; and
- Percentage of children who exit to KinGAP.

Awardees will be required to participate in a data collection system utilized by OCFS. The web-based system is designed to measure progress towards meeting program performance measures, and to collect critical demographic information necessary for program planning. Information collected by OCFS will not contain individual identifying information.

In addition to fulfilling the requirements of the program plan, eligible applicants will need to be:

- experienced in working with kinship caregiver families;
- ready to implement the program within three months of the contract start date; and;
- able to demonstrate a plan for the sustainability beyond the duration of the project.

OCFS will only contract with organizations whose governing board (board of directors) includes a minimum of three members. OCFS has determined that a three member board (or more) is necessary to show the maturity and depth of the organization as well as the capacity of the organization and the board to properly provide services and oversee the administration of the grant. OCFS believes that a minimum three member (or more) board shows that the organization has a broad base of community support, and enhances the ability of the board to comprehensively oversee the functions and

activities of the organization. It also protects against the problem that can arise when a board member unexpectedly leaves the board, as the Non-for-Profit Corporation Law requires that a non-for-profit corporation have at least three board members. OCFS believes these board members enable the corporation to continue to function properly under the law in the interval between the departure of a board member and the appointment of a replacement. The applicant must attach minutes and attendance lists from the organization's last three board of directors meetings.

1.6 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 Attorney General and the Office of the State Comptroller before any work is begun or payments made. This RFP includes all relevant contract terms and conditions which can be found in **Section Six: Contract Documents**. Upon contract award and completion of negotiations, OCFS will send successful applicants the complete contract for development and signature prior to submitting it to the Attorney General's Office and the Office of the State Comptroller for execution.

1.7 Executive Order Number 38 – Limits on State-Funded Administrative Costs & Executive Compensation

On January 18, 2012, Governor Andrew M. Cuomo issued Executive Order Number 38 "Limits on State-Funded Administrative Costs & Executive Compensation", which requires that state agencies establish limits on state reimbursement of administrative and executive compensation costs for contracts and programs that provide direct services to clients. Contracts, payment requests and reporting must comply with this Executive Order. The Executive Order can be found at the following website address: <https://www.governor.ny.gov/executiveorder/38>

1.8 Contract Readiness

The state's Prompt Contracting and Vendor Responsibility provisions require all state agencies to complete contract development and the signatory process within state prescribed timeframes. It is expected that this process will be expedited; awardees will need to be available and prepared to respond within required timeframes. If selected, awardees may be required to travel to Rensselaer for contract development and will be expected to cover the costs of that travel. Awardees who cannot meet prescribed timeframes for contract development and/or signature will, at OCFS's discretion and barring extenuating circumstances, lose funds awarded.

Prior to submitting an application for funding, applicants are responsible for various verifications that validate their capacity and organizational authority to receive public funding and operate as a not-for-profit corporation in the State of New York, or both. These verifications include prequalification in the **New York State Grants Gateway System (GGS)**. Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

Proposals received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the proposal due date and time listed at the beginning of the RFP cannot be evaluated. Such proposals will be disqualified from further consideration.

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

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 please email grantsreform@budget.ny.gov. If you do not know your Password please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application.

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at grantsreform@budget.ny.gov.

3) Submit Your Prequalification Application

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

Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.

Recipients of grants 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

Not-for-profit vendors must be registered with the Attorney General's Office 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:

http://www.charitiesnys.com/RegistrySearch/show_details.jsp?id

1.9 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. Such quality assurance testing will be conducted by OCFS and the results of such testing must be satisfactory to OCFS before web content will be considered a qualified deliverable under the contract or procurement.

1.10 Grants Gateway System (GGS) / Contract Management System (CMS)

OCFS has developed a comprehensive, web-based Contract Management System (CMS) providing technology that automates the contract development, claiming, and program reporting process. Vendors awarded contracts under this procurement may develop and electronically sign contracts through CMS.

All awards resulting from this RFP will be processed in CMS until GGS is available for contract development. Additional information on **GGS** may be **found in Section 2.2 of the RFP.**

Section Two.... GENERAL REQUIREMENTS / INSTRUCTIONS

2.1 Desired Outcomes and Program Requirements

The scope of work must include either trauma informed case management or support services to assist caregivers in achieving the safety, permanency and well-being of the child/ren in their care.

Program and Service Priorities

This section of the RFP provides additional guidance and requirements for each of the priority programs/service models. For each program area, the following information is available:

- Outcomes – For each program area, the related outcome(s) desired is provided; the outcome(s) provided must be used in the application.
- Target population – In addition to the information in Parts I and II of the RFP, applicants are encouraged to focus on the target populations identified on the following pages.
- Performance Targets – Applicants must use at a minimum, the standard Performance targets provided in the applicable model area. Applicants must provide a baseline, performance target and verification method. See the glossary of terms in Section 5.
- Core service requirements – Applicants must provide these services directly and/or through a subcontract or consultant agreement: trauma informed case management, home visits, and parent training/information. (pages 16-20).
- Supplemental services – Applicants may choose to provide one or more of these services in addition to the core services (pages16-20).

OCFS is seeking proposals that are designed to:

- Promote a safe, permanent and nurturing environment for children in kinship care;
- Provide needed support and information to kinship families and linkages to community services; and
- Provide culturally competent specialized services to children and families exposed to trauma as well as to underserved populations.

Target Population:

The target populations for these projects are children and youth residing with their relative caregivers, regardless of whether the children are in Kinship Guardianship or Kinship Foster Care, are placed directly by the Court in a relative's care, or are among the larger cohort of children residing informally with kin. This includes children placed by the court under Article 10 with LDSS supervision, or court-placed youth under Article 6 with no LDSS involvement. Eligibility for kinship services exists regardless of whether the relative is in receipt of a Non-Parent Caregiver TANF assistance on behalf of the children, KinGAP assistance, or foster boarding home payments for the children. The target population can include kin such as grandparents, aunts, uncles and cousins as well as non-related "fictive" kin with a significant relationship to the child if they are caring for the child.

There is one (1) program model with two (2) components included in this RFP. Component I consists of providing case management services for kinship families.

Component II of this model is for supportive services for kinship families including information, referral and advocacy.

Applicants may apply for either component I or II of this model or both. If applying for both components of this model, applicants must submit only one application.

Preference will be given to applicants who propose to provide both components.

Desired outcomes for both components I and II of the model include:

- Improve the safety and well-being of children living in kinship homes.
- Reduce the impact of trauma on kinship children and families.
- Increase the number of kinship children enrolled in the Kinship Guardianship Assistance Program, if appropriate.
- Increase the number of kinship families connected to services in the community.

Component 1: Case management services for families

Case management is to promote and support caregiver/family independence and self-sufficiency and to improve the well-being of families. As such, the case management process requires the consent and active participation of the child/caregiver in decision-making by utilizing caregiver led assessments to identify needs and strengths and, respecting a family's right to privacy, confidentiality, self-determination. Case management includes the following processes: intake, assessment of needs, service planning, service plan implementation, service coordination, monitoring and follow-up, reassessment, case conferencing and crisis intervention. These services are client driven and family engagement is critical in service planning.

Additionally, case management would include obtaining family information on their history of trauma, as well as making referrals to trauma informed experts who use evidence based treatment models, as needed. Also, applicants should provide information about providers in their county who will provide trauma informed treatment if needed. Letters of agreement from community providers will strengthen the application.

A key component of case management services is home visits. These visits must occur, at a minimum, on a monthly basis. Home visits are designed to:

- Provide a level of comfort for the kinship family;
- Provide an opportunity to meet children and all family members in the home;
- Assess for needs;
- Reach out to families that are isolated;
- Observe the caregiver and the child's interactions, provide in-home child development and promote positive parenting practices; and
- Promote a safe home environment.

Providing kinship caregivers with the supports they need to care for their kin will help maintain the stability of the placement and reduce the need for higher levels of care during crisis situations. Caregivers need to feel supported by staff and provided with the training they need to help deal with challenging behaviors that many children coming into care may present. .

Services will include the use of a standardized caregiver assessments to determine the caregiver's capacity to care for a child and to identify additional resources that are needed by the caregivers. Services will also provide training to help caregivers deal

with challenging behaviors, as well as provide supports, including support groups and services to caregivers. Case management services to be provided will be short-term, six to nine months, then the family will be referred for longer term treatment if necessary.

In addition to these services, advocating for caregivers and children may include some or all of the following:

- Accompanying the caregiver to family court.
- Accompanying the caregiver to school meetings.
- Assisting with applications for (Non –parent caregiver assistance) NPC, Supplemental Nutritional Assistance Program) SNAP, child care support and other service needs.
- Develop peer mentorships to increase support and advocacy for high need kinship caregivers and provide training focusing on advocacy and peer mentoring with assistance from the Kinship Navigator program.
- Partnering with (LDSSs), including the Administration of Children’s Services (ACS), and Human Resource Administration (HRA) workers on behalf of the clients.
- Collaborate with LDSS, both child welfare and temporary assistance, to identify and serve kinship families in need.
- Meetings with LDSS leadership.
- Provide training to LDSS workers on NPC guidelines and needs of kinship families.
- Facilitating “Permission to Contact” form (available from the NYS Navigator website) to reach out to kinship families in collaboration with the Kinship Navigator for fast and direct referrals from LDSS.
- Identify community resources for legal assistance in collaboration with the Kinship Navigator and identify pro-bono or low cost local legal service providers.
- Develop collaborative relationships with family court personnel, family court judges, legal services, and local bar associations.

Priority will be given to proposals that support kinship families who present in crisis as a result of relative children coming into their care. Kin children often are subject to traumatic events due to parental neglect/abuse, substance abuse, mental illness, incarceration, etc. Relative caregivers are often ill-prepared to identify and address these issues and need case management services to promote child/family safety, permanency and well- being.

Component II: Support Services:

Caregiver training and information: Individual or Group format:

Relative caregivers often lack the necessary skills, stress management and coping strategies and knowledge of and access to community resources to nurture and care for their relative children. These factors may put kinship families at an increased risk of child abuse and neglect, and the need for more costly interventions such as foster care. Research indicates that early interventions and support focused on building family protective factors can reduce the risk of child abuse and maltreatment.

These protective factors include:

- Nurturing and attachment – developing emotional bond and communicating positively with children.
- Children’s healthy social and emotional development – child’s ability to interact positively with others and communicate emotions effectively.
- Knowledge of parenting and child/youth development – accurate information about raising children and developing appropriate expectations for their behavior.
- Parental resiliency/family functioning – problem-solving, developing confidence/self-reliance, managing day to day challenges.
- Social connections - positive and emotional support from family and other community members.
- Concrete supports for parents – formal and informal access to resources in the community.

Applicants must identify a training curriculum and identify model of service delivery. Applicants applying for this RFP are strongly encouraged to select one of the following curriculums:

National Child Traumatic Stress Network: Caring For Children Who Have Experienced Trauma:

<http://www.nctsn.org/products/caring-for-children-who-have-experienced-trauma>

Strengthening Families: <http://www.strengtheningfamiliesprogram.org/>

Parenting A Second Time Around (PASTA):

www.parenting.cit.cornell.edu/pp_pasta.html

Support groups for adults and/or children:

Support groups are a place for relatives and children to give and receive both emotional and practical support as well as to exchange information. Many kinship families find support groups to be a valuable resource - an environment where people can share information, get confirmation that their feelings are "normal," as well as educate others.

Applicants may consider the following resources:

Empowering Grandparents Raising Grandchildren: A Training Manual for Group Leaders:

<http://www.springerpub.com>

Circle of Parents: http://www.circleofparents.org/parent_resources/index.html

Kinship RFP 2015 Performance Targets

Applicants applying for Component I must use Targets 1,2,3 and 4 as listed below. Applicant applying for Component II must use Targets 1,2,4 as listed. Applicants may include additional targets as they deem necessary.

