



**Office of Children  
and Family Services**

**ANDREW M. CUOMO**  
Governor

**SHEILA J. POOLE**  
Acting Commissioner

# **REQUEST FOR PROPOSALS**

## **Healthy Families New York Home Visiting Program**



ANDREW M. CUOMO
Governor

SHEILA J. POOLE
Acting Commissioner

Healthy Families New York Home Visiting Program

Request for Proposals
2016

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 as are the terms "bidder" and "applicant" or "offeror".

Timetable of Key Events:

Table with 2 columns: Event, Date. Rows include Opportunity Announced (6/3/16), Submittal of Question Deadline (6/10/16), Posted Date of Answers (6/17/16), Applications Due (7/8/16 by 3:00 PM EST), Awards Announced (8/1/16), and Contract Start Date (12/1/16).

Inquiries:

From the issuance of this Request For Proposals (RFP) until contractors are selected, all contacts with the New York State (NYS) Office of Children and Family Services (OCFS) personnel, except as otherwise specified herein, concerning this RFP must be made through: the RFP Unit, NYS OCFS, 52 Washington St., Room 202S, Rensselaer, NY 12144, via email at RFP@OCFS.NY.GOV with New York RFP Questions in the subject line.

Emailed questions can be of a technical nature, such as how to complete the RFP, or questions about substantive programmatic issues. All questions must be received no later than 5 PM EST, 6/10/16. OCFS will post an RFP Questions and Answers document on (Site location) by 6/17/16. No other communication will be released regarding the RFP or applications until awards are announced tentatively in early August 2016.



# Table of Contents

	Page#
<b>Section One ....BACKGROUND.....</b>	<b>6</b>
1.1 ... Introduction .....	6
1.2 ... OCFS Statewide Considerations .....	8
1.3... Purpose and Funding Availability .....	10
1.4 ... Term of Contract .....	10
1.5 ... Eligible Applicants.....	10
1.6... Standard Contract Language.....	11
1.7... Executive Order Number 38 – Limits on State-Funded Admin Costs & Executive Compensation.....	11
1.8... Contract Readiness .....	11
1.9... Accessibility of Web Based Information and Applications .....	13
1.10 Grants Gateway System (GGS) / Contract Management System (CMS) .....	13
<b>Section Two ....GENERAL REQUIREMENTS / INSTRUCTIONS .....</b>	<b>15</b>
2.1... Desired Outcomes and Program Requirements .....	15
2.2 ... Proposal Submittal Process.....	19
2.3 ... Selection Criteria (Pass/Fail Review Properties).....	21
2.4 ... Informational Meeting(s) and/or Technical Assistance Sessions .....	22
2.5... Contractor Employee-Volunteer Background/Confidentiality Non-Disclosure Agreement Forms.....	22
2.6.... Charities Registration.....	23
2.7... Federal Requirements .....	23
2.8... Vendor Responsibility Requirements.....	23
2.9 ... Workers Compensation Law.....	24
2.10... Required Electronic Payments and Substitute Form W-9 .....	25
2.11... Organizational Chart .....	26
2.12... OCFS Rights.....	26
2.13... Iran Divestment Act.....	27
2.14 ... Program Plan/Narrative Instructions including Objectives, Tasks and Performance Measures .....	28
2.15... Proposed Budget and Instructions.....	31
<b>Section Three ....CONTRACT POLICY INFORMATION .....</b>	<b>37</b>
3.1 Minority-and Women-Owned Business Enterprise (M/WBE)-Equal Employment Opportunity/EEO Requirements and Procedures .....	40
3.2... Omnibus Procurement Act .....	42
3.3... OCFS Procedure for Handling of Protests/Appeals of Bid Specifications and Proposed Awards.....	45
3.4... Service-Disabled Veteran-Owned Business (SDVOB) .....	45
<b>Section Four ....KEY CONCEPTS .....</b>	<b>47</b>
4.1... Healthy Families America Best Practice Standards .....	47
4.2... Program Specific Terms and Conditions .....	49
4.3... Additional Information .....	49
<b>Section Five ....GLOSSARY .....</b>	<b>50</b>
5.1 ... Glossary of Outcome-based Contracting Terms .....	50
5.2 ... Glossary of Terms Commonly Used in Healthy Families New York .....	52
<b>Section Six ....CONTRACT DOCUMENTS .....</b>	<b>55</b>
6.1 ...Master Contract for Grants .....	55
<a href="http://grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.pdf">http://grantsreform.ny.gov/sites/default/files/docs/nys_master_contract_for_grants_8_14.pdf</a>	
<u>Includes:</u>	
Face Page	
Signatory Page	
State of NY Master Contract for Grants (Terms and Conditions)	
Attachment A-1: Agency Specific Terms and Conditions)	
Attachment A-2: Federally Funded Grants)	
Attachment B: Budget	
Attachment C: Work Plan	
<u>Includes:</u> .....	Program Plan/Narrative Instructions/Outcomes/Performance Targets
Attachment D: Payment and Reporting Schedule	
<b>Section Seven ....DISPROPORTIONATE MINORITY REPRESENTATION (DMR):.....</b>	<b>56</b>
<b>Child Welfare and Juvenile Justice Systems</b>	
<b>Section Eight ....PROGRAM RELATED RESOURCES .....</b>	<b>57</b>

8.1 ...Healthy Families New York Performance Targets 2015-2016.....	57
8.2 ...Healthy Families New York Performance Indicators 2015-2016 .....	60
8.3 ...Healthy Families New York Work Plan for Contract Development.....	61
8.4 ...Guidance to Determine Number of Families to be Served .....	62
8.5 ...Required Number of Assessments to Support Program Capacity .....	63
8.6 ...Selection of Curriculum .....	64

## **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 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: <https://grantsgateway.ny.gov>. 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 providing quality home visiting services through the Healthy Families New York (HFNY) home visiting program in some of the highest need communities in New York State where intensive home visiting services are unavailable. Healthy Families New York (HFNY) home visiting program is a comprehensive prevention program that focuses on the safety and well-being of children while at the same time supporting families with services that are respectful of cultural and community diversity.

This Request for Proposal (RFP) addresses the operating principles and OCFS's commitment to promoting services that are developmentally appropriate, family-centered, and responsive to local needs, community-based, culturally and linguistically competent and demonstrates effectiveness in achieving desired outcomes.

OCFS has developed a Child Welfare Practice Model which aligns all of 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 OCFS' vision, OCFS has identified practices and strategies which are intended to improve outcomes for children and families in New York State. HFNY has been identified as a key prevention strategy, which has significant and positive effects on a range of outcomes for children and families.

HFNY is a voluntary home visitation program for expectant parents and families with infants that promotes optimal prenatal care, better birth outcomes, and positive growth and development in order to improve parent child bonding, maternal and child health and social outcomes for families at high risk of abuse or maltreatment and poor health outcomes. The program provides intensive home visitation services bi-weekly during the prenatal period, weekly until the child is at least six months old, and periodically thereafter based on the needs of the family until the child begins school or Head Start.

Started in 1995, HFNY is part of the national Healthy Families America (HFA) network, sponsored by Prevent Child Abuse America. Currently there are more than 600 affiliated HFA program sites in 40 states, Washington, D.C., and all five US territories: Guam, Puerto Rico, US Virgin Islands and Northern Commonwealth of the Marianas, American Samoa and Canada. HFNY is a Healthy Families America (HFA) accredited program. All HFA accredited sites follow the Best Practice Standards that are essential for a comprehensive quality home visiting program.

To obtain a copy of the Healthy Families America Site Development Guide, visit the HFA website at [www.healthyfamiliesamerica.org](http://www.healthyfamiliesamerica.org).

