



Community Services Block Grant (CSBG) Entitlement Solicitation to Serve the City of Newburgh

Request for Applications RFA # 14-CSBG-5

Request for Application and Instructions

RFA Release Date: May 1, 2014
 Questions Due: May 19, 2014
 Updates and Responses to
 Questions Posted: May 22, 2014

Application Due Date/Time: June 6, 2014 4:00 pm

Amount of Funds to be Awarded: \$437,304 for 8/1/14-9/30/15
 \$218,652 for 10/1/15-9/30/16

(All applicants must be prequalified through the NYS Grants Gateway prior to submitting an application. All applications from applicants not prequalified will be rejected.)

General Program Information/Questions:	Application Submission:
<p>RFA # 14-CSBG-5 NYS Department of State Division of Community Services One Commerce Plaza 99 Washington Avenue, Suite 1020 Albany, NY 12231</p> <p>E-mail: dos.sm.DCS@dos.ny.gov</p>	<p>Ms. LuAnn Hart RFA 14-CSBG-5 Contract Administration Unit NYS Department of State Bureau of Fiscal Management One Commerce Plaza 99 Washington Avenue, Suite 1110 Albany, NY 12231</p> <p>Applications received after the deadline will be returned to the applicant.</p>

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I. Introduction and Background Information

A. Overview and Statutory Authority

Pursuant to authority under §676A(a) of the Community Services Block Grant (CSBG) Act, as amended, by the Community Opportunities, Accountability, and Training, and Educational Services (Coats) Human Services Reauthorization Act of 1998, (Public Law (PL) 105-285), the New York State Department of State (DOS) announces that competing applications will be accepted and an eligible entity will be selected to provide CSBG funded-activities for the City of Newburgh, to commence August 1, 2014. Selection through this process will result in award of a contract to provide services in the City of Newburgh.

CSBG is a federal block grant created by Congress in 1981 to alleviate poverty nationwide and empower low-income individuals and families to move from poverty to economic self-sufficiency. In New York State, pursuant to Article 6-D of the Executive Law, the Secretary of State is responsible for CSBG administration, which includes allocation, distribution, and monitoring of funds. Within DOS, the Division of Community Services (DCS) is responsible for management and oversight of CSBG.

DOS seeks applicants able to provide services that address the CSBG legislative assurances for low-income individuals, families, and communities in the City of Newburgh, and will accept applications from organizations meeting qualifications as stated in PL 105-285 §676A and as stated below. The applicant may propose creating new programs, expanding existing programs, or expanding programs in collaboration with other area providers to provide comprehensive services. The City of Newburgh has been allocated \$437,304 for August 1, 2014 through September 30, 2015 and \$218,652 for FFY 2016 (October 1, 2015 through September 30, 2016). This funding is being made available to the City of Newburgh in compliance with the federally approved 2013-2014 Management Plan. In addition, a 25% local share match requirement will be required. Continued funding as a designated CSBG eligible entity is based on the result of a one-year assessment, as well as federal re-authorization of the CSBG Act, the allocation of CSBG program funding to the State of New York, compliance with contractual requirements, and compliance with the terms of the CSBG Act (42 USC 9901, et seq.; NY State Executive Law Article 6-D). In order to serve as the designated eligible entity for the area subject to this RFA, the applicant must agree to compose and maintain its board of directors in such manner as to ensure adequate tripartite representation as described in Section 676B of the CSBG Act (Appendix 1).

SEC. 676A. DESIGNATION AND RE-DESIGNATION OF ELIGIBLE ENTITIES IN UNSERVED AREAS (42 USC 9909)

(a) QUALIFIED ORGANIZATION IN OR NEAR AREA. –

(1) *IN GENERAL.* – If any geographic area of a State is not, or ceases to be, served by an eligible entity under this subtitle, and if the chief executive officer of the State decides to serve such area, the chief executive officer may solicit applications from, and designate as an eligible entity –

(A) a private nonprofit organization (which may include an eligible entity) that is geographically located in the unserved area, that is capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and that meets the requirements of this subtitle; and

(B) a private nonprofit eligible entity that is geographically located in an area contiguous to or within reasonable proximity of the unserved area and that is already providing related services in the unserved area.