Expected Outcome #1

Outcome: Safety, Stability and Well-Being for Kinship children

Baseline: Out of ____ children, ____ of ____ would be at risk of placement outside the family home without Kinship program services.

Target: Of the ____# of children projected to be served, ____# children will be safely maintained in the kinship home or returned to parents.

Verification Method: (e.g. pre and post assessments, case records, etc.) ____

Expected Outcome #2

Outcome: Connections to community resources and supports.

Baseline: Out of ____ Kinship families, ____ of ____ would have limited or no knowledge of community resources and services (e.g. housing, food, clothing, etc.) and would be unable to access these supports without Kinship program services.

Target: Of the ____# of families served, ____# will have identified at least two connections to community resources and services and be able to connect to these supports when needed.

Verification Method: (case records, satisfaction surveys) ____

Expected Outcome #3

Outcome: Relatives will have knowledge of permanency options for Kinship children.

Baseline: Out of ____ families, ____ out of ____ will need education regarding permanency options available to them.

Target: Of ____# of families served ____# children who are in relative foster care will be educated about the permanency options of adoption and KinGAP.

Verification Method: (case records, satisfaction surveys, etc.) ____

Expected Outcome #4

Outcome: Relative caregivers will learn effective parenting strategies that promote child/ren's well-being.

Baseline: Out of ____ caregivers, ____ of ____ caregivers need information and training to address child/ren's needs and improve protective factors to enhance well-being.

Target: By participating in offered parent training and informational sessions (individual/groups), ____# caregivers will demonstrate effective parenting strategies/techniques that address the child/ren's social, emotional, behavioral and developmental needs and improve protective factors.

Verification Method: (pre and post assessments, customer satisfaction survey, case records, etc. ____)

2.2 Proposal Submittal Process

All applicants must be registered with the **New York State Grants Gateway System (GGS)** and all **Not-for-Profit agencies must be prequalified prior to proposal submittal. Municipalities must be registered but not prequalified prior to proposal submittal.**

If you are not already registered:

REGISTER WITH THE GRANTS GATEWAY – Registration forms are available at the **GGS** website: www.grantsreform.ny.gov.

- Include your SFS Vendor ID on the form; if you are a new vendor and do not have a SFS Vendor ID, include a Substitute for W-9 with your signed, notarized registration (also available from the website).
- All registration must include an Organization Chart in order to be processed.
- When you receive your login information, log in and change your password.

If you are an applicant, and have problems complying with this provision, please contact the **GGS** help desk via email: helpdesk@agatesoftware.com -- **OR** -- by telephone: 1-800-820-1890.

How to Submit a Proposal

Proposals must be submitted online via the Grants Gateway by the date and time posted on the cover of this RFP. Tutorials (training videos) for use of the Grants Gateway are available at the following web address (and upon user log in):

https://www.grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx .

To apply, log into the Grants Gateway and click on the View Opportunities button under View Available Opportunities. To get started, in the Search Criteria, enter the Grant Opportunity name provided on the cover page of this RFP, select the Office of Children

and Family Services as the Funding Agency and hit the Search button. Click on the name of the Grant Opportunity from the search results grid and then click on the APPLY FOR GRANT OPPORTUNITY button located at bottom left of the Main page of the Grant Opportunity.

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

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

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Reform website at the following web address: <http://grantsreform.ny.gov/Grantees> and select the “Grantee Quick Start Guide” from the menu. There is a more detailed “Grantee User Guide” available on this page as well.

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

Helpful Links

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 on the cover of this RFP.

www.grantsreform.ny.gov/grantees

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

Agate Technical Support Help Desk
Phone: 1-800-820-1890
Hours: Monday thru Friday 8am to 8pm
Email: helpdesk@agatesoftware.com
(Technical questions)

Grants Team Email: Grantsreform@budget.ny.gov
(Proposal Completion, Policy, and Registration questions)

www.grantsgateway.ny.gov

Proposal Due Date

The due date and time for the submission of Kinship Caregiver Proposal into the Grants Gateway is *04/01/15 at 3:00 PM*. The **GGS** will not accept proposals after the due date and time.

- Proposals are to be submitted into the **GGS only**.
- Proposals may not be submitted via email, postal delivery, or facsimile

Required Documents

All required documents are contained in the **GGS**.

2.3 Selection Criteria (Pass / Fail Review Properties in Grants Gateway System)

- The application/proposal, including a completed budget form, must be received by the due date;
- The bidding organization must be eligible to apply (e.g. this bidding opportunity is open to not-for-profit organizations only); and
- The applicant must be prequalified in the NYS Grants Gateway System.

Proposals will be rated by two reviewers. Discrepancies of fifteen points or more will receive a third review unless both scores are under seventy-five points. The final score will be based on the average of the two closest scores.

Recommendations will be based on highest scoring applications and other factors such as funding availability, or geographic distribution of the proposals. In the event of a tie between two or more proposals, recommendations will be based on data indicators as outlined in Section IV.

OCFS will invest in services that are responsive to the considerations for Racial Equity and Cultural Competence (RECC) outlined in the above 1.2 OCFS Statewide Considerations. **OCFS requires that RFPs that provide funding for planning and/or implementation of individual and/or family support or rehabilitative services in OCFS designated “high need” communities may include bonus points in an applicant’s total score for being responsive to RECC. The assignment of bonus points is determined by OCFS during the development of the RFP and prior to its release to the intended pool of applicants.** *If bonus points are applicable, the following language must be included:* OCFS will provide five (5) bonus points to the total score/rating of applications based upon the proposal’s responsiveness to OCFS Statewide Considerations. This will be determined based on an evaluation of the proposed project’s capacity to demonstrate cultural awareness, connectivity and familiarity with the community and target population; project capacity to identify and be responsive to cultural/linguistic needs of the community and target population; demonstrate cultural awareness and responsiveness in project staffing/administration; locate project services in areas that are easily accessible to the target population, and applicant’s track-record of working with the target community to be served. Applicants for OCFS funding opportunities are advised that OCFS will not deduct points from applications that fail or exclude information to address RECC.

*At least **one of the criteria** must be related to the **proposal budget**. 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.*

2.4 Informational Meeting(s)/Bidders Conference and/or Technical Assistance Sessions

N/A

2.5 Contractor Employee and Volunteer Background / Confidentiality Non-Disclosure Agreement Forms

OCFS is responsible for maintaining the safety of the youth in its care. State law requires that any client identifiable information be kept confidential. Any contactor 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 OCFS to complete and sign the [Contractor Employee and Volunteer Background Certification – \(OCFS-4716\)](#) and [Confidentiality Non-Disclosure Agreement – \(OCFS-4715\)](#) forms. These forms must be completed before any such employees and/or volunteers are permitted access to youth in 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 Six: Contract Documents – Attachment A-1, Agency Specific Terms and Conditions.**

2.6 Charities Registration - Not-for-Profit Corporations Only

Not-for-profit corporations that submit proposals must comply with Article 7-A of the State Executive Law and the Estates, Powers and Trusts Law, Solicitation and Collection of Funds for Charitable Purposes.

2.7 Federal Requirements (If Federally Funded)

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

2.8 Vendor Responsibility Requirements

New York State Finance Law requires that state agencies award contracts to responsible contractors, including but not limited to not-for-profit and for-profit vendors. 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 the sole discretion, it determines the bidder is not a responsible vendor, or is not, or may not be, during the life of the contract, a stable financial entity. All proposals are subject to 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 OSC.

Enrolling and completing the questionnaire on-line 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 system.

To access or enroll in the VendRep System, or update your existing online questionnaire click here: [On-line Questionnaire](#). Questionnaires in the VendRep System that have been completed in the last 6 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 6 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 Vendor Responsibility Questionnaires depending on the contractor status. The Vendor Responsibility Questionnaire – Not- For-Profit Business Entity form must be used by not-for-profit vendors, and the Vendor Responsibility Questionnaire – For Profit Business Entity Form must be used by For-Profit Vendors

Vendors are also encouraged to have subcontractors file the required Vendor Responsibility Questionnaire on line 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 needs to agree to 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.

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.
- On-line 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: All Vendor Responsibility Questionnaires must be dated within 6 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. Refer to Section 2.8 for information about general Vendor Responsibility Questionnaire Requirements and the automated New York State VendRep System.

2.9 Workers Compensation Law

New York State Workers' Compensation Law (WCL) and Section 142 of the State Finance Law requires that businesses contracting with New York State HAVE and MAINTAIN workers' compensation and disability insurances. 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. Please note that the OSC has determined that municipalities are not required to show proof of coverage.

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 submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate workers' compensation insurance coverage. The forms can be accessed at:

<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.

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 must submit appropriate proof of coverage to the state contracting entity issuing the contract. For each new contract or contract renewal, the contracting entity must obtain ONE of the following forms from the contractor and submit to OSC to prove the contractor has appropriate disability benefits insurance coverage. The forms can be accessed at: <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.

2.10 Required Electronic Payments and Substitute Form W-9

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

Additionally as New York State proceeds with implementing the new Statewide Financial System, (SFS) the Office of the State Comptroller (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 the vendor file contains information state agencies need 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 the New York State Office of Children and Family Services. 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 also file a Substitute Form W-9 with their Electronic Payment Authorization Form.

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

<http://www.osc.state.ny.us/epay/how.htm>

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

2.11 Organizational Chart

The bid must include a current Organization Chart that depicts the entire organization structure and indicates where the organization head or the Chief Administrative Officer and the Contract Developers, Contract Signatories and Claim Signatories appear in relation to the Board of Directors and the organization as a whole. **Please update this document in Grants Gateway Document Vault.**

2.12 OCFS 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.
3. Request all bidders who submitted proposals to present supplemental information clarifying their proposals either in writing or by formal presentation.
4. Require that bidders demonstrate, to the satisfaction of OCFS, any feature(s) present as a part of their proposal that may include an oral presentation of their proposal, and may be considered in the evaluation of the proposal.
5. Direct all bidders who submitted proposals to prepare modifications addressing RFP amendments and/or amend any part of this RFP with notification to all bidders. These actions are without liability to any bidder or other party, for expenses incurred in the preparation of any proposals or modifications submitted in response to this RFP.
6. Make funding decisions that maximize compliance with and address the outcomes identified in this RFP.
7. 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.
8. Eliminate any RFP requirements unmet by all bidders, upon notice to all parties that submitted proposals.
9. Waive procedural technicalities, or modify minor irregularities, in proposals received, after notification to the bidder involved.
10. Correct any arithmetic errors in any proposal, or make typographical corrections to proposals, with the concurrence of the bidder.
11. Negotiate with the selected bidder(s) prior to contract award.
12. Award 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.
13. Award contracts to more than one bidder, or to other than the lowest bidder.

14. 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.
15. 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.
16. 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.
17. Make additional awards based on the remaining proposals submitted in response to this RFP and/or to provide additional funding to awardees if additional funds become available.
18. 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.
19. 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.
20. Consider statewide distribution and regional distribution within New York City, including borough distribution methodology, in evaluating proposals.

2.13 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 "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") 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. Additionally, 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 its engagement in the investment activity which 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, 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.