A total of \$1.0 million will be available to fund this RFP. These funds are as a result of adoption assistance savings which OCFS is reinvesting into preventive services for children at risk of entering foster care. This funding will provide an opportunity to begin new or expand existing HFNY home visiting programs in high-need and underserved communities. Additional consideration and points will be awarded for proposals in areas where intensive home visiting services do not already exist. Applicants should use the 2011-2013 New York State vital statistic data in order to determine the geographical need with regard to issues surrounding premature births, low birth weight, out of wedlock births, Medicaid births, infant death rates, late or no pre-natal care, neonatal death rate and the teen birth rate. For vital statistic information (to determine the number of live births) sorted by city, town, or county, visit the NYS Department of Health website at [http://www.health.ny.gov/statistics/chac/perinatal/county/2011-2013/county\\_list](http://www.health.ny.gov/statistics/chac/perinatal/county/2011-2013/county_list) From this site you may get the pertinent data by clicking on the County where your target population is located.

HFNY is well positioned to address the risks associated with these community needs given the program's effectiveness in improving birth outcomes and child health, preventing child abuse and maltreatment, enhancing parenting competences, and improving children's educational outcomes. In counties where there is an existing HFNY program, only additional zip codes of highest need will be considered. For all other areas, the entire county will be considered as a whole unless otherwise specified in the proposal. Applicants should utilize the above web site for vital statistics data in order to determine the highest area or areas of need in the community to be served.

In order to receive funding through this RFP, applicants must agree to abide by all applicable state and federal laws, rules, regulations and policies and agree to be accredited by HFA. In addition, all funded program staff must participate in all required trainings, agree to participate both in the data management system created for the program and in the evaluation of the program, and participate in bi-monthly State Leadership meetings. Executive directors of the lead agency and/or any subcontractors must agree to attend any required initial trainings. While the cost of training is covered for most HFNY staff, the applicant should account for their participants travel and lodging in the proposed Budget. Likewise travel costs for all State Leadership meetings should also be included.

Accepted applications will be ranked according to a final score from highest to lowest within each geographical region listed below, except in New York City where the final 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

**1.2 OCFS Statewide Considerations**

The mission of OCFS 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 and visually impaired.

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 New York State. Paramount is ongoing self-assessment within "the system" 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 RFP provides localities with 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 which 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 ongoing assessment and enhancement of services which 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 which 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. It also entails a consideration of issues related to the underrepresentation of Blacks, Native Americans and Latinos in various service delivery 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 75 percent of the state's children in foster care and about 85 percent of the juvenile justice placements. OCFS views this RFP as an opportunity to heighten public awareness of the issue of disproportionality and to begin 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**

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

OCFS is issuing this RFP and estimating that a total of \$ 1.0 million will be available for the development of new and/or the expansion of existing HFNY programs to serve high need areas. Applicants may apply for a maximum of \$500,000 annually for five years to start a HFNY home visiting program or a maximum of \$200,000 annually for five years for the expansion of an existing HFNY program. Only one application per organization will be accepted. The estimated cost per family for HFNY is currently \$4,500 in up-state New York and \$5,000 in the New York City area. A 10 percent local match of total funds awarded to an applicant is required. This match can be in-kind services. Other state or federal funds cannot be used as required local match.

**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 contract awarded to the HFNY Home Visiting program as a result of this RFP will be for a five year term, subject to successful renewals on an annual basis. The Grantee will be expected to cooperate with an abbreviated but rigorous contract development process which will culminate in an anticipated project start-up on December 1, 2016, or when the contract is approved by OSC (whichever is later) and an end date of November 30, 2021. Terms and conditions of a contract 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**

Eligible organizations include:

- Social services and health services agencies incorporated as a not-for-profit corporation;
- Local government agencies;
- Tribal organizations;
- Other 501(c)(3) organizations, including but not limited to community and faith-based organizations, BOCES programs; and
- Religious organizations organized pursuant to the Religious Corporation Law or other incorporated faith-based or religious organizations. Faith-based organizations are of three types: (1) congregations; (2) national networks, which include national denominations, their social service arms (for example, Catholic Charities, Lutheran

Social Services), and networks of related organizations (such as YMCA and YWCA); and (3) freestanding religious organizations, which are incorporated separately from congregation and national networks. Faith-based or religious organizations for the purposes of this RFP do not include a for-profit business corporation or organization and may not be organized or operated for the benefit of private interests.

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

Section 702 of the Non-for-Profit Corporation Law requires that a non-for-profit corporation have at least three board members. The applicant must attach minutes and attendance lists for 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 may begin or payments made under the contract. 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 Executive Order Number 38 and the applicable OCFS regulations to include Title 18 New York Codes Rules and Regulations (NYCRR) Part 409 and Title 9 NYCRR Sub-part 166-5. The Executive Order can be found at the following website address: <https://www.governor.ny.gov/executiveorder/38>.

**LEGAL NOTICE:** Based upon the April 8, 2014 decision in Agencies for Children's Therapy Services, Inc. v. New York State Department of Health, et al. ("ACTS"), covered providers conducting business in Nassau County need not file Executive Order 38 disclosures. For purposes of this notice, "conducting business" means having a place of business within Nassau County, providing program services or administrative services involving the use or receipt of state funds or state authorized payments within Nassau County, or otherwise conducting business within Nassau County in relation to which executive compensation is paid. Please note that the ACTS decision is under appeal. Those affected the ACTS' decision should periodically check the EO 38 website for updates regarding any changes to this notice.

## **1.8 Contract Readiness**

New York State's prompt contracting and vendor responsibility law 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@its.ny.gov](mailto:grantsreform@its.ny.gov). If you do not know your Password please click the [Forgot Password](#) link from the main log in page and follow the prompts.

**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@its.ny.gov](mailto:grantsreform@its.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 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 State-wide Financial System (SFS) Central Vendor Registry File and provide their Identification Number at the time of contracting. To register and for additional information on the Vendor File, visit:

[http://www.osc.state.ny.us/vendor\\_management/index.htm](http://www.osc.state.ny.us/vendor_management/index.htm)

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 in section 2.8. To determine the status of your Charities Registration information, contact: [http://www.charitiesnys.com/RegistrySearch/show\\_details.jsp?id](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**

Over the last 20 years, HFNY has grown to 37 programs in 26 counties and the five boroughs of New York City. Evaluation results from a Randomized Control Trial (RCT) conducted by the OCFS Bureau of Research, Evaluation and Performance Analytics, in collaboration with the Center for Human Services Research (CHSR) at SUNY Albany, have identified many positive outcomes for HFNY participants.

#### ***Birth Outcomes & Child Health***

- 48 percent reduction in low birth weight deliveries among home visited women who enrolled before the 31<sup>st</sup> week of pregnancy.
- Children of women who were visited in the home were more likely to have health insurance by age one.

#### ***Child Abuse & Neglect***

- Sustained reductions in maternal reports of harmful parenting practices at ages one, two and seven were found for women who received home visits.
- 50 percent reduction in subsequent confirmed child protective services reports after seven years for mothers with a confirmed CPS report prior to program entry.
- 49 percent reduction in the rate at which children of young, first-time moms who enrolled in HFNY early in pregnancy were confirmed as victims in CPS reports between the ages of five to seven.

#### ***Supports Positive Parenting Competencies***

- At age two, mothers who were visited in the home were more likely to endorse appropriate limit setting strategies.
- At age three, mothers who were visited in the home were more likely to be observed using parenting strategies that stimulated the child's cognitive skills and were sensitive to the child's needs and cues.
- At age seven, mothers who were visited in the home used non-violent discipline strategies more often.

#### ***Promotes Success in School***

- 50 percent less likely to repeat first grade.
- 70 percent more likely to score above grade level in first grade on three specific behaviors that promote learning: working or playing cooperatively with others, following directions or classroom rules, and completing home or class work on time
- 2.7 times more likely to be participating in a gifted program by age seven
- 26 percent reduction in receipt of special education services by age seven
- 23 percent reduction in below average scores for receptive vocabulary for children of young, first-time mothers who enrolled in HFNY early in pregnancy

#### ***Saves Money***

- As a result of reductions in low birth weight births, the cost to serve a family during pregnancy (approximately \$1000) is totally recovered by the time of the child's birth

- For mothers with histories of indicated child protective service (CPS) reports, HFNY generates a return of more than \$3 for every \$1 invested by the child's seventh birthday

Based on the evaluation's rigorous random assignment design and program's significant and positive effects on a range of outcomes, HFNY was designated as a "proven program" by RAND's Promising Practice network and an effective program by both Child Trends and the Office of Juvenile Justice and Delinquency Prevention. These findings also played a role in the designation of HFA home visiting programs like HFNY, as meeting the federal Department of Health and Human Services (DHHS) criteria for an evidence-based early childhood home visiting service delivery model.