(2) *REQUIREMENT.* – In order to serve as the eligible entity for the area, an entity described in paragraph (1)(B) shall agree to add additional members to the board of the entity to ensure adequate representation--

(A) in each of the three required categories described in subparagraphs (A), (B), and (C) of section 9910(a)(2) of this title, by members that reside in the community comprised by the unserved area; and

(B) in the category described in section 9910(a)(2)(B) of this title, by members that reside in the neighborhood to be served.

(b) *SPECIAL CONSIDERATION.* – In designating an eligible entity under subsection (a), the chief executive officer shall grant the designation to an organization of demonstrated effectiveness in meeting the goals and purposes of this subtitle and may give priority, in granting the designation, to eligible entities that are providing related services in the unserved area, consistent with the needs identified by a community-needs assessment.

(c) *NO QUALIFIED ORGANIZATION IN OR NEAR AREA.* – If no private, nonprofit organization is identified or determined to be qualified under subsection (a) to serve the unserved area as an eligible entity the chief executive officer may designate an appropriate political subdivision of the State to serve as an eligible entity for the area. In order to serve as the eligible entity

for that area, the political subdivision shall have a board or other mechanism as required in section 676B(b).

To be eligible for award and designation as a CSBG eligible entity serving the City of Newburgh pursuant to this RFA and in accordance with Section 676A of the CSBG Act:

Community-Based Organization (CBO) applicants must presently have one or more offices within the City of Newburgh, be capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and meet the requirements of the federal CSBG Act and New York State Executive Law Article 6-D.

Community Action Agency (CAA) applicants must either: (A) presently have one or more offices within the City of Newburgh; **OR** (B) presently provide related services within the City of Newburgh, and have one or more offices within a contiguous CSBG service area or within close proximity of the City of Newburgh.

In addition, a CBO applicant must, if selected, adjust its board to fully comply with the tripartite requirements of the CSBG Act (42 USC 9910). A CAA applicant must, if selected, expand its current tripartite board to provide adequate representation for the City of Newburgh residents in the manner required by Section 676A of the CSBG Act (42 USC 9909).

A link to the CSBG statute can be found in *Appendix 1*.

B. CSBG Purposes and Goals (§672)

Purpose: CSBG funds are appropriated to provide assistance to States and local communities, working through a network of community action agencies (CAAs), Community-Based Organizations (CBOs) and other neighborhood-based organizations, for the reduction of poverty, the revitalization of low-income communities, and the empowerment of low-income families and individuals in rural and urban areas to become fully self-sufficient (particularly families who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act (42 USC 601 et seq.)); and,

The aforementioned goals are accomplished through:

- (A) the strengthening of community capabilities for planning and coordinating the use of a broad range of Federal, State, local, and other assistance (including private resources) related to the elimination of poverty, so that this assistance can be used in a manner responsive to local needs and conditions;*
- (B) the organization of a range of services related to the needs of low-income families and individuals, so that these services may have a measurable and potentially major impact on the causes of poverty in the community and may help the families and individuals to achieve self-sufficiency;*
- (C) the greater use of innovative and effective community-based approaches to attacking the causes and effects of poverty and of community breakdown;*
- (D) the maximum participation of residents of the low-income communities and members of the groups served by programs assisted through the block grants made under this subtitle to empower such residents and members to respond to the unique problems and needs within their communities; and*
- (E) the broadening of the resource base of programs directed to the elimination of poverty so as to secure a more active role in the provision of services for—*
 - i. private, religious, charitable, and neighborhood-based organizations; and*
 - ii. individual citizens, and business, labor, and professional groups, who are able to influence the quantity and quality of opportunities and services for the poor.*

C. CSBG Program Assurances

Funds made available through the grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 USC 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals –*
 - i. to remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);*

- ii. to secure and retain meaningful employment;*
 - iii. to attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;*
 - iv. to make better use of available income;*
 - v. to obtain and maintain adequate housing and a suitable living environment;*
 - vi. to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and*
 - vii. to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –*
 - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and,*
 - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;*
- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as –*
- i. programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and*
 - ii. after-school child care programs*
- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts).*

II. Considerations before Applying

Recipients of CSBG funds are required to demonstrate that customers served by funded programs have an income at or below 125% of the current United States Department of Health and Human Services (US DHHS) Poverty Guidelines. §673(2) (*Appendix 2*). Applicants are required to complete the application forms (Section IX) and return them by the application due date.