2.14 Encouraging Use of New York State Businesses in Contract Performance

The “Encouraging Use of New York State Business Form” is to be used in all solicitations that will involve subcontractors or suppliers. This form is intended to capture statistical data to support the State’s initiative to encourage contractors to utilize New York State businesses when they have subcontracting opportunities or need to purchase supplies. Direct link to the form: [Encouraging Use of New York State Businesses in Contract Performance](#). **Please upload the completed form with the proposal.**

2.15 Program Plan / Narrative including Objectives, Tasks and Performance Measures

An example of the Program Plan template format (Attachment C: Work Plan), **can be found at the end of this RFP.**

The Program Plan/Narrative Describes the Overall Project Design

The purpose of the Program Plan is to provide a clear description of what requested project funds will pay for, the expected outcomes for the proposed project services and the programmatic rationale for the proposed project budget. The program plan/narrative must be responsive to the desired outcomes identified in the RFP, and provide value to the OCFS mission. OCFS expects that all project services funded by this initiative will be designed to be culturally and linguistically competent and cost efficient. Appropriate planning and development activities must be conducted by applicants to promote responsiveness to the target population of this RFP. Services provided must accommodate cultural and linguistic requirements of the target population and/or community to be served.

The Program Plan/Narrative may consist of the following sections:

1. Community
2. Target Population(s)
3. Outcomes
4. Proposed Project
5. Community Collaboration
6. Project staff
7. Organization
8. Budget

Your proposal will be rated based on your organization’s responses to the above sections. Please be sure to address all of the questions in each section succinctly, yet comprehensively. The number of points allocated to each area in the technical review appear in (parentheses) after each section below. OCFS reserves the right to add additional bonus points to the final score/rating for proposals which are responsive to Section 1.2 OCFS Statewide Considerations. RFPs which include applicants’ ability to receive additional bonus points, will state such in Section 2.3 Selection Criteria. Proposals that are submitted in compliance with the stated Request for Proposal’s Selection Criteria, and subsequently reviewed and rated by OCFS, will not be penalized or have points deducted from their final score for not including information to address Racial Equity and Cultural Competence (RECC).

Guidelines for Each Section

1. Community:

Applicant describes each geographic that is to be served is clearly described including geographic boundaries. .

Applicant demonstrates a clear understanding of community characteristics, and has provided a justification of the need for these services in this community, including an insufficient level of similar services.

Applicant provides sufficient justification for the location of the services as accessible to the high need/priority target population.

(10 Points)

2. Target Population(s):

Participant eligibility criteria is clear and consistent with RFP requirements.

Applicant demonstrates a strong understanding of target population strengths and needs including but not limited to cultural, linguistical and other demographics.

Applicant demonstrates that target population and other stakeholders input was factored into program design and there is a realistic plan for continuous client feedback.

Applicant demonstrates and understanding of racial equity/disproportionality issues and creative approaches for addressing with target population.

The number of persons to be served is clear, justifiable and elineated by geographic area, eligibility criteria and other factors.

(15 Points)

3. Performance Measures/Outcomes:

Outcomes are the desired benefits or changes for the target population following their interaction with a program. They are the expected results of program intervention.

Baseline estimates appear realistic and are based on meaningful information.

Applicant used the required outcomes and performance targets for Components I & II.

Performance targets are measureable, meaningful, realistic, ambitious and achievable given resources available.

Verification methods are realistic and reliable and minimally include pre- and post- intervention measures using research based evaluation tools as applicable.

For evaluation purposes, steps may be taken by OCFS prior to program implementation to further refine performance outcomes of successful applicants.

(10 Points)

4. Proposed Project Description:

Applicant clearly demonstrates ability to provide Kinship case management services utilizing both components.

Applicant demonstrates ability to provide Kinship case management services utilizing Component I.

Applicant demonstrates ability to provide support services utilizing Component II.

Applicant provides a clear/comprehensive program description, addressing all required elements of chosen component core service requirements, realistic length of intervention, and OCFS practice principles. Services are evidence-based, evidence-informed or otherwise justified to produce intended results.

Applicant clearly explains program status and implementation plan. If not a new program, there is documentation that the program has had positive impacts on client outcomes. If a new program, there will be minimal start up time.

There is an explanation of client interaction from first contact to completion including outreach and retention plans. The plan includes strategies that are likely to attract, engage and retain the target population.

Services are responsive to the cultural and linguistical needs of the community served.

The program will interface with other in-house and community-based programs.

(25 Points)

1. Community Collaboration:

Applicant demonstrates strong community linkages, evidence that LDSS, community stakeholders and clients collaborated on this proposal and there are plans for on-going collaborations.

LDSS Commitment to Collaborate letters from each County proposed to serve detailing partnership activities such as referrals, trainings, etc. are signed by Commissioner of Director of Services.

(10 Points)

6. Project Staff:

Staff qualifications, staffing patterns and responsibilities, training and supervision are clearly described and demonstrate the capacity to implement and operate the program successfully.

Staff is representative of the language(s) and culture(s) of the community to be served. There are realistic activities to instill cultural responsiveness.

(5 Points)

7. Organization:

Applicant demonstrates that they can attract and retain qualified staff that represent culture and language of the community served.

Applicant demonstrates that they have the resources, experience and capacity to achieve intended outcomes.

The Management and Board will contribute in a meaningful way to the success and sustainability of the program.

If an OCFS grant recipient in the last five year, applicant demonstrates positive contracting management experience and impact on client outcomes.

Please update this document in Grants Gateway Document Vault. Include any affiliations with other community groups.

(5 Points)

8. Budget:

In addition to completing the attached budget forms and budget narrative, applicants must respond to the items below. In an effort to streamline the contract process, applicants are strongly encouraged to submit budgets that reflect realistic and necessary expenses and that include justifiable and allowable costs only (refer to budget instructions).

There is a clear relationship between funds requested and the program activities and performance targets/outcomes.

Funds requested are within RFP guidelines and are sufficient to comply with RFP requirements.

Expenses are realistic, reasonable, necessary, allowable and justified based on one-year program plan.

The approach is cost effective; per participant costs are reasonable given resources, numbers to be served and performance targets.

Budget focuses on direct services rather than administrative expenses.
(20 points)

2.16 Proposed Budget - Instructions

Each category below has its own screen with instructions.

Follow these instructions carefully as you complete the Budget.

Use the following directions to briefly describe the expenses included in each budget category.

The detail requested is essential to expedite the contract process. Accuracy and completeness are critical.

Make Sure:

- *The cost of items is described in the budget narrative, and for every line item of expense, include in the narrative the specific calculations for determining the total cost of each item.*
- *All items covered through OCFS funds must be directly related to the provision of services indicated in the proposal.*
- *All expenses must be incurred within the contract period.*
- *All shared costs are prorated.*
- *Reimbursement for travel, lodging, and mileage costs will not exceed the State rates then in effect. Out of state travel is not allowed with OCFS funds.*
- *All amounts listed on the budget summary form reconcile with the relevant budget narrative information.*
- *The total of 'Grant Funds' agrees with the amount requested on the Contract Face Page.*

Non-Allowable Costs: TANF funds will be included in funding, please see TANF Funding Guidelines attached to this RFP.

Additionally, the following items cannot be included as OCFS funded costs within the project budget:

- Major capital expenditures such as acquisition, construction or structural renovation of facilities.
- Interest costs, including costs incurred to borrow funds.
- Costs for preparation of continuation agreements and other proposal development costs.
- Costs of organized fundraising.
- Legal fees to represent agency/staff.

- Advertising costs, except for recruitment of project personnel, program outreach and recruitment of participants.
- Entertainment costs, including social activities for program and staff, unless directly associated with the project.
- Costs for dues, attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project.

A. PERSONAL SERVICES:

Personal Services Salaries

- List only staff positions included in the funded project.
- List the percentage of time each staff will spend on this project.
- Percentage of time an employee is engaged in this project (or projects) cannot exceed 100 percent.
- List the base (annual) salary for each staff position.
- The base salary should reflect the employee's actual annual salary. The annual salary should be consistent across all projects that the employee's time is charged to.
- If a position has both Administrative and Programmatic responsibilities, show the position on two lines; one for Programmatic responsibilities with associated % of time and one for Administrative responsibilities with associated % of time. Identify Administrative positions in the Personal Narrative.
- List total fringe cost for all personnel.
- If the proposed project is currently operational provide information on the percentage of salary raises, if any, included in the requested budget. Justification must be provided for raises.
- If you anticipate cost of living or merit raises during the contract year, include the increases in the base annual salary charged to project, and note the effective date of the raise.

Personal Services Salary Narrative: Give a brief description of the program related responsibilities of each staff position supported by the grant funds.

Personal Services Fringe

- List the fringe rate(s) and the positions to which the rate(s) apply.
- The Total Fringe Benefits chargeable to this contract should not exceed the current approved fringe rate, which can be found on the NYS Office of the State Comptroller's web-site at <http://www.osc.state.ny.us/agencies/abulls/a635.htm>. A higher rate may be considered with justification; any such justification must be included with your application.
- Provide a complete list of benefits used to calculate rate(s); (i.e., Social Security-FICA, NYS Unemployment Insurance-SUI; NYS Disability Insurance and Worker's Compensation). These can be listed on the extra lines under "Personal Services" – Be sure to clearly identify "Fringe".

Fringe Narrative: Fringe benefits should be budgeted in line with your organization's policy.

B. NON-PERSONAL SERVICES:

Contractual Services

- This category includes costs for institutions, individuals, or organizations external to the agency.
- Include expenses for equipment rental/lease agreements.
- Specify the services to be provided and indicate how the cost was determined.
- Delineate between Administrative and Program items.
- Indicate whether consultant's rate includes travel and lodging.
- The OCFS share of travel expense must be based upon State guidelines; payment cannot exceed the State rates then in effect. Refer to: <http://www.osc.state.ny.us/agencies/travel/travel.htm>
- If a subcontractor or consultant expense is more than \$15,000, three written bids are required. If other than the lowest bidder was selected, please provide justification.
- If the consultant/contractor is reimbursed at an hourly rate, the hourly rate and the number of hours must calculate accurately and be included in the budget narrative.
- If an award is made, the contractor must get prior written approval from OCFS for any agreement, or series of agreements, with a single subcontractor that exceeds \$50,000 or 50 percent of the contract value during the contract term. The contractor must receive such approval prior to executing the subcontract agreement, implementing any activity under its term, or expending contract funds under its term. Prior approval is also required for any cost or term amendment to approved subcontracts or as otherwise requested by OCFS.

Travel

- Includes staff travel only.
- Consultant travel should be shown under the Subcontractor/Consultant category.
- Client travel should be shown under the Other Expenses category.
- Reimbursement for travel, lodging, and mileage costs will not exceed the State rates then in effect.
- The OCFS bases travel reimbursements on the latest approved policies and rates set forth by the NYS Office of the State Comptroller (OSC).
- Approved mileage rates are updated on the OSC web page: <http://www.osc.state.ny.us/agencies/travel/travel.htm>
- Travel costs include the following: air travel, train, personal auto, bus, taxi, parking fees, thruway tolls, lodging, and meals.
- Explain which staff will be traveling and the destination, purpose, and frequency of travel.
- For local/day travel and extended travel, list the following for each trip: destination, length of stay, purpose, number of travelers, mode of transportation and cost, meals and lodging costs.
- Any conferences or trainings to be attended need to be an integral and essential part of this particular program and necessary and in connection with the project to be funded.
- All out of state travel must be pre-approved by OCFS.

Equipment

- This section is used to itemize both purchased and rental equipment costs.