Collaboration with health agencies (i.e., hospitals, clinics) and private practice physicians providing prenatal care and pediatric services, as well as with local departments of health and local departments of social services, is critical in order to achieve New York's goal that all pregnant women and new parents who reside in the target area are screened for eligibility for the service (Universal Screening). Involvement of nontraditional community based agencies is also required to engage women who do not seek prenatal care.

OCFS is interested in supporting local social services districts in screening and referring families to HFNY programs. Applicants need to align their proposal to the needs/priorities of the local social service districts and health departments. Applicants are strongly encouraged to initiate communication and planning with their local social services districts and local department of health early in the development of their application.

OCFS strongly encourages each applicant to include letters of support and participation from community partners including at least one birthing hospital, Women Infants and Children (WIC), and at least one prenatal clinic, stating they will participate in the screening and referral of families to the HFNY program. Additionally, applicants are strongly encouraged to include letters of participation or commitment from both the local department of health and the local department of social services, stating their commitment to making referrals, and possibly providing in-kind services and funding to the HFNY program.

Required activities include adhering to the HFA Best Practice Standards [http://www.healthyfamiliesnewyork.org/admin\\_docs.cfm](http://www.healthyfamiliesnewyork.org/admin_docs.cfm). The applicant will collaborate with local public and private institutions and agencies, as well as utilizing creative outreach to enroll families prenatally or families with newborns in the HFNY Healthy Families home visiting program. Concerted efforts must be made to engage fathers in the program as well.

In addition to providing home visiting services, programs may conduct parenting support groups and family centered outings, and participate in community events.

The desired outcomes for the HFNY home visiting program are to:

- Promote positive parenting skills and parent-child interaction;
- Support optimal prenatal care, better birth outcomes, and child health and development;
- Enhance family self-sufficiency; and
- Prevent child abuse and maltreatment.

Standard Performance Targets and Performance Indicators for HFNY programs statewide outline program outcomes for applications funded through this RFP. The strategies to meet the Statewide Performance Targets should be outlined in the proposed program description. The application must also set forth Performance Indicators (See section 8.1 and 8.2 of this RFP) and HFA Best Practice Standards, which may be accessed at the following link: [http://www.healthyfamiliesnewyork.org/admin\\_docs.cfm](http://www.healthyfamiliesnewyork.org/admin_docs.cfm). Performance Targets are measured quarterly and the Performance Indicators are measured in six month timeframes. Each funded program is required to report against these performance objectives on a quarterly basis. Additional information is also gathered through interviews, review of the Management Information System to provide evidence that the Best Practice Standards are being adhered to.

The following are additional program components, individually or in combination, which may be included in the application proposal:

- Promoting father involvement
- Co-location or collaborations with experts in the fields of Mental Health, Domestic Violence, and Substance Abuse
- Collaborations with employment services/agencies, educational programs/institutions, financial services for participants
- Early Literacy Programs
- Cognitive Based Therapy

**For a list of program-specific terms and conditions please refer to Section 4 of the RFP entitled Key Concepts.**

The cost per family for HFNY is currently estimated at \$4,500 per family in upstate New York and \$5,000 per family in the New York City area. Every full-time Home Visitor/Family Support Worker should serve approximately 20 families at varying levels of intensity at any one time (see Sections 8.4 of this RFP). To help determine the number of assessments needed in order to reach and maintain capacity, please see Sections 8.4 and 8.5 of this RFP.

### **Program Structure**

The lead agency serves as the applicant for funding under this RFP. For a project funded under the RFP, the lead agency has a formal contractual responsibility with OCFS and any and all subcontracted agencies that provide HFNY services in the community. The lead agency is responsible for reporting to OCFS regarding the program's success in meeting its objectives, Performance Targets and Performance Indicators. The lead agency is also responsible for monitoring any subcontractors and providing data to OCFS on the number of families served, demographic information, and data on the quality and quantity of services provided. It is recommended that the proposal include no more than one subcontractor to provide services to families.

### **Staffing/Leadership**

Guidance of HFNY comes primarily from the Central Administration Team, comprised of OCFS, SUNY Center for Human Services Research (CHSR), and Prevent Child Abuse NY (PCANY).

Currently, OCFS provides overall management of the initiative and funding, as well as ongoing support to the 37 HFNY program sites, through monitoring, technical assistance, training, and evaluation. OCFS staff conducts frequent site visits to provide technical assistance and monitor compliance with HFA and HFNY standards. In addition, OCFS contracts with CHSR to maintain the MIS, a comprehensive data system for HFNY, which collects information that is used in managing and accessing the performance of the programs. OCFS has established Performance Targets and Performance Indicators to assist the program sites to stay focused on the goals of HFNY. The performance of the program sites is assessed on a regular basis against these targets and indicators, and technical assistance is provided to programs whose performance falls below expectations. OCFS contracts with PCANY to conduct core training and advanced training on selected topics for all HFNY staff, and to visit each site every 1-2 years to observe home visits, assessments and supervisory sessions as well as provide site support, as part of OCFS's quality assurance efforts.

### **Key Staff**

HFNY program sites are managed by **Program Managers**. The Program Manager develops, directs and guides the program in achieving its objectives. The manager should have a solid understanding of and experience in: managing and motivating staff as well as providing support in a stressful work environment; administrative experience in human service programs; experience with services that embrace the concepts of family-centered and strength-based service provision; knowledge of maternal infant health concepts and child abuse and maltreatment; experience in providing services to culturally diverse communities and families; experience in home visitation with a strong background in prevention services to the 0-3 years of age population. A master's degree in social work or health is strongly recommended. Since this job involves a multitude of responsibilities, excellent organizational and time management skills are essential.

Primary duties include selection and training of staff, supervision of staff to ensure accountability and growth, quality services for all families, liaison with other agencies, contract and fiscal management, oversight of data management system, and ongoing program development as appropriate. The Program Manager attends and participates in bi-monthly HFNY Statewide Leadership meetings.

The **Program Supervisor** is responsible for direct supervision of the HFNY Home Visitors. They schedule and direct the work of the Home Visitor; assist in interviewing, hiring, evaluating, training, provide supervision, quality services and monitoring of the Home Visitor's performance; maintain a work environment that provides maximum support for well-being; are responsible for acquiring necessary materials for staff; conduct or arrange for family and child assessments during home visiting; conduct participant record reviews and oversee quality of data management system; provide documentation on services needed by and provided to each family; and, perform other related duties as assigned. There is one supervisor for every five direct service staff.

Under the supervision of the Program Supervisor, or in some cases of the Program Manager, the **Home Visitor** is responsible for reviewing hospital or clinic records; completing participant record screens when necessary; interviewing parents to conduct the assessment using the *Kempe Family Stress Checklist*, prenatally and/or immediately after the birth of their child; providing information and referral services; making outreach efforts in the community to

engage families who do not seek traditional social/healthcare services; and interfacing with other agencies.

Under the direct supervision of the Program Supervisor, the **Home Visitor** is responsible for initiating and maintaining regular contact with families, primarily in their homes; establishing a trusting relationship with families; providing prenatal and other health and child development education; assisting to strengthen parent-child relationships; assisting parents to improve their skills to optimize the home environment for the child's well-being and safety; assisting in making and attending health and human service appointments, including activities related to employment and educational goals; and collecting data related to each of these activities.

The **Data Manager (optional)** enters all data into the MIS managed by SUNY CHSR. Entering the data is required. You may want to include a staff member that is responsible to meet this requirement. This position can be full or part-time depending on the size of the program.