A. Organizational Capacity

Applicants are required to:

1. demonstrate their ability to meet statutory requirements of the CSBG Act regarding tripartite board composition;
2. demonstrate active board involvement in program planning, implementation and evaluation;
3. demonstrate the capacity and capability to administer a broad range of services designed to address issues of poverty and promote self-sufficiency;
4. demonstrate a successful track record in delivering outcome based services; and,
5. demonstrate management capacity to undertake the proposed services and activities.

B. Community Needs Assessment

Applicants are required to:

1. document the geographic location and any boundaries of the proposed service area precisely and consistently;
2. describe the methodology used to assess the broad range of needs for services to the low-income community;
3. describe efforts to include participation by low-income members of the community in the needs assessment process;
4. document the level of poverty in the area to be served and other conditions that were identified through the needs assessment process; and,
5. demonstrate that the programs being proposed are consistent with the findings of the needs assessment process.

C. Program Services, Activities, and Outcomes

Demonstrate how CSBG funds shall be used to provide:

1. programs and services designed to reduce risk factors, build on individual and family strengths, provide prevention as well as intervention services, be culturally responsive, and flexible in responding to individual needs;
2. programs that relate to the CSBG program assurance areas in: employment, education, income management, housing, emergency services, nutrition, self-sufficiency, and linkages with other community programs;
3. a continuum of family-focused, comprehensive services to low-income individuals and families; applicants may use the Family Development model;
4. assessment of individual and family needs across a broad spectrum of domains providing services in a holistic manner to address growth and development, and supporting movement toward self-sufficiency;
5. programs may be coordinated with other entities which serve to address the needs of low income and vulnerable populations such as Workforce Investment Programs (One-Stop Centers), Family Literacy, Child Support Enforcement, Youth Development Programs, Service for the Elderly, Asset Development Programs, Domestic Violence Programs, etc.; and,
6. the proposal summary and the logic model format are the methods used to demonstrate capacity for this portion of the grant application.

D. Collaborations and Partnerships

Applicants are required to:

1. demonstrate capacity to work collaboratively with other local agencies to create programs or expand the scope of existing programs that provide services in such areas as employment, education, housing, emergency services, and self-sufficiency for local populations including children, youth, adults, and the elderly; and,
2. demonstrate ability to mobilize public and/or private resource and how those resources will directly benefit the project.

E. Accountability and Reporting

Applicants are required to:

1. comply with Results-Oriented Management and Accountability (ROMA), the national system for CSBG grantee operations and reporting. *(See Appendix 3 for an explanation of ROMA and Appendix 4 for list of National Performance Indicators.)* Applicants not currently a CAA must demonstrate their knowledge of other outcome-based service delivery methods and reporting. Applicants are required to target services to the low income population at or below 125% of the federal poverty guideline; *(Appendix 2)*
2. identify the technology (software) currently being used for customer intake and assessment, recording/tracking customer outcomes, and reporting to board/funding sources; and
3. describe the process used to ensure customers receiving CSBG-funded services do not exceed 125% of the federal poverty guidelines.

F. Funding and Resource Mobilization (Budget) *(Appendix 5 and Appendix 8)*

Applicants are required to demonstrate that:

1. costs are reasonable and necessary to carry out the work scope;
2. they can document how they will meet the required 25% local share/non-federal match for CSBG funding; and,
3. the use of CSBG funds for administration is equitable in relation to total agency operations.

Applicants are reminded that:

1. CSBG funds may NOT be used to purchase or improve land, or for the purchase, construction, or permanent improvement of any building or facility, or for political activities.
2. All CSBG recipients will be subject to the Hatch Act. *(Appendix 7)*

G. Minority and Women Owned Businesses

Applicants are required to submit a Plan for Certified Minority-And Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women as part of this application. The Utilization Plan, Form A and Staffing Plan, Form B must be completed and attached for the application to be considered.

H. Access to Services

Additional points may be awarded to applications best demonstrating innovative methods to provide access to programs and services for low income people throughout the City of Newburgh addressing the diversity of the area. Effective methods should demonstrate the applicant's ability to facilitate access to services for diverse populations of eligible persons within the service area.

III. Applicant Eligibility Criteria and Proposal Requirements

Eligible applicants are CAAs and CBOs in New York State who meet the criteria outlined in the statute. Applicants must have been operating as a CAA or CBO for at least **five** years and currently be providing federally or state-funded services to low-income persons.