- Clearly describe item(s).
- Indicate term and rate of rental.
- Provide a justification for the rental of all equipment.
- Equipment is defined as tangible personal property having a useful life of two (2) years or more and an acquisition value of \$5,000 or more per unit.
- Equipment may be purchased or rented whichever is more economical. Equipment rental should be shown under the “Contractual/Consultant” category.
- Cars or vans cannot be purchased. They may be leased if required for program operation. If vehicles are leased, the costs must be listed under the Contractual/Consultant section of the budget.
- Any budget requests for equipment purchase, using grant funds, must be fully explained and justified by program need. Note that equipment purchases are generally not allowed for 12-month contracts.
- Itemize any equipment to be purchased by type and cost.
- Explain the program function and need for all items. Be as specific as possible.
- Clearly describe the item and itemize the cost. If the item is to be used by more than one program, the cost must be pro-rated.
- Delineate between Administrative and Program Items.
- Obtain three price quotes for any single equipment item costing over \$2,500 or three written bids for any single item costing over \$5,000. If other than the low bidder is selected, a statement must be submitted indicating why that vendor was selected.

Equipment Narrative: Give a brief description of the program related equipment supported by grant funds.

Space/Property Rent

Rent is a charge for the use of property that one does not own.

- Provide description of space being rented.
- Provide justification.
- If an award is made, a copy of the rental agreement must be provided.
- Provide itemization of total costs.

Space/Property Rent Narrative: Provide a detailed explanation of all space and property rental costs (such as square footage, etc.).

Space/Property Own

If the grantee owns the building, they must charge occupancy costs rather than rental costs. Occupancy costs must be true costs made to a third party. For example, mortgage payment, cleaning costs, snow removal, general maintenance.

- Provide description of space.
- Provide justification.
- Provide itemization of total costs.

Space/Property Own Narrative: Provide a detailed explanation of all space and property costs supported by grant funds.

Utilities

- Provide description.
- Provide justification.

Utilities Narrative: Provide a detailed explanation of all utility costs.

Operating Expenses

- This section is used to itemize costs associated with the operation of the program, including but not limited to, insurance/bonding, photocopying, advertising and supplies.
- Provide description.
- Provide justification.

Operating Expenses Narrative: Provide a detailed explanation of all operating expenses.

Other Expenses

- Food/refreshments are not an allowable expense for staff.
- Include items that are not applicable under any other category and that are directly related to the services to be provided.
- These items may include: postage, client travel utilities, telephone and communication, shipping, delivery and messenger services, insurance, reprint permissions, reproduction, photocopying and printing costs, audio-visual and print production costs (**see Note below for more specific instructions**), materials, development costs, advertising costs for recruiting new hires, books, journals, periodicals, computer time, library services, audio-visual services, keypunch services, facility rental, and off-site rental.
- Information on these costs, including how the estimates were calculated (e.g., cost per hour, cost per page, cost per square foot, etc.) should be provided in the budget narrative.
- Delineate between Administrative and Program items.

Note: Printing Services (more specific instructions)

- All agencies and subcontractors must make reasonable efforts to secure the lowest responsible bidder for printing services.
- In instances where a printing job is in excess of \$5,000, documentation of three (3) telephone bids is required showing that the lowest cost source has been used. This information must be provided with the payment claim. The State strongly encourages the participation and utilization of minority and women-owned printing firms.
- Program materials printed using these funds must be pre-approved by OCFS.

Administrative Worksheet

OCFS will reimburse the federally approved indirect rate up to a maximum of 15 percent of the grant award. Total administrative costs (indirect plus any direct charged administrative personnel, related fringes and non-personal services) are limited to 15 percent of the grant award.

- Indirect Costs are considered in the total Administrative Costs for this project.
- A copy of the federally approved indirect cost agreement, with narrative, addendum, and an expiration date must be submitted as part of the proposal.
- OCFS will reimburse the federally approved rate up to a maximum of 15 percent of the grant award.
- Some common methods of allocating indirect costs are based upon time, space, units of service or percentage of funding.

If your agency does not have an approved indirect rate as described above, you must direct charge these costs in the appropriate budget category. All costs included in the direct cost categories must be directly attributable to the project. State Finance Law and Generally Accepted Accounting Principles require that any expense incurred over more than one funding source or program must be charged proportionately, and the method of allocation must be documented.

Section Three.... CONTRACT POLICY INFORMATION

3.1 Minority- and Women-Owned Business Enterprises (MWBE) – Equal Employment Opportunity (EEO) - Requirements & 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.

New York State Executive Law (Article 15-A)

Pursuant to New York State Executive Law Article 15-A, the New York State Office of Children and Family Services (OCFS) recognizes its obligation to promote opportunities for maximum feasible participation of certified Minority and Women-Owned Business Enterprises (M/WBEs) and the employment of minority group members and women in the performance of OCFS contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether M/WBEs had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of M/WBEs in state procurement contracting versus the number of M/WBEs that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified M/WBE Program. The recommendations from the Disparity Study culminated in the enactment and implementation of New York State Executive Law Article 15-A, (which requires, among other things, that OCFS establish goals for maximum feasible participation of New York State certified M/WBEs and the employment of minority group members and women in the performance of New York State contracts. In order to be recognized as a certified MWBE, a vendor must be for-profit and certified by the Empire State Development.

Business Participation Opportunities for M/WBEs – OCFS Established Goals

For purposes of this solicitation, OCFS hereby establishes an overall goal of 22.5 percent for M/WBE participation with a recommended breakdown of 9.5 percent for Minority-Owned Business Enterprises (MBE) participation and 13 percent for Women-Owned Business Enterprises (WBE) participation (based on the current availability of qualified MBEs and WBEs). It is expected that all Contractors make a good-faith effort to utilize M/WBEs when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS.

A Contractor must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Contract, and agrees that OCFS may withhold payment pending receipt of the required M/WBE documentation. The directory of New York State Certified M/WBEs can be viewed at: <https://ny.newnycontracts.com>. This website (known as New York State Contract System – NYSCS) was developed to facilitate New York State's Minority - and Women-Owned Business Enterprise (M/WBE) initiatives as set forth in Article 15-A of Executive Law. NYSCS offers tools that can be used by businesses, as well as New York State Agencies, to expand the role of minorities and women-owned businesses in the economic activities of New York State. This website contains:

- A Directory of all Certified Minority- and Women-Owned Businesses. This database is designed to allow end-users the capability to search for M/WBE vendors in a variety of ways; for example, by region, product type, product category or name.
- A portal to be used by agencies and businesses at the prime and sub-prime level to record, monitor and report M/WBE goal attainment in state funded contracting. (The NYSCS allows only the reporting of money spent with Certified M/WBEs.)
- Links to the latest bid and grant opportunities from state agencies, authorities and state universities.
- Information on the Empire State Development Corporation and the Governor's M/WBE Program.

Vendors interested in doing business with New York State agencies are encouraged to familiarize themselves with this resource before the contracting process begins since it contains the information needed to identify Certified M/WBEs, which is required for compliance.

For guidance on how OCFS will determine a Contractor's "good faith efforts", refer to 5 NYCRR §142.8 at the following website:

http://www.esd.ny.gov/MWBE/Data/122210_MWBE15-ARegs.pdf

In accordance with 5 NYCRR §142.13 (Provisions in Contracts; Violations), the contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the M/WBE participation goals set forth in the contract, such finding constitutes a breach of contract and OCFS may withhold or recover payment from the contractor as liquidated or other damages, as well as impose other such remedies as determined necessary. Such liquidated damages shall be calculated up to an amount equaling the difference between: (1) all sums identified for payment to M/WBEs had the contractor achieved the contractual M/WBE goals; and (2) all sums actually paid to M/WBEs for work performed or materials supplied under the contract.

Notice of Deficiency (Issued to Contractor if warranted by OCFS)

OCFS expects its contractors to demonstrate good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the establishment of M/WBE goals in accordance with agency standards and in the performance of the contract. This includes the contractor's requirements to properly document said efforts. OCFS will work collaboratively with contractors, whenever possible, to lend technical assistance to accomplish successful compliance with the requirements set forth in Article 15-A of the NYS Executive Law to minimize the need for punitive or other corrective actions.

However, when it is determined that no other recourse is possible, a **Notice of Deficiency** may be issued to the contractor. The issuance of a **Notice of Deficiency** may occur during contract development, prior to full execution of the contract, or at any point during the term of the contract. The determination of deficiency will be made by OCFS, following the review of information provided by the contractor.

If OCFS issues a **Notice of Deficiency**, the contractor must respond to the notice within seven (7) business days of receipt, by **submitting a written remedy to (NYS Office of Children and Family Services, Equal Opportunities and Diversity Development**

Unit, Room 205 South Building, 52 Washington Street, Rensselaer, NY 12144 – Attn: Affirmative Action Administrator). If the written remedy submitted is not timely or is found by OCFS to be inadequate, OCFS may notify the contractor of any inadequacies in the response. As a result, the contractor may be directed by OCFS to submit an [OCFS-4442 - M/WBE Request for Waiver Form](#) within seven business days, requesting either a partial or total waiver of MWBE participation goals. Failure to file the Request for Waiver Form in a timely manner may be grounds for disqualification of the proposal or contract. Completed Request for Waiver Forms must be **signed and emailed to: mwbeinfo@ocfs.ny.gov**.

Please be advised that **there are no automatic waivers**. All requests for waivers will require **both the approval of OCFS and the Governor's Office**.

Required Documentation

By submitting this proposal, bidder/contractor agrees to complete and submit the following forms, documents and/or requested information, as required or applicable, as evidence of compliance with the foregoing. Once a contract is awarded, OCFS may disqualify a contractor as being non-responsive if the contractor fails to submit any of the below-noted three forms/documents listed with an asterik (*), which are required during contract development; **OR**, if OCFS determines that the contractor has failed to document good faith efforts to comply with Article 15-A.

It is expected that all contractors make a good-faith effort to utilize Minority and/or Women Owned Business Enterprises (M/WBEs) when there is an opportunity to subcontract or purchase supplies to carry out a contract with OCFS.

- [OCFS-4629 - Project Staffing Plan Form](#) * (Submit with Proposal)
This form is to be completed by the bidder and submitted as part of their proposal identifying the anticipated work force to be utilized on the contract. Any modifications or changes to the Project Staffing Plan form after a contract is awarded must be reported on a revised Project Staffing Plan form, on a quarterly basis. **Submit with proposal to (Program contact name, division and bureau, address).** If there are no personal service dollars committed to the contract then the Project Staffing Plan form is not required.
- [OCFS-3460 – M/WBE – Equal Employment Opportunity Policy Statement](#) * (Applies to Contract Awardees ONLY)
This document is to be completed by the contractor and submitted to OCFS, pursuant to Article 15-A of the NYS Executive Law. OCFS-3460 is provided to contractors/subcontractors as a model Policy Statement and may be used if the contractor/subcontractor lacks an M/WBE-EEO Policy Statement that is acceptable pursuant to Article 15-A. The contractor/subcontractor has the option to use this model statement or create an appropriate M/WBE–EEO Policy Statement to be submitted to OCFS for approval. More information on the M/WBE-EEO Policy Statement can be found in the [MWBE Appendix](#). **Completed Document: To be signed and emailed to: mwbeinfo@ocfs.ny.gov**.
- [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) * (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by the contractor during the contract development stage for the purpose of identifying anticipated M/WBE utilization and during the term of a contract to report actual M/WBE participation goals achieved. Contractors should attempt to utilize, in good faith, any MBE or WBE identified on the Subcontracting/Suppliers Utilization Form, during the performance of the Contract. **Completed Form:** To be signed and emailed to: mwbeinfo@ocfs.ny.gov.