**Child Development Specialists** are either on staff or hired as consultants to review the child's development assessment tool, *The Ages and Stages Questionnaire*, and to offer training and consultation for program staff.

The staffing for the proposed project should be representative of the community, cultures and languages of persons targeted to receive services.

For a more detailed explanation of staff recruitment, job descriptions and qualifications, see the HFNY Policy and Procedure Manual located at [www.healthyfamiliesnewyork.org](http://www.healthyfamiliesnewyork.org). For additional staffing and budgeting information, see the HFA Site Development Guide located at [www.healthyfamiliesamerica.org](http://www.healthyfamiliesamerica.org).

## 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: <http://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](mailto: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://grantsgateway.ny.gov> .

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.

<http://grantsreform.ny.gov/Grantees>

Grants Reform Videos (includes a document vault tutorial and an application tutorial) on YouTube: <http://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](mailto:helpdesk@agatesoftware.com)  
(Technical questions)

Grants Team Email: [Grantsreform@its.ny.gov](mailto:Grantsreform@its.ny.gov)  
(Proposal Completion, Policy, and Registration questions)

<https://grantsgateway.ny.gov>

### **Proposal Due Date**

The due date and time for the submission of applications in response to this RFP into the Grants Gateway System (GGS) is 7/8/16 3:00 PM Eastern Standard Time (EST). The **GGS** will not accept proposals/applications 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)**

Proposals/applications must meet the following minimum criteria to be considered for review. Program must consider the technical and fiscal requirements in developing this section. Please note that RFPs open to not-for-profits must contain a minimum of three members on the Board of Directors, and this will be confirmed by checking the Document Vault during the application review process.

- Application/proposal, including completed budget form, must be received by 7/8/16 3:00 PM EST.
- The organization applying must be considered eligible to apply; please see section 1.5 above entitled Eligible Applicants for a complete list of those organizations that are considered eligible to apply to this RFP.
- Applicants must be prequalified in the NYS Grants Gateway System.
- Applicants must propose to serve the entire county where there is no existing HFNY program unless the highest need is determined to be in a concentrated location, or as an expansion of an existing HFNY program to unserved zip codes of high need as applicable.
- Applicants must become an accredited HFA program. A contract cannot be awarded unless the applicant agrees to participate in the HFA accreditation process. Additionally HFA affiliation fees will be required on an annual basis. HFA affiliation fees are determined by the size of the program and number of families served and should be included in the proposed budget.

Bonus points will be awarded to proposals in areas where there are no intensive home visiting services available to families. Intensive home visiting services for the purposes of this RFP would be defined as home visits that occur on a regular basis for all program participants in any given area. Ten bonus points will be allotted to areas where these services do not currently exist. For existing HFNY programs, an additional bonus point will be allotted for each of the following:

- Achieved 90 percent of the Performance Targets over the last eight quarters ending 3/31/16. (1 point)
- Achieved 10 of 12 Performance Indicators over the last two years ending 3/31/16 (excluding Indicator 12- Utilization) (1 point)

- Achieved 85 percent or greater of the contracted utilization for the last four quarters (1 point)

Applications will be reviewed and scored by teams of trained reviewers using a structured, pre-approved review instrument. Applications that receive a score of a minimum of seventy-five points or more will be considered for funding. Applications will be sorted into geographic regions (as described in section 1.1) for funding consideration.

Any proposal that achieved a minimum passing score of 75 or more but is not selected to receive an award through this RFP will be designated as “approved but not funded” (ANF). Should additional funding become available to support HFNY programs, additional awards will be made to fund these ANF proposals in accordance with the purpose and funding availability described in Section 1.3 of the RFP.

Recommendations will be based on highest scoring applications and other factors such as funding availability and relevant data including recurrence of child abuse and maltreatment. In the event of a tie between two or more proposals, a third reviewer will review and rate the proposals. The final score will be based on the average of the tie score and the third reviewer score.

OCFS will invest in services that are responsive to the considerations for Racial Equity and Cultural Competence (RECC) outlined in section 1.2 above ‘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.

Proposed budgets must demonstrate a clear relationship between the funds requested and the program activities and objectives. The proposed budget must include sufficient funds to operate the program successfully.

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

Not Applicable

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

OCFS is responsible for maintaining the safety of the children and youth in its care. State law requires that any client identifiable information be kept confidential. Any contractor who will provide goods and/or services to a residential facility or programs operated by OCFS must require all of its employees and volunteers who will have the potential for regular and substantial contact with youth in the care or custody of 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)**

The services provided under any contract that is developed in response to this RFP must support and sustain positive permanent outcomes for children who otherwise might enter into foster care in accordance with federal requirements. OCFS may be required to report information or data on HFNY programs funded under this RFP in order to meet federal requirements for use of the delinking savings. Such data may be requested from HFNY programs funded under this RFP as deemed necessary.

## **2.8 Vendor Responsibility Requirements**

New York State Finance Law § 139-k requires that state agencies award contracts to responsible vendors 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 vendor 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 a vendor responsibility determination before the award is made and such determination can be revisited by OCFS 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 RFP 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 status of the vendor. 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](mailto:ciohelpdesk@osc.state.ny.us).

The New York State VendRep System offers the following benefits:

- Ease of completion, filing, access to and submission of the questionnaire. Efficiencies are multiplied for vendors who bid and contract with the state frequently or with multiple state agencies.
- Questionnaire updates are easily filed by updating only those responses that require change from the previously saved questionnaire. (As opposed to a paper copy where a new questionnaire is required each time there is a change.)
- The stored questionnaire information eliminates the need to re-enter data for each subsequent questionnaire submission.
- Reduction of costs associated with paper documents including copying, delivery and filing.
- 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 six months of the proposal due date. Any subcontractors under that proposed contract must also complete a Vendor Responsibility Questionnaire when the value of the subcontract is projected to be \$100,000 or more for the contract term. Refer to above 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 (ePayment).

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 ePayment 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 proposal must include a current Organizational Chart that depicts the Healthy Families Program Portion of your organization. Additionally, in the Grants Gateway you will need to include the entire organization structure and indicate 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 Agency Organizational Chart in the Grants Gateway Document Vault. The separate Healthy Families Program Organizational Chart will need to be uploaded with your proposal.**

## 2.12 OCFS Rights

OCFS reserves the right to:

1. Place a monetary cap on the funding amount made in the 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 at any time 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 or add any RFP requirements 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/Offerors 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 Program Plan / Narrative including Objectives, Tasks and Performance Measures**

### 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 should consist of the following sections:

1. Organizational Experience
2. Community and Target Population
3. Objectives, Tasks and Performance Measures
4. Project staff
5. Proposed Project Description and Activities Community Collaboration

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 review appear in (parentheses) in 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 be defined in Section 2.3 Selection Criteria. Proposals that are submitted in compliance with the stated RFP'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. Organizational Experience (0-5 Points):**

This section should provide evidence that it has organizational capacity to successfully implement and manage a Healthy Families Program successfully. Describe how the management and advisory board of your agency supports the proposal for this program and will contribute in meaningful ways to the success and sustainability of the program. Also demonstrate the organization's ability to become affiliated with Healthy Families New York and achieve accreditation by Healthy Families America as part of the Healthy Families New York Multi-Site System. Describe any experience working with OCFS in the last five years including your contracting experience and impact of the program on client outcomes. In addition, if the organization currently operates a HFNY program please describe any challenges experienced in meeting utilization and how you will address these challenges in the potential expansion of this program. Attach an organizational chart that shows how this program fits into the organization's goals and mission (i.e. size/type of organization, types of programs offered, location, etc.). **Please update your Agency Organizational Chart in the Grants Gateway Document Vault. A separate Healthy Families Program Organizational Chart will need to be uploaded with your proposal.**

**2. Community and Target Population (0-30 Points)**

This section should include a description of the target population to be served, including its characteristics, strengths, and needs. The description must present a clear understanding of the particular needs and/or problems of the target population that the program seeks to address. Proposal provides information on similar services available. Preference will be given to communities where there are no intensive home visiting services available for families. Proposals demonstrate that the target population and other stakeholders had input in the program design and provides for a plan for continuous client feedback on services. The proposal will also describe the number of persons to be served and how the applicant arrived at this number. The proposal should also include the geographic area, eligibility criteria, location of services, and hours of program operation. Proposal will demonstrate an understanding of racial equity/disproportionate issues and approaches for addressing when applicable and other indicators of need for services in this community.