A. Eligibility Criteria

Community Action Agency (CAA) shall mean any private not-for-profit organization currently designated as an eligible entity pursuant to New York State Executive Law 159-e(1). Such organization shall have a tripartite board as its governing board, selected by the entity and composed so as to assure that:

1. One-third of the members of the board are elected public officials, holding office on the date of selection, or their representatives, except that if the number of such elected officials reasonably available and willing to serve on the board is less than one-third of the membership of the board, membership on the board of appointive public officials or their representatives may be counted in meeting such one-third requirement;
2. Not fewer than one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that these members are representative of low-income individuals and families in the neighborhood served; and,
3. The remainder of the members are officials or members of business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.

Community-based organization (CBO) shall mean any not-for-profit organization incorporated for the purpose of providing services or other assistance to economically or socially disadvantaged persons within its designated community. Such organization must have a board of directors of which more than half of the members reside in such designated community. (*NYS Executive Law §159-e(4)*)

To be eligible for award and designation as a CSBG eligible entity pursuant to this RFA and in accordance with Section 676A of the CSBG Act:

CBO applicants must presently have one or more offices within the City of Newburgh, be capable of providing a broad range of services designed to eliminate poverty and foster self-sufficiency, and meet the requirements of the federal CSBG Act.

CAA applicants must either: (A) presently have one or more offices within the City of Newburgh; **OR** (B) presently provide related services within the City of Newburgh, and have one or more offices within a contiguous CSBG service area or within close proximity of the City of Newburgh.

The applicant shall be required to, upon award, compose and maintain its board of directors in such manner as to ensure adequate tripartite representation as described in Sections 676A and 676B of the CSBG Act (42 U.S.C. §9909 and §9910).

B. Grant Prequalification

All applicants must be prequalified through the NYS Grants Gateway prior to submitting an application. All applications from applicants not prequalified will be rejected. The NYS Grants Gateway can be found at:

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

C. Due Date and Time

All applications MUST be received by the date stated on the cover page of this RFA. Applications which are received late will not be considered and will be returned to the applicant agency without review.

D. Application Submission

ONE signed and complete original application, plus **THREE** exact copies of each application must be submitted (total of **FOUR**). ALL submissions must contain the complete application including signature pages. All applications must be delivered to:

Ms. LuAnn Hart RFA # 14-CSBG-5
Contract Administration Unit
NYS Department of State
Bureau of Fiscal Management
One Commerce Plaza
99 Washington Avenue, Suite 1110
Albany, NY 12231

Electronic or fax copies will not be accepted. All applications must be complete to be considered for review. The RFA and application package are also available online at www.dos.ny.gov/funding.

E. Questions and Updates

All questions regarding the solicitation to serve the City of Newburgh must be submitted in writing, and received on or before the *Questions Due* date as stated on the cover of this RFA, and addressed to:

RFA # 14-CSBG-5
NYS Department of State
Division of Community Services
One Commerce Plaza
99 Washington Avenue, Suite 1020
Albany, NY 12231

E-mail inquiries should be sent to dos.sm.DCS@dos.ny.gov with the subject as *CSBG RFA # 14-CSBG-5*.

Questions must be received by the date posted on the cover of the RFA. All questions and responses will be posted on the DOS website at www.dos.ny.gov/funding by the date posted on the cover of the RFA. No responses will be provided to inquiries made by telephone other than to request an RFA package.

F. Funding

It is anticipated that the City of Newburgh service area will be allocated \$655,956 for expenditure through 9/30/16, pursuant to the state and federal CSBG Act and this award. Continued funding will depend, however, on the results of a comprehensive onsite review immediately after the completion of the first year of funding pursuant to CSBG Act Section 678B(a)(2)2, as well as congressional reauthorization of CSBG, and an annual appropriation of funds.

IV. Completing the Application

A. Requirements for Submission

Applicants should respond using the application forms as indicated. The narrative will be evaluated based on predetermined values described in Section V of this RFA. Additional pages may be attached where necessary and requested. Please adhere to page limitations noted in this RFA. Those pages submitted beyond the limitations will not be reviewed and scored. Applications should be typed in Word format and should not use a font size smaller than 10, or margins narrower than .5/left-right, and .5/top-bottom.