- [OCFS-4630 - Subcontractors and Suppliers Letter of Intent to Participate Form](#) (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by the proposed M/WBE Subcontractor/Supplier during the contract development stage, **and attached** to the [OCFS-4631 – Subcontracting/Suppliers Utilization Form](#) for each certified M/WBE the contractor proposes to utilize as subcontractors, service providers or suppliers. If the MBE or WBE proposed for any portion of this proposal/contract is a part of a joint venture or other temporarily-formed business arrangement, the name and address of the joint venture or the temporarily formed business entity should be indicated. If the subcontractors are unknown at the time of the award, enter prime contractor information and enter “unknown” in the “subcontractor/supplier” section. **Completed form:** To be signed and emailed to: mwbeinfo@ocfs.ny.gov.

- [OCFS-4441 - M/WBE Quarterly Report Form](#) (Applies to Contract Awardees ONLY)

This form is to be completed and submitted by contractor within 15 days following the end of each applicable reporting quarter over the term of the contract, documenting the progress made toward achievement of the MWBE goals of the contract. **Completed Form:** To be signed and emailed to mwbeinfo@ocfs.ny.gov.

Equal Employment Opportunity (EEO) Requirements

By submission of this proposal, the bidder/contractor agrees with all of the terms and conditions of the State of New York Master Contracts for Grants, including Section IV. Additional Contractor Obligations, Representations and Warranties, J. Equal Opportunities for Minorities and Women; Minority and Women Owned Business Enterprises and Appendix M/WBE. The contractor is required to ensure that any subcontractors awarded a subcontract over \$100,000 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 contractor, shall 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, national origin, sex, age, disability or marital 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.

Further, pursuant to Article 15-A of the NYS 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, national origin, sex, 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.

3.2 Omnibus Procurement Act

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available on the internet at www.esd.ny.gov. For additional information and assistance, contact:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
Email: opa@esd.ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, New York 10017
Telephone: 212-803-2414
Email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/frontend/vendorsearchpublic.asp>

NOTE: Companies requesting lists of potential subcontractors and suppliers are encouraged to identify the SIC code, size and location of vendors.

A directory of minority and women-owned business enterprises is available on the internet at www.esd.ny.gov. For additional information and assistance, contact either of the above listed offices.

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.

2. Document their efforts to encourage the participation of New York State business enterprises as suppliers and subcontractors by showing that they have:
 - Solicited bids, in a timely and adequate manner, from New York State Empire State Development business enterprises, including certified minority/ women-owned businesses, or
 - Contacted the New York State Empire State Development 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.
 - If the contractor determines that New York State business enterprises are not available to participate on the contract as subcontractors or suppliers, the contractor shall provide a statement indicating the method by which such determination was made.
 - If the contractor does not intend to use subcontractors, the contractor shall provide a statement verifying such.
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 through listing any such positions with 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 non-governmental entity influenced by the same. A list of discriminatory jurisdiction is maintained by the Commissioner of the New York State Empire State Development.

3.3 OCFS Procedure for Handling of Protests/Appeals of Bid Requirements and Proposed Awards

- | | |
|------------|-----------------------------------|
| Section 1: | Applicability |
| Section 2: | Definitions |
| Section 3: | Informal Complaints or Protests |
| Section 4: | Formal Protest Procedure |
| Section 5: | Appeal of Formal Protest Decision |

Section 1: Applicability

The intent and purpose of these guidelines is to set forth the procedure to be utilized when an interested party challenges a contract award by OCFS. These guidelines shall apply to all contract awards by OCFS.

Section 2: Definitions

1. "Interested party" means a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "Contract award" is a written determination from OCFS to an offeror, indicating that OCFS has accepted the offeror's bid or offer.
3. "Protest" shall mean a written challenge to a contract award by OCFS.
4. "Procurement" shall mean any method used to solicit or establish a contract (i.e. invitation for bid, request for proposal, single/sole source, etc.)
5. "Protesting party" is the party who is filing a protest to the bid, contract award, or other aspect of procurement.

Section 3: Informal Complaints or Protests

In order to reduce the administrative burden and to be responsive to interested parties, other than as provided below, OCFS staff will be receptive to and attempt to resolve issues, inquiries, questions and complaints on an informal basis, whenever possible. Information provided informally by any interested party will be fully reviewed by the OCFS Program Division responsible for the procurement. Matters that are identified by the interested party as containing, or that OCFS perceives to contain, potentially confidential or trade secret information, may be shared internally within OCFS as necessary. OCFS staff will document the subject matter and results of any informal complaints and inquiries. OCFS's response to the informal complaint or inquiry will indicate the existence of a formal protest policy available to the interested party should the informal process fail to resolve the matter.

Final OCFS determinations or recommendations for award may be reconsidered only in the context of a formal written protest.

Section 4: Formal Protest Procedure

Any interested party who believes that there are errors or omissions in the procurement process, who believes they have been aggrieved in the drafting or issuance of a bid solicitation or who believe they have been treated unfairly in the application, evaluation, bid award, or contract award phases of the procurement, may present a formal protest to OCFS and request administrative relief concerning such action.

A. Submission of Bid or Award Protests

1. Deadline for Submission
 - a. Concerning Alleged Errors, Omissions or Prejudice in the Bid Specifications or Documents: Formal protests that concern alleged errors in the drafting of bid specifications must be received by OCFS at

least ten calendar days before the date set in the solicitation for receipt of bids.

- b. Concerning Proposed Contract Award: Formal protests concerning a pending contract award must be received within five business days after the protesting party knows or should have known of the facts that constitute the basis of the protest. Formal protests will not be accepted by OCFS concerning a contract award after the contract between OCFS and the offeror who received the contract award has been approved by the Office of the State Comptroller.

B. Review and Final Determination

1. Formal protests must be filed with the OCFS Associate Deputy Commissioner of Administration. Any protests filed with the OCFS Program Division responsible for the procurement will be advanced to the Associate Deputy Commissioner of Administration. Copies of all protests will be provided by the Associate Deputy Commissioner of Administration to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Deputy Commissioner of Administration.
2. Formal protests shall be resolved through written correspondence; however, either the protesting party or OCFS may request a meeting to discuss a formal protest. Where further formal resolution is required, the program division responsible for the procurement may designate a state employee not involved in the procurement action ("designee") to determine and undertake the initial resolution or settlement of any protest.
3. The OCFS program division responsible for the procurement will conduct a review of the records involved in the protest, and provide a memorandum to the Associate Deputy Commissioner of Administration or the Associate Deputy Commissioner's designee summarizing the facts, an analysis of the substance of the protest, and a preliminary recommendation including: (a) an evaluation of the findings and recommendations, (b) the materials presented by the protesting party and/or any materials required of or submitted by other bidders, (c) the results of any consultation with the OCFS Division of Legal Affairs, and (d) a draft response to the protest.
4. A copy of the final protest decision, stating the reason(s) upon which it is based and informing the protesting party of the right to appeal an unfavorable decision to the OCFS Executive Deputy Commissioner shall be sent to the protesting party or its agent within thirty business days of receipt of the protest, except that upon notice to the protesting party such period may be extended. The final protest determination will be recorded and included in the procurement record, or otherwise forwarded to the Office of the State Comptroller (OSC).

C. Appeals

1. The final protest determination shall be deemed a final and conclusive agency determination unless a written notice of appeal is received by the OCFS Executive Deputy Commissioner no more than fifteen business days after the date the final protest decision is sent to the protesting party.

2. The Executive Deputy Commissioner or his or her designee shall hear and make a final determination on all appeals.
3. An appeal may not introduce new facts unless responding to facts or issues unknown to the protesting party prior to the final protest determination.

D. Reservation of Rights and Responsibilities of OCFS

1. OCFS reserves the right to waive or extend the time requirements for protest submissions, decisions and appeals herein prescribed when, in its sole judgment, circumstances so warrant to serve the best interests of the State.
2. If OCFS determines that there are compelling circumstances, including the need to proceed immediately with contract award and development of final contracts in the best interests of the state, then these protest procedures may be suspended and such determination shall be documented in the procurement record.
3. OCFS will consider all information relevant to the protest, and may, at its discretion, suspend, modify, or cancel the protested procurement action, including solicitation of bids, or withdraw the recommendation of contract award prior to issuance of a formal protest decision.
4. OCFS will continue procurement and contract award activity prior to the final protest determination. The receipt of a formal bid protest will not stop action on the procurement and award of the contract(s) or on development of final contracts.
 - a. The procurement record and awarded contract(s) will be forwarded to OSC, and a notice of the receipt of a protest and any appeal will be included in the procurement record. If a final protest determination, or a final decision on an appeal, has been reached prior to transmittal of the procurement record and the contract(s) to OSC, a copy of the final determination or decision will be included in the procurement record and with the contract(s).
 - b. If a final protest determination is made after the transmittal of the procurement record and contract(s) to OSC, but prior to OSC approval, a copy of the final OCFS determination will be forwarded to OSC when issued, along with a letter either: a) confirming the original OCFS recommendation for award(s); b) modifying the proposed award recommendation; or c) withdrawing the original award recommendation.
5. All records related to formal protests and appeals shall be retained for at least one year following resolution of the protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention

Section 5: Appeal of Formal Protest Decision

If the protesting party is still not satisfied with the result of its protest after conclusion of the appeal to the OCFS Executive Deputy Commissioner, the protesting party must file an appeal with OSC. The protest to the OSC Bureau of Contracts must be in writing and must contain specific factual and/or legal allegations setting forth the basis on

which the protesting party challenges the contract award by OCFS. Such appeal must be filed with the Director of the Bureau of Contracts at the Office of the State Comptroller, 110 State Street, 11th Floor, Albany, NY 12236.

3.4 Other Requirements N/A

Section Four

Data Indicators from Section 1.5

Recurrence of Abuse/Neglect Federal CFSR Round 2 Definition*			
County	Children in Indicated Reports	Children with Recurrence	Percent
Albany	574	89	15.5
Allegany	109	19	17.4
Broome	762	106	13.9
Cattaraugus	250	48	19.2
Cayuga	151	16	10.6
Chautauqua	475	78	16.4
Chemung	328	35	10.7
Chenango	205	35	17.1
Clinton	214	21	9.8
Columbia	117	10	8.5
Cortland	177	37	20.9
Delaware	252	39	15.5
Dutchess	457	70	15.3
Erie	1720	156	9.1
Essex	77	16	20.8
Franklin	143	33	23.1
Fulton	100	16	16
Genesee	149	23	15.4
Greene	121	8	6.6
Hamilton	2	0	0
Herkimer	98	11	11.2
Jefferson	621	57	9.2
Lewis	60	6	10
Livingston	101	13	12.9
Madison	189	17	9
Monroe	837	63	7.5
Montgomery	126	30	23.8
Nassau	857	86	10
Niagara	520	70	13.5
NYC (See borough name)			
Oneida	955	151	15.8
Onondaga	980	81	8.3
Ontario	234	48	20.5
Orange	445	61	13.7
Orleans	110	14	12.7
Oswego	495	100	20.2
Otsego	106	20	18.9
Putnam	81	9	11.1
Rensselaer	350	40	11.4
Rockland	118	0	0
Saratoga	248	44	17.7
Schenectady	482	47	9.8
Schoharie	93	12	12.9
Schuyler	96	8	8.3
Seneca	178	24	13.5
St. Lawrence	212	25	11.8
Steuben	270	28	10.4
Suffolk	1937	144	7.4
Sullivan	241	56	23.2
Tioga	111	13	11.7
Tompkins	85	9	10.6
Ulster	226	16	7.1
Warren	154	19	12.3
Washington	145	20	13.8
Wayne	198	17	8.6
Westchester	841	77	9.2
Wyoming	78	8	10.3
Yates	131	38	29
St. Regis Mohawk Tribe	8	1	12.5
Bronx	3874	341	8.8
Kings	4752	488	10.3
Manhattan	1946	142	7.3
Queens	2211	151	6.8
Richmond	650	37	5.7
*Of the children that were victims of a substantiated allegation in an indicated report of child abuse or neglect during a six month period, the percent that had another substantiated allegation in an indicated report within 6 months of the date of the first indicated oral report.			
OCFS Data Warehouse: Rport Date 1/22/2015			