(An additional 10 bonus points will be awarded for proposals that will serve areas without existing intensive home visiting services)

**3. Objectives, Tasks and Performance Measures: (0-13 Points)**

This section should include specific outreach and engagement strategies that will be used to achieve the Healthy Families New York Performance Targets (see Section 8.1 of this RFP) and Performance Indicators (see Section 8.2 of this RFP). Include how and where the program will locate and engage hard to reach at risk families, as well as the strategies the program will utilize to encourage families to continue to stay engaged with the program and complete home visits. This section should include the program's policy and procedures for quality assurance and

continuous quality improvement. Include how the program will use data in the Healthy Families New York Management Information System (MIS), as well as family and worker input to inform practice. If there is a current HFNY contract with OCFS please include whether the program has any challenges meeting the HFNY Performance Indicators, Performance Targets, and Utilization targets.

For existing HFNY programs an additional bonus point will be allotted for each of the following:

- Achieved 90 percent of the Performance Targets over the last eight quarters ending 3/31/16. (1 point)
- Achieved 10 of 12 Performance Indicators over the last two years ending 3/31/16 (excluding Indicator 12- Utilization) (1 point)
- Achieved 85 percent or greater of the contracted capacity for the last four quarters ending 3/31/16. (1 point)

**4. Project Staff: (0-10 Points)**

This section should include staffing patterns, staff qualifications/requirements, staff development and staff supervision. Include how staff orientation and training will be provided, along with the supervision plan. Describe your agency's ability to recruit and retain qualified staff that represents the culture and language of the community served.

**5. Proposed Project Description and Activities: (0-25 Points)**

This section should describe how your organization will deliver specific program requirements and the full range of services to be provided. The work plan should also include how these services contribute to outcomes, including the Performance Targets and Performance Indicators. The proposal should explain the program implementation plan and start-up time if a new program or current status if an existing program. Proposal should explain interaction with participants from first contact to completion of the program including strategies that attract, engage, and retain the target population. Proposal describes the services responsiveness to the cultural and linguistic need of the community to be served. Cultural sensitivity and appropriateness are critical.

**6. Community Collaboration: (0-10 Points)**

This section should include the identification of current and potential community partners and referral resources in the community including a description of how these partners and referral sources were identified. The work plan should explain the partners/referral relationships and the role of each. Include the program's plan to maintain/renew relationships throughout the year and which community partners/referral sources will participate on your advisory board and who from the community collaborated on this proposal. Proposal should also demonstrate how this program interfaces with other inter-agency and community-based services.

**2.15 Proposed Budget – Instructions (0-20 Points)**

Each category below has its own 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.
- 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:**

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.

**Local Match:**

- There is a required local share match of 10 percent of the grant award.
- Other State or Federal funds cannot be used as a required local match.

- The local share match may be reflected in any budget category – It does not need to be in the same category as the required OCFS funds.
- The local match can be cash or in-kind.

## 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 percent of time and one for Administrative responsibilities with associated percent 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. Bonuses for staff are not permitted.

**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 in the NYS Office of the State Comptroller’s Guide to Financial Operations (GFO) at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/> **See Chapter VII. State Revenues, Section 9. Fringe Benefits and Indirect Costs.** 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 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 Cost**

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  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.

#### **MWBE Business Participation Opportunities for M/WBEs – OCFS Established Goals**

For purposes of this solicitation, OCFS hereby establishes an overall goal of 30% for M/WBE participation. OCFS recommends that whenever practicable, Contractors attempt to equally utilize Minority-Owned Business Enterprises ("MBE") (15%) and Women-Owned Business Enterprises ("WBE") (15%) participation in the performance of the contract. 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, goods and services in the performance of a contract with OCFS, however strict adherence to the suggested MBE and WBE utilization is not required as long as the overall goal of 30% is met.

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 MWBEs 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](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 requirement 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 (7) 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 Form, along with required documentation, must be **signed and emailed to: [mwbeinfo@ocfs.ny.gov](mailto: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**.

### **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

### **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 four (4) 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, goods and services in the performance of a contract with OCFS..

## Project Staffing Plan

[OCFS-4629 - Project Staffing Plan Form](#)

(\*Applies to Contract Awardees ONLY)

This form is required for contracts with a total value in excess of \$250,000. It is to be completed by the awardee and submitted prior to the state date of the contract.

**Completed Form: To be signed and emailed to:** [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).

## Equal Employment Opportunity Policy Statement

[OCFS-3460 – MWBE – 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 Form: To be signed and emailed to:** [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).

## MWBE Utilization Plan

[OCFS-4631 – MWBE Utilization Plan Form](#)

(\*Applies to Contract Awardees ONLY)

During the contract development stage, the awardee must provide an MWBE Utilization Plan 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. OCFS requires that all entities awarded state funded contracts submit MWBE utilization plans via the website (known as New York State Contract System – NYSCS) located at <https://ny.newnycontracts.com>. **Completed Form: To be signed and emailed to:** [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov).

## MWBE Compliance Reporting

[OCFS-4441 - M/WBE Quarterly Report Form](#)

(\*Applies to Contract Awardees ONLY)

Information relating to the MWBE utilization in the performance of the contract must be reported periodically throughout the term of the contract. This form is to be completed and submitted by contractor within 30 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. Contracts containing state funds must report this information through the New York State Contract System (NYSCS) at <https://ny.newnycontracts.com>. **Completed Form: To be signed and emailed to [mwbeinfo@ocfs.ny.gov](mailto:mwbeinfo@ocfs.ny.gov)**

### 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](http://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](mailto: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](mailto:mwbecertification@esd.ny.gov)  
<https://ny.newnycontracts.com>

**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 <https://ny.newnycontracts.com>. 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 Formal Protests and Appeals**

Section 1: Applicability

Section 2: Definitions

Section 3: Informal Complaints  
Section 4: Formal Protest and Appeal Procedure  
Section 5: Appeal to Office of the State Comptroller

### **Section 1: Applicability**

The intent and purpose of these procedures is to set forth the steps that must be taken when an interested party challenges a contract award by OCFS. These procedures shall apply to all contract awards made by OCFS.

### **Section 2: Definitions**

1. "Interested party" shall mean a participant in the procurement process and those whose participation in the procurement process has been foreclosed by OCFS.
2. "Contract award" shall mean a written determination from OCFS to an offeror, indicating that OCFS has accepted the offeror's bid or offer.
3. "Formal 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.
6. "Formal protest determination" shall mean the determination of a formal protest by the Associate Commissioner for Financial Management of OCFS or his or her designee.
7. "Decision after appeal" shall mean the decision on the appeal of a formal protest by the Executive Deputy Commissioner of OCFS or his or her designee.

### **Section 3: Informal Complaints**

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' response to the informal complaint or inquiry will indicate the existence of the Formal Protest and Appeal Procedure available to the interested party should the informal process fail to resolve the matter.

Final OCFS determinations or recommendations for award after any attempt to resolve the matter informally may be reconsidered only in the context of a formal protest.

### **Section 4: Formal Protest and Appeal 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 believes 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 (10) 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 (5) business days after the protesting party knows or should have known of the facts that constitute the basis of the formal 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 (OSC).