B. Application Cover and Project Summary

Part A and Part B: Applicant Identification and Certifications, Attestations, and Acknowledgements

Applicants must submit one original, signed application and three copies of same. Failure to do so will eliminate the application from review.

Part C: Project Summary

Provide a summary that:

1. Describes the organization's capacity to deliver outcome based services to the low income residents of the City of Newburgh;
2. Outlines the new programs or programs being expanded with CSBG funds;
3. Describes the basis for the programs being proposed for funding; and,
4. Describes the collaborations established with other area agencies to provide or expand services.

Section A. Organizational Capacity

Applicants are required to:

1. Demonstrate the organization's ability to meet the statutory requirements of the CSBG Act regarding tripartite board composition;
2. Demonstrate the board's active involvement in program planning, implementation and evaluation;
3. Demonstrate the capacity and capability to administer a broad range of services designed to address issues of poverty and promote self-sufficiency;
4. Demonstrate a successful track record in delivering outcome based services; and,
5. Demonstrate management capacity to undertake the proposed services and activities.

Section B. Community Needs Assessment

Applicants are required to:

1. Document the geographic location and any boundaries of the proposed service area precisely and consistently;
2. Describe the methodology used to assess the broad range of needs for services to the low-income community;
3. Describe efforts to include participation by low-income members of the community in the needs assessment process;
4. Document the level of poverty in the area to be served and other conditions that were identified through the needs assessment process; and,
5. Demonstrate that the programs being proposed are consistent with the findings of the needs assessment process.

Section C. Program Services, Activities and Outcomes

Applicants are required to:

1. Describe proposed programs and services which are designed to reduce risk factors, build on individual and family strengths, provide prevention as well as intervention services, be culturally responsive, and flexible in responding to individual needs;
2. Indicate programs that relate to the CSBG program assurance areas in: employment, education, income management, housing, emergency services, nutrition, self-sufficiency, and linkages with other community programs;

3. Describe a continuum of family-focused, comprehensive services to low-income individuals and families; applicants may use the Family Development model;
4. Define your assessment of individual and family needs across a broad spectrum of domains providing services in a holistic manner to address growth and development, and supporting movement toward self-sufficiency;
5. Explain how programs may be coordinated with other entities which serve to address the needs of low income and vulnerable populations such as Workforce Investment Programs (One-Stop Centers), Family Literacy, Child Support Enforcement, Youth Development Programs, Service for the Elderly, Asset Development Programs, Domestic Violence Programs, etc.; and,
6. Complete the proposal summary and the logic model format which are the methods to demonstrate capacity for this portion of the grant application.

Section D. Collaborations and Partnerships

Applicants are required to demonstrate:

1. The capacity to work collaboratively with other local agencies to create programs or expand the scope of existing programs that provide services in such areas as employment, education, housing, emergency services, and self-sufficiency for local populations including children, youth, adults and the elderly; and,
2. The ability to mobilize public and/or private resource and how those resources will directly benefit the project.

Section E. Accountability and Reporting

Applicants are required to:

1. Comply with Results-Oriented Management and Accountability (ROMA) the national system for CSBG grantee operations and reporting. (See Appendix 3 for an explanation of ROMA and Appendix 4 for list of National Performance Indicators). Applicants that are not currently Community Action Agencies must demonstrate their knowledge of other outcome based service delivery methods and reporting;
2. Identify the technology (software) currently being used for customer intake and assessment, recording/tracking customer outcome, and reporting to board/funding sources; and,
3. Describe the process used to ensure customers receiving CSBG funded services do not exceed 125% of the federal poverty guidelines. Recipients of CSBG funds are required to demonstrate that customers served by funded programs have an income at or below 125% of the current United States Department of Health and Human Services (US DHHS) Poverty Guidelines. §673(2) (Appendix 2).

Section F. Funding and Resource Mobilization (Budget)

Applicants are required to:

1. Demonstrate that costs are reasonable and necessary to carry out the work scope;
2. Document how they will meet the required 25% local share/non-federal match for CSBG funding;
3. Demonstrate that combined with local share, CSBG funds will constitute 100% of project costs; and
4. Demonstrate the use of CSBG funds for administration is equitable in relation to total agency operations.

Section G. Minority and Women Owned Businesses (Form A and Form B)

Applicants are required to submit a Plan for Certified Minority-And Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women as part of this application. The Utilization Plan-Form A and Staffing Plan Form B, must be completed and attached for the application to be considered.