Rate per 1,000 of Youth Population in Foster Care			
Local Department of Social Services	Number of Youth in County Younger than	Number of Youth in Care on 12/31/2013**	Rate/1,000
Albany	60,297	180	3.0
Allegany	10,482	89	8.5
Broome	40,261	298	7.4
Cattaraugus	18,772	90	4.8
Cayuga	16,822	77	4.6
Chautauqua	29,401	119	4.0
Chemung	19,645	75	3.8
Chenango	11,066	55	5.0
Clinton	15,600	88	5.6
Columbia	12,441	104	8.4
Cortland	10,297	92	8.9
Delaware	8,918	95	10.7
Dutchess	64,316	247	3.8
Erie	195,215	785	4.0
Essex	7,288	27	3.7
Franklin	10,461	66	6.3
Fulton	12,071	42	3.5
Genesee	12,949	62	4.8
Greene	9,353	91	9.7
Hamilton	782	1	1.3
Herkimer	14,090	99	7.0
Jefferson	30,726	100	3.3
Lewis	6,735	15	2.2
Livingston	12,851	40	3.1
Madison	15,171	61	4.0
Monroe	165,564	408	2.5
Montgomery	11,761	37	3.1
Nassau	305,833	233	0.8
Niagara	45,932	152	3.3
NYC	1,801,699	11,796	6.5
Oneida	50,458	259	5.1
Onondaga	105,066	319	3.0
Ontario	23,438	54	2.3
Orange	101,249	364	3.6
Orleans	9,197	35	3.8
Oswego	27,646	34	1.2
Otsego	11,134	41	3.7
Putnam	23,177	17	0.7
Rensselaer	33,948	135	4.0
Rockland	89,146	63	0.7
Saratoga	50,697	52	1.0
Schenectady	35,548	198	5.6
Schoharie	6,424	38	5.9
Schuyler	3,630	19	5.2
Seneca	7,350	32	4.4
St. Lawrence	24,277	145	6.0
Steuben	22,769	102	4.5
Suffolk	356,602	703	2.0
Sullivan	17,330	83	4.8
Tioga	11,694	24	2.1
Tompkins	16,527	127	7.7
Ulster	35,616	120	3.4
Warren	13,280	53	4.0
Washington	13,268	50	3.8
Wayne	21,506	51	2.4
Westchester	225,459	566	2.5
Wyoming	8,417	43	5.1
Yates	6,245	29	4.6
St. Regis Mohawk Tribe	N/A	11	N/A
Statewide	4,327,897	19,391	4.5

*Woods and Poole Economics, Inc. U.S. Census Estimate - V201

**CCRS Data via Chapin Hall Foster Care Data Archive

Percent of Exits to Relative/KinGAP			
Of all of the children in care on 12/31/2011, what percent exited to Relative/KinGAP within two years of that date?			
Local Department of Social Services	Number of Youth In Care on 12-31-11*	Number of Exits to Relative/KinGAP within Two Years of In Care Date	% that Exited to Relative/KinGAP
Albany	173	10	6%
Allegany	68	7	10%
Broome	316	24	8%
Cattaraugus	92	5	5%
Cayuga	116	13	11%
Chautauqua	101	8	8%
Chemung	101	7	7%
Chenango	41	1	2%
Clinton	58	6	10%
Columbia	147	14	10%
Cortland	129	2	2%
Delaware	63	0	0%
Dutchess	222	13	6%
Erie	818	46	6%
Essex	25	4	16%
Franklin	75	6	8%
Fulton	41	0	0%
Genesee	46	3	7%
Greene	66	5	8%
Hamilton	0	0	N/A
Herkimer	62	6	10%
Jefferson	130	11	8%
Lewis	11	0	0%
Livingston	34	6	18%
Madison	41	0	0%
Monroe	435	30	7%
Montgomery	35	1	3%
Nassau	302	5	2%
Niagara	177	10	6%
NYC	13955	488	3%
Oneida	233	13	6%
Onondaga	278	10	4%
Ontario	65	3	5%
Orange	369	26	7%
Orleans	24	1	4%
Oswego	38	0	0%
Otsego	43	4	9%
Putnam	17	0	0%
Rensselaer	138	5	4%
Rockland	59	3	5%
Saratoga	48	0	0%
Schenectady	228	18	8%
Schoharie	38	2	5%
Schuyler	10	1	10%
Seneca	12	2	17%
St. Lawrence	96	8	8%
Steuben	86	2	2%
Suffolk	610	26	4%
Sullivan	79	5	6%
Tioga	32	2	6%
Tompkins	158	5	3%
Ulster	182	8	4%
Warren	63	11	17%
Washington	58	0	0%
Wayne	36	3	8%
Westchester	626	18	3%
Wyoming	38	4	11%
Yates	19	0	0%
St. Regis Mohawk Tribe	28	2	7%
Statewide	21,591	913.0	4%
*CCRS Data via Chapin Hall Foster Care Data Archive			

Section Five GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

Fiscal Documentation: Documentation necessary for payment.

Grants Gateway: The New York State Grants Gateway went live 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 (i.e. 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, 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, or research results, of what would happen to the target population without the program's intervention and its benefits. Projection should be numerical (# or %). 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 or program intervention. Outcomes may relate to knowledge, skills, attitudes, behaviors or condition. Either the investor or provider may set them. (They are broader, 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: 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. Must include a description of the methods that will be used to verify target 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 to implement program -- Most relevant to new applicants or start-up.

Staffing Pattern: Identification of staff assigned to a program, whether or not paid through OCFS funds.

Target Population: The specific group of people (individuals, families, community members or certain instances, specified personnel or entity) that are the focus of change and who will directly interact with the program. In certain instances where the desired outcome is systemic change, the 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 aforementioned integrity.

Vision: OCFS Program Area statement of ideal end-state sought for a population (safety, permanency and well-being for Kinship children).

Section Six **CONTRACT DOCUMENTS**

6.1 Master Contract for Grants

The Contract Documents consist of the documents listed below. These documents are located in the **NYS Grants Gateway System (GGS)**:

http://www.grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.pdf

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

**Section Seven DISPROPORTIONATE MINORITY REPRESENTATION (DMR):
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, i.e. child welfare, juvenile justice, child care, youth development, and those services for the blind and visually impaired. In some of these 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.

Section Seven of the RFP contains more information regarding Disproportionate Minority Representation (DMR) and data in New York State, and is located: [Disproportionate Minority Representation \(DMR\)](#)

Application Cover Page – Agreement

I. Incorporated Agency Name:				
II. Project Title:				
III. New York State Vendor ID:				
IV. Amount of OCFS Funds Requested:				
V. Proposed Dates of Project:				
VI. Address: (Include Street, City, State, Zip Code)	Mailing	Payment	Site	Agency Record
VII. Federal Tax Identification Number or Municipality Code:				
VII. Does the Business Entity have a Data Universal Numbering System (DUNS) Number? If yes, what is the DUNS Number?	<input type="checkbox"/> Yes <input type="checkbox"/> No		DUNS Number:	
IX. Is the Business Entity a: (a) For Profit entity; and (b) A New York Certified Minority Owned Business Enterprise (MBE), Women Owned Business Enterprise (WBE), New York State Small Business or a Federally Certified Disadvantaged Business Enterprise (DBE)?	<input type="checkbox"/> Yes		<input type="checkbox"/> No	
If yes, please specify the type of entity:	<input type="checkbox"/> Minority Owned Business Enterprise (MBE) <input type="checkbox"/> Women Owned Business Enterprise (WBE) <input type="checkbox"/> Disadvantaged Business Enterprise (DBE) <input type="checkbox"/> New York State Small Business			
X. Is the Business Entity a: (a) Not-For-Profit entity; and (b) A Minority Community-Based Organization (MCBO)	<input type="checkbox"/> Yes		<input type="checkbox"/> No	
XI. Charities Registration Number: (If exempt, enter reason for exemption)				
XII. Has the Business Entity filed all required periodic or annual written reports with the Office of the Attorney General’s Charities Bureau?	<input type="checkbox"/> Yes		<input type="checkbox"/> No	

XIII. Congressional/Legislative District Information: (If Known)					
Federal Congressional District(s):					
State Assembly District(s):					
State Senate District(s):					
XIV. County:					
XV. Contact Person(s):					
Key Contacts	Name	Address	Telephone & E-Mail Address **	Authorized to Sign Contracts	Authorized to Sign Vouchers
Board Chairperson					
Chief Administrative Officer ¹					
Contract Contact					
Chief Fiscal Officer					
**An E-mail address is required. If you do not have a personal e-mail address, please supply your Organization's shared e-mail address.					

¹ The Chief Administrative Officer is defined as the person who is responsible for the contractor's overall administration, eg. Executive Director, County Executive, or Agency Commissioner

**See Section 2.15 above
(Program Plan / Narrative including Objectives, Tasks and Performance Measures)**

Example of the Program Plan template format (Attachment C: Work Plan)

**ATTACHMENT C – WORK PLAN
SUMMARY**

PROJECT NAME: _____

CONTRACTOR SFS PAYEE NAME: _____

CONTRACT PERIOD: From: _____

To: _____

Provide an overview of the project including goals, tasks, desired outcomes and performance measures:

Contract Number: # _____
Page 1 of 3, Attachment C – Work Plan

ATTACHMENT C – WORK PLAN
DETAIL

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
1:		a.	i.
		ii.	
		iii.	
		b.	i.
		ii.	
		iii.	
		c.	i.
		ii.	
		iii.	

Contract Number: # _____
Page 2 of 3, Attachment C – Work Plan

OBJECTIVE	BUDGET CATEGORY/ DELIVERABLE (if applicable)	TASKS	PERFORMANCE MEASURES
2:		a.	i.
			ii.
			iii.
		b.	i.
			ii.
			iii.
		c.	i.
			ii.
			iii.

Contract Number: # _____
Page 3 of 3, Attachment C – Work Plan

NEW YORK STATE
OFFICE OF CHILDREN AND FAMILY SERVICES
PROJECT STAFFING PLAN FORM

DATE:

--	--	--

Prime Contractor Information	
Contractor/ Organization Name:	Contact Person/Title:
Address:	Telephone:
Project Title:	
Is Organization Not-For-Profit?	Federal ID# / NYS Vendor ID#
<input type="checkbox"/> Yes <input type="checkbox"/> No	Contract #
<input type="checkbox"/> Prime Contract <input type="checkbox"/> Sub-Contract	Contract Period:
OCFS Program Area:	
Comment Area	
Comments:	

Staffing Plan Information

NOTE: Determination of ethnicity of staff can be made by observation – Use your professional judgment in terms of where staff fall into the below listed categories

TITLE CATEGORY	TOTAL WORK FORCE	TOTAL WORK FORCE BY:		BLACK		HISPANIC		ASIAN/PACIFIC ISLANDER		ALASKAN/NATIVE AMERICAN		WHITE (NOT OF HISPANIC ORIGIN)		DISABLED		VIETNAM ERA VETERAN		
		M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	
Officials/Administrators																		
Professionals																		
Technicians																		
Para-Professionals																		
Administrative Support (Clerical)																		
Skilled Craft workers																		
Service Maintenance																		
TOTAL																		
Total By Percentage	N/A	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%	%

Federal Occupational Code Definitions

1. Officials and Administrators

Occupations in which employees set broad policies, exercise overall responsibility for execution of these policies, direct individual departments or special phases of the agency's operations', or provide specialized consultation on a regional, district or area basis. Includes: department heads, bureau chiefs, division chiefs, directors, deputy directors, controllers, examiners, wardens, superintendents, sheriffs, police and fire chiefs and inspectors and kindred workers.