## B. Review and Formal Protest Determination

1. Formal protests must be filed with the OCFS Associate Commissioner for Financial Management. Any protests filed with the OCFS Program Division responsible for the procurement will be forwarded to the Associate Commissioner for Financial Management. Copies of all formal protests will be provided by the Associate Commissioner for Financial Management to the OCFS Division of Legal Affairs and other necessary parties within OCFS, as determined by the Associate Commissioner for Financial Management.
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 ("designee") to determine and undertake the initial attempted resolution or settlement of any formal protest.
3. The OCFS program division responsible for the procurement will conduct a review of the records involved in the formal protest, and provide a memorandum to the Associate Commissioner for Financial Management or the Associate 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 formal protest.
4. The OCFS Associate Commissioner for Financial Management or his or her designee shall hear and make a formal protest determination on all formal protests. A copy of the formal protest determination, 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 (30) business days of receipt of the formal protest, except that upon notice to the protesting party such period may be extended

by OCFS. The formal protest determination will be recorded and included in the procurement record, or otherwise forwarded to the OSC.

### C. Appeal of Formal Protest Determination

1. If the protesting party is not satisfied with the formal protest determination, the protesting party **must** submit a written notice of appeal to the Executive Deputy Commissioner of OCFS no more than fifteen (15) business days after the date the formal protest determination is sent to the protesting party.
2. The Executive Deputy Commissioner or his or her designee shall hear and make a decision after appeal 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 formal 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 formal protest determination. The receipt of a formal 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 formal protest and any appeal will be included in the procurement record. If a formal protest determination, or a decision after appeal, has been reached prior to transmittal of the procurement record and the contract(s) to OSC, a copy of the formal protest determination or decision after appeal will be included in the procurement record and with the contract(s).
  - b. If a formal protest determination or decision after appeal is made after the transmittal of the procurement record and contract(s) to OSC, but prior to OSC approval, a copy of the formal protest determination or decision after appeal 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 (1) year following resolution of the formal protest. All other records concerning the procurement shall be retained according to the applicable requirements for records retention.

### **Section 5: Appeal to the Office of the State Comptroller**

If the protesting party is still not satisfied with the result of its protest after conclusion of the formal protest and appeal procedure described above, the protesting party **must** file a written appeal with the OSC no more than fifteen (15) business days after the date a decision after appeal is sent to the protesting party. An appeal to the OSC, Bureau of Contracts, must be in writing and must contain the specific factual and/or legal allegations setting forth the basis upon 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, 11<sup>th</sup> Floor Albany, NY 12236.

### **3.4 SERVICE-DISABLED VETERAN-OWNED BUSINESS (SDVOB)**

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

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

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

## **Section Four.... KEY CONCEPTS**

### **4.1 Key Concepts**

#### **Healthy Families New York follows the Healthy Families America Best Practice Standards:**

1. Initiate services prenatally or at birth.
2. Use standardized screening and assessment tools to systematically identify and assess families most in need of services. These tools should assess the presence of various factors associated with increased risk for child maltreatment or other adverse childhood experiences.
3. Offer services voluntarily and use positive, persistent outreach efforts to build family trust.
4. Offer services intensely and over the long term, with well-defined criteria for increasing or decreasing intensity of service.
5. Services are culturally sensitive such that staff understands, acknowledges and respects cultural differences among families; staff and materials used should reflect the cultural, language, geographic, racial and ethnic diversity of the population served.
6. Services focus on supporting the parent(s) as well as the child by cultivating the growth of nurturing, responsive parent-child relationships and promoting healthy childhood growth and development.
7. At a minimum, all families are linked to a medical provider to assure optimal health and development. Depending on the family's needs, they may also be linked to additional services related to: finances, food, housing assistance, school readiness, child care, job training, family support, substance abuse treatment, mental health treatment and domestic violence resources.
8. Services should be provided by staff with limited caseloads to assure that home visitors have an adequate amount of time to spend with each family to meet their unique and varying needs and to plan for future activities.
9. Service providers should be selected because of their personal characteristics, their willingness to work in or their experience working with culturally diverse communities, and their skills to do the job.
10. Service providers receive intensive training specific to their role to understand the essential components of family assessment, home visiting and supervision.
11. Service providers should have a framework, based on education or experience, for handling the variety of experiences they may encounter when working with at-risk families. All service providers should receive basic training in areas such as cultural competency, reporting child abuse, determining the safety of the home, managing crisis situations, responding to mental health, substance abuse, and/or domestic violence issues, drug-exposed infants, and services in their community.

- 12.** Service providers receive on-going, effective supervision so they are able to develop realistic and effective plans to empower families.
- 13.** The site is governed and administered in accordance with principles of effective management and ethical practice.

## 4.2 Additional Key Concepts

### Healthy Families New York - Home Visiting Program (HFNY)

HFNY is a voluntary evidence-based home visiting program for expectant parents and families with infants, which promotes optimal prenatal care and positive growth and development in order to improve maternal and child health and social outcomes for families at risk of abuse and maltreatment. The program provides intensive home visitation services weekly until the child is at least six months old and periodically thereafter based on the needs of the family until the child is in school or Head Start.

HFNY Program Goals are to:

- Support positive parent-child bonding and relationships;
- Promote optimal child and family health, development and safety; Enhance family self-sufficiency; and
- Prevent child abuse and maltreatment.

All HFNY Programs agree to the following program requirements:

- Compliance with the HFA Best Practice Standards for providing quality home visiting services and guidelines included in the HFNY Policy Manual; Provision of home visiting services in a specified target area including universal screening in collaboration with relevant community service providers;
- Coordination with local health and social service departments; and other community service providers to support families in receiving needed services;
- Compliance with prescribed Performance Targets as prescribed in the HFNY Policy Manual; Compliance with prescribed Performance Indicators as prescribed in the HFNY Policy Manual; Participation in bi-monthly State/Regional Leadership Meetings;
- Participation in the home visiting MIS within established time frames and ongoing evaluation conducted by OCFS with the CHSR;
- Participation in all required core, wrap-around and advanced training; and
- Participation and agreement to be affiliated and accredited by Healthy Families America.

## 4.3 Key Concepts – Additional Information

The following link is a connection to the HFNY policy and procedure manual and HFA Best Practice Standards. It establishes policies, procedures and guidelines to ensure that standards of effective practice are met by our multi-site system.

[http://www.healthyfamiliesnewyork.org/admin\\_docs.html](http://www.healthyfamiliesnewyork.org/admin_docs.html)

## Section Five... GLOSSARY

### 5.1 GLOSSARY OF OUTCOME-BASED CONTRACTING TERMS

**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 (number or percentage). A baseline estimate is required for each performance target.

**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.

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

**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, and fiscal capability) that are likely to result in successful performance target attainment.

**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 Targets:** Performance Targets are the *measurable* verifiable improvements in the condition or behavior of program recipients that the provider expects to achieve **by the end of the contract period**. Targets are quantifiable and verifiable indicators of program performance. They contribute to the attainment of the desired outcomes for the target population. Attainment of several Performance Targets may be needed to indicate the

achievement of a single outcome. Targets 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 must be identified. In certain instances where the desired outcome is systemic change, the agency as a whole may be considered the target population.

**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.

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

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

## **5.2 GLOSSARY OF TERMS COMMONLY USED IN HEALTHY FAMILIES NEW YORK**

**ASQ:** Ages and Stages Questionnaire; developmental screening tool used by HFNY programs

**Assessment:** The Kempe (Family Stress Checklist) is a semi-structured, standardized assessment tool administered in HFNY programs to gather information about parents' strengths and capabilities and to identify the parents' experiences, expectations, beliefs, and behaviors that place parents at risk of child abuse, neglect and maltreatment. It assesses for the presence of factors including increased risk for child maltreatment or other poor childhood outcomes (e.g. social isolation, substance abuse, parental history of abuse in childhood, etc.

**Best Practice Standards:** Guidelines set by HFA for service delivery

**Central Administration:** Refers to Office of Children and Family Services (OCFS), Prevent Child Abuse-New York (PCANY) and the Center for Human Services Research (CHSR)

**Core:** Required role specific training that FAWs and FSWs must attend

**Creative Outreach:** Respectful efforts to engage or re-engage families in the HFNY program. In the HFNY MIS, Creative Outreach refers only to post-intake activities.

**Credentialing:** Process by which programs are reviewed for most effective practice standards as measured by HFA Best Practice Standards

**Developmental Screen:** A standardized tool used by HFNY home visiting programs at regular intervals in the course of home visiting to monitor child development, and delays and disabilities, and to ascertain appropriateness of referral Early Intervention Program; see ASQ

**FAW:** Family Assessment Worker; see Home Visitor

**FGP** – Family Goal Plan; helps families to identify goals, the steps that need to be taken, and their progress towards achieving those goals

**FSW:** Family Support Worker; see Home Visitor

**HFA:** Healthy Families America; a national initiative to establish a universal voluntary home visitor system for all new parents to help their children get off to a healthy start

**HFNY:** Healthy Families New York

**Home Visitor:** A trained staff person providing parenting education, support, or assessment in the family's home, sometimes referred to as an FAW or FSW

**Home Visit Rate:** The amount of completed home visits that occurred as compared to the number of home visits that were supposed to occur per practice standards

**Kempe:** See definition for Assessment above

**MIS:** Management Information System; the electronic data system that is utilized by HFNY programs

**PCAA:** Prevent Child Abuse America; national, not-for-profit organization of professionals and volunteers committed to preventing child abuse in all its forms through education, research, public awareness, and advocacy

**PCDI:** Parental-Child Dysfunctional Interaction Stress; a subscale of the PSI

**Performance Indicators:** Measures of HFNY model fidelity that all HFNY programs are measured against

**Performance Targets:** 21 measures of family outcomes that all HFNY programs are measured against

**Program Utilization:** The number of families enrolled in the program as compared to the number of families the program has the capacity to serve

**PSI:** Parental Stress Index; an assessment which identifies stressful aspects of parent-child interaction

**Retention rate:** Measure of the retention of families within the program

**Screen:** Referral made to the HFNY program for participant services based on specific risk factors

**Shadowing:** Accompanying a trained home visitor on a home visit for the purpose of observing the work of the home visitor

**TANF:** Temporary Assistance for Needy Families

**Target Child:** The child that makes the family eligible for HFNY services

**Wrap Around Training:** Required topic specific training all staff must receive within specific time frames

## **Section Six.... CONTRACT DOCUMENTS**

### **6.1 Contract Documents 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](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 at <http://ocfs.ny.gov/main/recc/>

## **See Section 2.15 above**

**(Program Plan / Narrative including Objectives, Tasks and Performance Measures)**

## **Section Eight.... PROGRAM RELATED RESOURCES**

### **8.1 Healthy Families New York Performance Targets 2015-2016**

***\*\*This document will be utilized with grant awardees during contract development. This form does NOT need to be submitted with your proposal.***

The following standard Performance Targets for HFNY programs statewide outline program outcomes for applications funded through this RFP. Performance Targets are measured quarterly. Each funded program is required to report against these performance objectives on a quarterly basis using information that is reported and gathered through the HFNY Management Information System (MIS).

#### **HEALTH AND DEVELOPMENT TARGETS**

1. Immunizations at one year
  - At least 90 percent of target children will be up-to-date on immunizations when as of first birthday
2. Immunizations at two years
  - At least 90 percent of target children will be up-to-date on immunizations as of second birthday.
3. Lead Assessment
  - At least 90 percent of target children will be assessed for the risk of lead in their environment according to the NYS Health Department's suggested schedule.
4. Medical Provider for target children
  - At least 95 percent of target children will have a medical provider.
5. Target Child Well Baby Medical Provider Visits by 15 months
  - At least 90 percent of target children will have at least five well baby visits by 15 months of age.
6. Target Child Well Baby Medical Provider Visits by 27 months
  - At least 90 percent of target children will have at least two well-baby visits between 15 and 27 months of age.
7. Age Appropriate Developmental level
  - At least 98 percent of target children will demonstrate age appropriate developmental milestones on the Ages and Stages Questionnaire or will be referred for further evaluation/services if delays are detected.
8. Medical Provider for Primary Caretaker 1
  - At least 90 percent of Primary Care Takers will have a medical provider.

#### **PARENT CHILD INTERACTION TARGETS**

1. Primary Care Taker 1 breast feeding
  - 30 percent of PC1s will breast feed their target children for at least three months from the birth of the child.

2. Valid Parental Stress Index (PSI) assessments
  - Programs will complete 75 percent valid Intake/Birth PSI assessments
3. Reducing Parental Stress in highly stressed families by the target child's six month birthday
  - 60 percent of Primary Caretaker 1's with a total score above the 85th percentile on the initial Parental Stress Index (PSI) will score below the 85th percentile for the total score on the six- month follow-up PSI.
4. Reducing Parental Stress in highly stressed families by the target child's first birthday
  - 80 percent of Primary Caretaker 1's with a total score above the 85th percentile on the initial Parental Stress Index (PSI) will score below the 85th percentile for the total score on the one-year follow-up PSI.
5. Reducing Parental-Child Dysfunctional Interaction Stress (PCDI) in highly stressed families by the target child's six month birthday
  - 65 percent of Primary Caretaker 1's with a PCDI score above the 85th percentile on the initial Parental Stress Index (PSI) will score below the 85th percentile on the PCDI score on the six- month follow-up PSI.
6. Reducing Parental-Child Dysfunctional Interaction Stress (PCDI) in highly stressed families by the target child's first birthday
  - 80 percent of Primary Caretaker 1's with a PCDI score above the 85th percentile on the initial Parental Stress Index (PSI) will score below the 85th percentile on the PCDI score on the one-year follow-up PSI.

## **FAMILIAL LIFE COURSE TARGETS**

1. Employment, Education and Training at target child's first birthday
  - 50 percent of families will be enrolled in an education program, job training or job placement program or will obtain employment by the target child's first birthday.
2. Employment, Education and Training at target child's second birthday
  - 75 percent of families will be enrolled in an education program, job training or job placement program or will obtain employment by the target child's second birthday.
3. TANF Benefits on first birthday
  - At least 35 percent of families who were receiving TANF benefits at intake will no longer be receiving TANF benefits on the target child's first birthday.
4. TANF Benefits on second birthday
  - At least 50 percent of families who were receiving TANF benefits at intake will no longer be receiving TANF benefits on the child's second birthday.
5. Education of Participants under 21 at Target Child's six- month birthday
  - At least 85 percent of PC1's under 21 at intake and without a high school diploma or GED will be enrolled in high school or a degree bearing program or receive a high school degree or GED certificate by the Target Child's six month birthday.
6. Education of Participants under 21 at Target Child's first birthday
  - At least 90 percent of PC1's under 21 at intake and without a high school diploma or GED will be enrolled in high school or a degree bearing program or receive a high school degree or GED certificate by the Target Child's first birthday.
7. Referrals for Needed Services

- At least 75 percent of enrolled participants with Domestic Violence, Mental Health or Substance Abuse issues identified on their Kempe Assessment will be referred for the appropriate services within six months of enrollment

## 8.2 Healthy Families New York Performance Indicators 2015-2016

***\*\*This document will be utilized with grant awardees during contract development. This form does NOT need to be submitted with your proposal.***

The following standard Performance Indicators for HFNY programs statewide outline program outcomes for applications funded through this RFP. Performance Indicators are measured in six month timeframes. Each funded program is required to report against these performance objectives on a quarterly basis using information that is reported and gathered through the HFNY Management Information System (MIS).