2. Professionals

Occupations which require specialized and theoretical knowledge which is usually acquired through college training or through work experience and other training which provides comparable knowledge. Includes: personnel and labor relations workers, social workers, doctors, psychologists, registered nurses, economists, dieticians, lawyers, system analysts, accountants, engineers, employment and vocational rehabilitation counselors, teachers or instructors, police, fire captains and lieutenants, and kindred workers.

3. Technicians

Occupations which require a combination of basic scientific or technical knowledge and manual skill which can be obtained through specialized post-secondary, school education or through equivalent on-the-job training. Includes: computer programmers and operators, draftsmen, surveyors, licensed practical nurses, photographers, radio operators, technical illustrators, highway technicians, technicians (medical, dental, electronic, physical sciences), assessors, inspectors, police and fire sergeants and kindred workers.

4. Paraprofessionals

Occupations in which the workers perform some of the duties of a professional or technician in a supportive role, which usually require less formal training and/or experience normally required for professional or technical status. Such positions may fall within an identified pattern of staff development and promotion under a "New Careers" concept. Includes: library assistants, research assistants, medical aides, child support workers, police auxiliary, welfare service aides, recreation assistants, homemakers aides', home health aides, and kindred workers.

5. Office and Clerical

Occupations in which workers are responsible for internal and external communication, recording and retrieval of data and/or information and other paperwork required in an office. Includes: bookkeepers, messengers, office machine operators, clerk typists, stenographers, court transcribers, hearing reporters, statistical clerks, dispatchers, license distributors, payroll clerks and kindred workers.

6. Skilled Craft Workers

Occupations in which workers perform jobs which require special manual skill and a thorough and comprehensive knowledge of the processes involved in the work which is acquired through on-the-job training and experience or through apprenticeship or other formal training programs. Includes: mechanics, repairmen, electricians, heavy equipment operators, stationary engineers, skilled machine occupations, carpenters, compositors and typesetters, and kindred workers.

7. Service Maintenance

Occupations in which workers perform duties which result in or contribute to the comfort, convenience, hygiene or safety of the general public, or which contribute to the upkeep and care of buildings, facilities or grounds of public property. Workers in this group may operate machinery. Includes: chauffeurs, laundry and dry cleaning operatives, truck drivers, bus drivers, garage laborers, custodial personnel, gardeners and groundskeepers, refuse collectors, and construction laborers.

TANF GUIDELINES

B) Program Specific Requirements

TANF PROGRAMS OPERATED *WITH REGARD TO INCOME OF CLIENTS*

Authorization to Use TANF funding

The State Office of Children and Family Services (OCFS) and its Contractors are authorized by the NYS Legislature in accordance with the TANF State Plan to use TANF funds for "non-assistance" services. Contractor agrees that all federal TANF funds shall be expended on "non-assistance" services as defined below in this section of the AGREEMENT to TANF eligible individuals and their families, as applicable, with the intent to achieve one or more of the following:

- provide services to needy families so that children may be cared for in their own homes or in the homes of relatives;
- end the dependence of needy parents on government benefits by promoting job preparation and work;
- prevent and reduce the incidence of out-of-wedlock pregnancies; or
- encourage the formation and maintenance of two parent families.

TANF Definitions

The Contractor and the Office agree to the definitions of the following terms in the administration of TANF programs:

1. **Family Members:** All of the following persons **who live with** the applicant are family members and must be incorporated in determining and reporting the number of families served with TANF funding (and in determining income eligibility, if participant eligibility is required to be determined with regard to income):
 - the applicant's husband or wife;
 - the applicant's minor children and their siblings who are also minor children (including half and step-siblings);
 - if the applicant is a minor, the applicant's parents and the applicant's siblings who are minor children; and
 - the father or mother of any minor children listed above, even if the parent is not married.
2. **Custodial Parent:** Parent with legal and primary custody as granted by valid agreement between the parties or by court order or decree and with whom the child lives.
3. **Non-Custodial Parent:** The parent who does not live with or have physical custody of the child, but is legally responsible for providing financial and medical support. The number of non-custodial parents served with TANF funds must be reported as part of the TANF monthly data reporting requirement for programs where participant eligibility is required to be determined with regard to income.
4. **Income Eligible Persons (criteria used by programs classified as "With Regard to Income"):** Certain TANF-funded programs require that TANF funds be used solely "for eligible persons with income not exceeding 200 percent of the Federal poverty level." Such persons are income eligible for TANF as defined by the New York State TANF

State Plan. Income eligibility requirements apply only to programs classified as "with regard to income" under TANF regulations. Contractors who operate such "with regard" programs may use TANF funds solely to serve persons at or below 200% of poverty provided that participants meet all other TANF eligibility requirements and are not an alien or a fugitive felon. Such persons do not have to be in receipt of public assistance benefits.

5. **(Family) Gross Income:** For the purposes of determining participant income eligibility for TANF-funded programs as applicable, i.e., for use as eligibility criteria for "with regard to income" TANF programs, Gross Income is defined as income of family members before taxes and other deductions that include, but are not limited to:
 - Wages, salary and tips from work
 - Self-employment income (after business expenses)
 - Social Security benefits
 - Public assistance (Family Assistance, Safety Net Assistance)
 - Unemployment compensation
 - Workers' compensation
 - Supplemental Security Income (SSI)
 - Child support payments received
 - Alimony received
 - Interest payments
 - Other recurring income that is not excluded below Income not included in definition of Gross Income:
 - Earned income of a minor child
 - Adoption/foster care payments
 - One-time loans, gifts, lump sum payments or other non-recurring income
 - Child care subsidy payments
6. **Current Income:** Current income is income that has been or is expected to be received in the calendar month of the participant's application for TANF Services, and is expected to continue beyond this month.
7. **Assistance:** (Contractor shall **not** provide "assistance" as defined below to participants) Assistance for federal purposes consists of any payment or benefit designed to meet ongoing basic needs - food, clothing, shelter, utilities, household goods, personal care items, general incidental expenses. Assistance also includes supportive services such as **transportation** or **child care** provided to unemployed recipients. Assistance paid to a TANF recipient is counted toward the 60-month TANF time limit. Assistance counts toward the support offset. Payment types defined as assistance, when paid to a trackable person in a trackable case type (Family Assistance, Cash Safety Net Assistance (SNA), Non-Cash Safety Net Assistance/FP) will trigger time limit counts, be reported to DHHS as assistance, and be counted toward the support offset.
8. **Non-Assistance:** (Contractor may provide certain "non-assistance" as defined below to participants) Non-assistance for federal purposes are benefits that are short-term, designated to meet a specific crisis of episode of need, not meeting recurrent or ongoing needs, and not extending beyond four months. In addition, non-assistance includes work subsidies and supportive services (transportation, child care) to employed recipients. Non-assistance paid to a TANF recipient does not count toward the TANF 60-month time limit. Non-assistance does not count toward the support offset. Payments made through EAF (including SNA/EAF) are not considered assistance.
9. **Poverty Level:** The Federal Health and Human Services poverty guidelines that are published yearly.

9.a Poverty Level Guidelines – *The poverty level guidelines are a simplified version of the Federal Government’s statistical poverty threshold used by the Bureau of the Census to prepare its statistical estimates of the number of persons and families in poverty. The poverty guidelines are used for administrative purposes such as in determining whether a person or family is financially eligible for assistance under a particular federal program. The poverty level guideline is calculated annually and released between February and March. OCFS provides this information to TANF-funded Contractors prior to June 1, the effective date the revised guidelines must be used by Contractors to replace the prior year Poverty Level guidelines. Contractor and any and all subcontractors must use the revised poverty level guideline effective June 1 each program year as provided by the Office if program participant eligibility is determined "with regard to income" as defined in this section.*

10. **Public Assistance (PA):** Public Assistance is the “cash” assistance component of welfare. In New York State, public assistance includes Family Assistance, Safety Net Assistance, and Emergency Assistance for Families, Emergency Safety Net Assistance and Emergency Assistance for Adults. PA is often referred to as “temporary assistance.” A separate Medicaid eligibility determination must be made to receive Medicaid coverage.
11. **Minor Child:** A “minor child” is a child who is under 18 years of age or is under 19 years of age and attending secondary school (high school) or an equivalent level of vocational or technical training (for example, a BOCES program). In order for the minor child to be eligible for TANF Services, the minor child must be living with a parent or other relative who is the primary caretaker of the child, or be in foster care with a plan to return home.
12. **Primary Caretaker:** The primary caretaker is the adult relative with whom a minor child lives, if the child does not live with his or her parent. The primary caretaker makes the majority of the decisions about the child’s well-being.
13. **Qualified Alien:** Defined as an alien who:
has been lawfully admitted for permanent residence under the Immigration and Nationality Act (INA);
 - has been granted asylum under Section 208 of the INA;
 - has been admitted to the United States as a refugee under Section 207 of the INA (including Amerasian immigrants admitted under the provisions of Public Law 100-202);
 - has been paroled into the United States under Section 212(d)(5) of the INA for a period of at least one year;
 - has had deportation withheld under section 243(h) or 241 (b)(3) of the INA;
 - is a Cuban and Haitian entrant (as defined in Section 501(e) of the Refugee Education Assistance Act of 1980);
 - has been granted conditional entry pursuant to section 203(a)(7) of the INA; or
 - has been determined by the social services district to be in need of Medicaid as a result of being battered or subject to extreme cruelty in the United States by a spouse or a parent, or by a member of the spouse or parent’s family residing in the same household as the alien.

General Provisions for Administration of TANF-funded Programs

1. Prior to receiving funds related to this AGREEMENT, Contractor and any and all subcontractors must meet all applicable State and Federal laws and regulations.
2. At the discretion of the Office, independent evaluation(s) may be conducted over the course of implementation of this AGREEMENT to determine the impact of programs as they relate to the above referenced desired outcomes.

3. If an Indirect Cost Rate is used by the Contractor, the Contractor must provide documentation to OCFS of Federal funding source approval of the Indirect Cost Rate that provides sufficient detail of how the cost of administrative services is calculated and how such costs are distributed among Contractor sponsored programs and activities.
4. Contractor and any and all subcontractors are required to implement contractual services in compliance with applicable State and Federal law.
5. Contractor and any and all subcontractors are required to determine eligibility of all potential participants to be served in compliance with applicable State and Federal law. Potential participants of TANF programs will be required to complete a TANF Services Application Certification (TSAC). Contractor and any and all sub-contractors are required to certify participant eligibility. Applicants for said services and members of their respective families are not required to provide documentation of citizenship, resources, income or other eligibility items as part of the application process. Contractor and any and all subcontractor(s) will determine participant eligibility solely on the basis of information provided and self-attested by the applicant on the prescribed TSAC form, if applicable. All eligibility determinations will be subject to State and Federal audits. Services to be provided to eligible clients under this program are considered "non-assistance" services with short-term benefits not intended to meet recurring needs and not expected to extend beyond four months. TANF "non-assistance" services provided under the TANF program are not included in the calculation of the 60-month limit for TANF "assistance" recipients.
6. The contractor and any and all subcontractors are required to use the appropriate Federal Poverty Standard in determining eligibility and must use the revised Poverty Standard when it becomes effective on June 1 of each year this AGREEMENT is in effect.
7. The contractor and any and all subcontractors agrees that they will not use TANF funds to provide TANF services that constitute "cash assistance" or "assistance" to TANF eligible families.
8. The contractor and any and all subcontractors agree that they will not use TANF funding for any purpose identified as "unallowable" or "ineligible costs".
9. The contractor and any and all subcontractors must accurately report, on a monthly basis and in compliance with reporting requirements in Attachment D of this AGREEMENT, TANF reporting information regarding the amount of TANF funds expended and the number of families served by the Contractor or subcontractor(s). Said TANF reporting information must be reported using prescribed Claim and Expenditure forms issued by OCFS. Failure to provide said information within the established reporting schedule in Attachment D may result in rejection of related claims for reimbursement and/or termination of this AGREEMENT at the discretion of OCFS.
10. The contractor and any and all subcontractors must use client application, data collection, financial and program reporting forms, and claim forms as prescribed by OCFS. Substitution of such forms is not allowed unless there is prior written approval by OCFS.
11. The contractor and any and all subcontractors must maintain and preserve adequate files and records sufficient to meet applicable State and Federal law. Contractor and any and all subcontractors shall make all program and financial records available for inspection, review and copying upon request by officials, employed or retained by the State, their authorized representatives, and appropriate officials from the Federal government for a period of six (6) years after the final use of funds provided under this AGREEMENT or until the conclusion of any litigation involving such records.
12. The contractor and any and all subcontractors must complete all work as described in Attachment C no later than the end of the initial contract period. Final claims must be submitted in accordance with Attachment D.
13. Payments and future funding are contingent on the availability of federal and/or State funding for projects to be conducted in accordance with this AGREEMENT.
14. SPECIAL TANF REQUIREMENTS - if Request for Proposal issued after January 25, 2001. The following provisions apply to the Contractor and any and all subcontractors

awarded TANF funds from the Office of Children and Family Services through responses to Request for Proposals (RFP) if the RFP was issued by OCFS after January 25, 2001:

1. Contractor and any and all subcontractors assures that services provided using TANF funds are primarily program in nature, and;
2. Contractor and any and all subcontractors shall develop and implement a methodology to attribute an appropriate share not to exceed 15% of the contract award from OCFS to administrative costs
3. for contracts which include a mix of administrative and programmatic activities, and;
4. Contractor and subcontractor agree to take all reasonable steps to hold related administrative costs to a minimum.

Special Requirements: TANF Program Operation

• The Contractor & Subcontractor Responsibilities in Determining TANF Eligibility

Prior to providing services, Contractors and any and all subcontractors shall individually certify all families served with TANF funds as having incomes under 200% of the federal poverty level. Specific information on the 200% poverty level criteria will be provided to the Contractor by the Office and will be effective June 1 of each contract year. Contractor shall notify any and all subcontractors of the poverty level criteria and the requirements for identifying eligible families under TANF rules and law.

***Legally Responsible Relative:** Only natural or adoptive parents and stepparents are legally responsible relatives. When the child is the recipient of services and the child does not live with a legally responsible relative (LRR), only the income of the child and his or her siblings and half-siblings must be counted. The income of the non-legally responsible relative does not count in determining TANF eligibility.*

• Verifying Family Categorical TANF Eligibility

The contractor and any and all subcontractors shall assure that all families served using TANF funds must also meet the *categorical* requirements for TANF. This means that the family must include at least one child under the age of eighteen, or a pregnant woman. In addition, the child must live with an eligible caretaker relative. An eligible caretaker relative is a caretaker related to the child by blood, adoption or marriage.

• Procedure for Verifying TANF Eligibility

The contractor and any and all subcontractors shall:

1. **require all applicants for services (or legally responsible relative of applicant) to complete the Application for TANF Services form prescribed by the Office. Substitute forms will not be acceptable by the Office;**
2. **clearly identify all families as eligible prior to providing program services;**
3. **verify the family's categorical and income eligibility; and**
4. **maintain eligibility documentation for audit purposes.**

• Procedure for Maintaining TANF Eligibility Records

The contractor and any and all subcontractors shall maintain documentation of all participant TANF eligibility verification for audit purposes. Documentation that must be maintained includes all Applications for TANF Services forms, notations of caseworkers, records listing the documentation that was shown, logs with the date and time of telephone calls made to other agencies such as the local social services department, along with the person spoken to and the date.

• TANF Reporting Requirements

The contractor and any and all subcontractors shall provide monthly reports on the amount of TANF funds expended and the number of TANF eligible families and number of non-custodial parents served using TANF funds on prescribed claim and expenditure forms issued by the Office and within timeframes cited in Attachment D of this AGREEMENT.

Non-Allowable and Allowable Costs Applicable to TANF

The Contractor and any and all subcontractors are authorized to use TANF funds under this AGREEMENT only to provide TANF services that constitute “non-assistance” to TANF eligible families and is precluded from using TANF funds to provide “cash assistance” or “assistance” as defined in federal law or regulation, or any “unallowable” or “ineligible” costs as set forth in

Federal or State law or regulations or in this Attachment or in any other part of this AGREEMENT.

Distinguishing “Assistance” vs. “Non-Assistance” and “Allowable” vs. “Unallowable” Costs for TANF Programs

“Assistance” consists of benefits that are designed to meet a family’s on-going basic needs (food, clothing, shelter, utilities, personal care items, household goods and general incidentals) and such supportive services as transportation and child care for families who are not employed. The funds provided under the AGREEMENT may not be used for any benefits or services that meet the definition of “assistance”. General education services and medical services also may not be provided under this grant; provided, however, TANF funds may be used for pre-pregnancy Family Planning Services if efforts to access such services by using other funding sources are not viable. The funds provided under this AGREEMENT may only be used for services that meet the definition of “non-assistance”. “Non-Assistance” includes long-term, recurrent family preservation services such as case management, counseling, mediation services, and school-based support services. It also includes transportation and childcare services for employed families. In addition, some services that might otherwise be regarded as assistance, such as child care and transportation for unemployed families, may nevertheless be provided if they are non-recurring, short-term benefits that address a specific crisis situation and will not extend beyond four months. Non-recurring does not mean that the benefits cannot be provided more than once. However, the expectation at the time the benefits are granted is that the situation will not be repeated and the benefits will not be provided on a regular basis. For example, respite care might be given under the AGREEMENT for up to four months if necessitated by a specific crisis situation that is not expected to be repeated. Furthermore, childcare and transportation may be provided to unemployed families only if the services are incidental to the program and are not available from the social services district. For TANF purposes, a medical service is a service that either can be provided only by or under the direct supervision of a medical professional or is claimed or claimable under the medical assistance program. TANF funds may not be used for medical services. Conversely, TANF funds may be expended for an activity that meets ALL of the following conditions:

1. The activity serves a TANF purpose;
2. The activity is of a type that is generally provided by personnel who are not medical professionals and are not acting under direct supervision of medical professionals; and
3. The activity is not claimed under the medical assistance program and may not be so claimed. A service is not medical service solely by a medical professional does directly supervise it (although the costs of the professional him or herself may be a medical service). Nor is a service a medical service just because a medical professional provides it, if the service is of a type that may be and generally is delivered by nonmedical personnel. For example, if a counseling program is generally staffed by social workers, the fact that a nurse is a counselor does not render it a medical service.

The Following Provisions Apply to Contractors and Subcontractors Regarding Non-Allowable and Allowable Costs:

Non-Allowable Costs for TANF-Funded Projects

The Contractor and any and all subcontractor(s) agree that the following items constitute costs that are NOT eligible for reimbursement with TANF funds:

- Benefits defined as “assistance” under TANF regulations that are designed to meet a family’s on-going basic needs (food, clothing, shelter, utilities, personal care items; household goods and general incidentals);
- Capital expenditures such as acquisition, construction or structural renovation of facilities or purchase of real property;
- Advertising costs except for recruitment of project personnel, program outreach and recruitment of participants, or the procurement of scarce items;
- Entertainment costs including social activities (unless determined to be educational or curriculum related or otherwise TANF-eligible subject to pre-approval by OCFS);
- Interest costs, including costs incurred to borrow funds;

- Costs of organized fund raising (including lobbying of any type);
- Costs for dues, attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project and pre-approved by the Office. Costs approved by the Office for in-state and out-of-state travel to such conferences and meetings are subject to the reimbursement limits as issued by the Office of the State Comptroller;
- Costs for preparation of continuation agreements and other proposal development costs;
- Recurrent child care or transportation for unemployed families;
- Stipends to unemployed participants;
- Any commodity, service, training cost or participant testing currently reimbursed by the State or federal government;
- GED services or other educational instruction or services that are supported by other federal or state funds and available to the general public at no cost; and
- Medical services provided by or under the supervision of medical provider or claimable under Medicaid and insurance; provided, however, TANF funds may be used for: Pre-pregnancy Family Planning Services if efforts to access such services by using other funding sources are not viable. Services for routine OB/GYN care or for other general health care services are not fundable.

Allowable Costs for TANF-Funded Projects

The Contractor agrees that TANF funds may be used, subject to the discretion of the Office, only for the following purposes:

a. Long term, recurrent family preservation services including:

- Counseling;
- Home visits;
- Crisis intervention services;
- Support groups;
- Parent or caretaker relative training;
- Case management;
- Mental health or drug assessments for caretakers that do not fit the criteria for medical services; and
- Child care and transportation costs for employed families that are incidental to the program
- And are not available through the social services district.

b. Commodities and/or benefits to meet immediate family needs pertaining to prevention of placements, retention of children with their families and communities, and family self-sufficiency, that are short-term (having a duration of less than four (4)) months **AND** that are non-recurrent in nature. Such benefits may be provided more than once to eligible participants if there is an expectation by the Contractor or subcontractor, at the time the commodities or services are provided, that the situation will not be repeated and that the particular benefits will not be provided on a regular basis thereafter such as:

- Housing security deposits;
- Care repairs;
- Telephone installation costs;
- Field trips; and
- Child care and transportation costs for unemployed families that are incidental to the program and are not available through the social services district.

c. Program support costs including:

- Supplies needed for support groups or participant events;
- Purchase of toys, books and other curriculum and educational materials directly related to achieving program goals;
- Justifiable staff training and staff transportation costs; and
- Minor renovations to the program site necessary for operation of the TANF-funded program to meet basic health and safety requirements or needs. Minor renovations must

be pre-approved by the Office as reasonable and necessary and must comply with all applicable local, State and Federal building, fire and safety codes, standards and laws.

d. Administrative costs that provide necessary support to the TANF-funded program if deemed to be reasonable by the Office provided the total administrative costs do not exceed any limit on such costs set forth in the Request for Proposals. Administrative costs are defined as costs for the general administration and coordination of the program, including costs for administrative functions and all indirect (or overhead) costs. Examples of allowable administrative costs include:

- The salaries and benefits of staff performing administrative and coordination functions;
- Costs associated with the preparation of program plans, budgets and schedules;
- Costs involved in monitoring;
- Public relations (may not be related to fund-raising or lobbying);
- Services relating to accounting, litigation, audits, management of property, payroll and personnel; and
- Costs for the goods and services required for the delivery of the administrative functions listed above, such as the costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space.

Program Specific Requirements: New York State Kinship Caregiver Program

All New York State Kinship Caregiver Programs must comply with the following requirements: Meeting prescribed performance targets and if not, utilizing a corrective action plan developed by OCFS;

- Utilization and timely completion of all OCFS forms including intake, progress notes, discharge summaries, quarterly, and final reporting documents;
- Meeting reporting schedule identified in Attachment D;
- Participation in quarterly conference calls coordinated by OCFS;
- Compliance with the requirements of the OCFS Kinship Caregiver data collection system;
- Participation in at minimum, one OCFS site visit and fiscal program audit yearly;
- Correct completion of Eligibility Certifications; and
- Comply with record retention requirements.