<b>Performance Indicator Criteria</b>
<p><b>1. Quarterly Performance Targets</b>            For the performance period, four quarters of performance were reviewed for these targets: HD 1 through 8, PCI1, MLC 1, 3, 7. If stated target achieved at least three of four times, target is considered met.            NYS Target Performance: 9 of 12 Performance Targets achieved at least three out of four quarters in Performance Period</p>
<p><b>2. Wrap Around Training at six and 12 months</b>            NYS Target Performance: Trainings have 2 or 3 rating.</p>
<p><b>3. Retention Rate at one Year for Participants who enrolled in Performance Period</b>            NYS Target Performance: 50 percent</p>
<p><b>4. Assessment Completed Prenatally or within two weeks of birth of Target child for performance period</b></p>
<p><b>5. First Home Visit prior to three months after Target Child's birth for those enrolled in performance period</b></p>
<p><b>6. Required forms (PSI, Follow-up or ASQ) for last month of performance period.</b>            NYS Target Performance: no invalid forms 25 percent or higher</p>
<p><b>7. Credential Requirements for Training: Orientation, Core, Shadowing and IFSP.</b>            NYS Target Performance: Trainings have 2 or 3 rating.</p>
<p><b>8. HFA Home Visit rate for last three months of Performance Period</b>            NYS Target Performance: 75 percent</p>
<p><b>9. Supervisor observation of FSW on home visit</b>            NYS Target Performance: Four observations by supervisor on home visit during last year for each FSW and two Kempe observations by supervisor for FAW during last year for those hired more than one year from Performance period end date</p>
<p><b>10. Prenatal Enrollment</b>            For performance period, the average quarterly percentage of new enrollments who enroll prenatally            NYS Target Performance: 65 percent</p>
<p><b>11. Creative Outreach</b>            NYS Target Performance: 10 percent or less at end of Performance Period</p>
<p><b>12. Program Utilization</b>            NYS Target Performance: a minimum of 85 percent of capacity (1 FSW FTE=20 participants)</p>

### 8.3 Healthy Families New York Work Plan for Contract Development

***\*\*This document will be utilized with grant awardees during contract development. This form does NOT need to be submitted with your proposal, as this information will be gained through your answers to the Work Plan questions in Grants Gateway.***

**Agency Name  
Contract #  
Contract Period**

#### **PROGRAM CAPACITY/FAMILIES TO BE SERVED**

**The minimum number of families to be assessed during the contract period:**

Average number of assessments to be completed each month \_\_\_\_\_ x 12 months = \_\_\_\_\_

**The number of families to be enrolled in home visiting services at any one time:**

Number of full-time (FTE) Family Support Workers \_\_\_\_\_ x 20 families = \_\_\_\_\_ (Program Capacity)

**The total number of families to be enrolled in home visiting services during the entire contract period:**

\_\_\_\_\_ to \_\_\_\_\_

#### **ORGANIZATIONAL EXPERIENCE**

#### **DESCRIPTION OF TARGET POPULATION/AREA**

#### **PROJECT STAFF**

#### **PROJECT ACTIVITIES/SERVICES PROVIDED & HOW THEY CONTRIBUTE TO OUTCOMES**

#### **OUTREACH AND ENROLLMENT PLAN TO ACHIEVE CONTRACTED NUMBER OF ASSESSMENTS AND FAMILIES TO BE ENROLLED**

#### **QUALITY ASSURANCE (QA) AND CONTINUOUS QUALITY IMPROVEMENT PLANS TO ACHIEVE AND MAINTAIN PERFORMANCE TARGETS AND PERFORMANCE INDICATORS**

## **PARTNERS/REFERRAL RELATIONSHIPS**

### **ADDITIONAL INFORMATION**

#### **8.4 Guidance to determine the number of families to be served**

The following will help applicants determine how many families should be served at any one time and the recommended number of assessments needed in order to reach and maintain capacity. Please remember the cost per family for HFNY is currently estimated at \$4,500 per family in upstate New York areas and 5,000 for New York City programs. Every full-time worker should serve approximately 20 families at any one time. Use the information in column 1 and 4 in the following chart to help determine the number of assessments needed to achieve and maintain the program's capacity in a year's time.

### **PROGRAM CAPACITY/FAMILIES TO BE SERVED**

#### **The minimum number of families to be assessed during the contract period**

This should include an estimate of the average number of assessments that the Family Assessment Worker will conduct each month in order for the program to achieve and maintain full capacity with the number of families to be served. This must take into account the projected acceptance rate (percentage of assessed families who actually enroll in home visiting services) and projected retention rate (percentage of enrolled families who remain in the program after one year).

#### **The number of families to be enrolled in home visiting services at any one time**

The average caseload for each full-time Family Support Worker is 20 families. Use this information and the number of Family Support Workers listed in the projected budget to determine the program's capacity of the number of families that it can serve at any one time.

#### **The total number of families to be enrolled in home visiting services during the entire contract period**

This takes into account the program's capacity to serve families and the projected retention rate. Since the performance indicator is that the program retains at least 50% of its families for one year, this figure should be from 100% of program capacity to 150% of program capacity.

## 8.5 Required Number of Assessments to Support Program Capacity

Required Number of Assessments required to support a program's capacity				
Proposed Capacity	Estimated Number of Positive Referred Screens Required Year 1	Estimated Number of Positive Referred Screens Required Quarterly	Estimated Number of KEMPEs required Year 1	Estimated Number of KEMPEs Required Quarterly
50	199	50	75	19
60	239	60	90	22
70	279	70	104	26
80	318	80	119	30
90	358	90	134	34
100	398	100	149	37
110	438	109	164	41
120	478	119	179	45
130	517	129	194	49
140	557	139	209	52
150	597	149	224	56
160	637	159	239	60
170	677	169	254	63
180	716	179	269	67
190	756	189	284	71
200	796	199	299	75
210	836	209	313	78
220	876	219	328	82
230	915	229	343	86
240	955	239	358	90
250	995	249	373	93

## **8.6 Selection of Curriculum**

### **Rationale**

To ensure that programs identify and use parenting and child development curricula, tools and other resources to provide families with information about positive parenting practices, child development and health and safety skills.

### **Guidelines**

The use of parenting and child development curricula approved by OCFS establishes an organized, sequential method by which the programs support parents in obtaining the information needed to learn positive parenting and child development and facilitates the promotion of parenting skills within the context of the child's development.

Programs select a core curriculum for home visiting in which all Family Support Workers and Supervisors are trained. Programs use other curricula as supplements or alternatives to the core curriculum, and while these can be selected at programs' discretion, materials should address the promotion of positive parent-child interaction, child development and health and safety for children prenatally to five years of age. Curricula may also address the psycho-social well-being of parents.

The following curricula are currently approved as core curricula:

Partners for a Healthy Baby, Florida State University Center for Prevention and Early Intervention Policy: 1-850-922-1300.

#### **Parents as Teachers**

Parents as Teachers National Center, Inc.  
10176 Corporate Square Drive, Suite 230  
St. Louis, Missouri 63132  
Phone: (314) 432-4330

Growing Great Kids, Great Kids, Inc.  
1-800-906-5581 or <http://www.greatkidsinc.org>

#### **Healthy Babies...Healthy Families: San Angelo Curriculum**

Healthy Families San Angelo  
200 South Magdalene Street  
San Angelo, Texas 76903  
325-658-2771  
[www.hfsatx.com](http://www.hfsatx.com)

For Supplementary curricula, the are currently recommended:

Partners for Learning Curriculum and Activity Cards  
Isabelle Lewis, Joseph Sparling & Craig Ramey. Kaplan Press: 1-800-334-2014

Helping Babies Learn: Developmental Profiles and Activities for Infants, and Toddlers.  
Setsu Furono, et. al. Communication Skill Builders  
Tucson, Arizona: 1-800-866-4446

The following criteria are considered when selecting a home visiting curriculum:

- Materials and/or the training that aids the worker in using the materials in a relevant, interactive manner.
- Materials include activities on parenting, child development and health and safety.
- Materials include information and activities for promoting healthy birth outcomes.
- Materials should have a strong focus on the emotional as well as physical well-being of babies and young children.
- Materials guide home visitors to promote parenting skills within the context of the child's development.
- Materials on health and safety practices include preventative strategies.
- Materials are culturally and linguistically responsive to the community (i.e. have a multi-cultural focus, are available in Spanish and/or French, or other language relevant to the target community.)
- Materials that will be seen by families should be attractive to the target community, conveying the message that families are important. Materials and the manner in which they are used must be strength-based.