Section H. Access to Services (second level review)

Additional points may be awarded to applicants demonstrating innovative methods to be used to provide access to programs and services for low income people throughout the City of Newburgh addressing the diversity of the area. Effective methods should demonstrate the applicant's ability to facilitate access to services for diverse populations of eligible persons within the service area.

V. Review and Rating Criteria

A. Application Evaluation and Scoring (Pass/Fail)

The following criteria must be met for applications to be qualified for consideration; failure to meet the criteria will result in disqualification of the Application.

1. Application must be received by the stated due date and time.
2. Applicant is a 501(c)(3) and is a CAA or CBO as defined in Section III of this RFA.
3. Applicant has been operating as a CAA or CBO for at least **five** years.
4. Applicant currently provides federally funded or state funded services to low-income persons.
5. Applicant must be prequalified through NYS Grants Gateway. Information and instruction are found at: <http://grantsreform.ny.gov/Grantees>

Once an application is determined to pass the basic criteria noted above, it will be reviewed for content. The corresponding values indicate the importance that DCS places on each evaluation criterion. Competing applications will be reviewed and evaluated against the criteria below.

B. Application Cover and Project Summary

Part A and Part B: Applicant Identification and Certifications, Attestations, and Acknowledgements *(Not scored)*

Failure to submit one signed original and three copies of same will eliminate the application from review.

Part C: Project Summary *(Not scored)*

Provide a summary that:

1. Describes the organization's capacity to deliver outcome based services to the low income residents of the City of Newburgh;
2. Outlines the new programs or programs being expanded with CSBG funds;
3. Describes the basis for the programs being proposed for funding; and,
4. Describes the collaborations established with other area agencies to provide or expand services.

Section A. Organizational Capacity:

(20 points)

1. Applicant has demonstrated the ability to meet the statutory requirements of the CSBG Act regarding tripartite board composition.
2. Applicant is required to document the board's active involvement in program planning, implementation and evaluation. This may include board policies and meeting minutes.
3. Applicant must document the capacity and capability to administer a broad range of services designed to address issues of poverty and promote self-sufficiency. Identify programs currently or previously operated, dates of operation and primary source(s) of funding.
4. Based on the information in number 3, applicant must demonstrate a successful track record in delivering outcome based services.
5. Applicant must document management capacity to undertake the proposed services and activities.
 - a. Applicant must attach its organizational chart and resume of CEO and CFO.
 - b. Applicant must attach a total agency budget for its current fiscal year.

Section B. Community Needs Assessment:

(15 points)

Applicant must describe the geographic location and any boundaries of the proposed service area precisely and consistently.

1. Applicant documents the geographic location and any boundaries of the proposed service area precisely and consistently.
2. Applicant must describe methodology used to assess the broad range of needs for services to the low-income community. This may include sources of statistical information, use of surveys, use of community forums or focus groups with targeted populations, etc.

3. Applicant must describe its efforts to include participation by low-income members of the community in the needs assessment process.
4. Applicant must provide information concerning the level of poverty in the area to be served and other conditions that were identified through the needs assessment process.
5. Applicant must provide information to support the programs being proposed, showing they are consistent with the findings of the needs assessment process.

Section C. Program Services, Activities and Outcomes (Logic Model): **(25 points)**

Applicant must provide a logic model work plan that is outcome oriented for each program being created or expanded with CSBG funds.

1. Applicant must describe the connection between the community needs assessment findings and the need for each program being proposed
2. Applicant must demonstrate that programs relate to one or more of the CSBG program assurance areas (employment, education, income management, housing, emergency services, nutrition, self-sufficiency, and linkages with other community programs).
3. Applicant must demonstrate that the amount of CSBG and other resources identified for each program are reasonable.
4. Applicant must describe its collaboration with other entities which serve to address the needs of low income and vulnerable populations such as Workforce Investment Programs (One-Stop Centers), Family Literacy, Child Support Enforcement, Youth Development Programs, Service for the Elderly, Asset Development Programs, Domestic Violence Programs, etc.
5. Applicant must demonstrate that programs are outcome focused and measurable indicators. Outcomes must be reasonable for the resources being applied. (See Appendix 4 for the list of ROMA Outcome Indicators-NPIs).
6. Applicant's logic model format must clearly describe all of the programs outlined in the project summary section of the application.

Section D. Collaborations and Partnerships: **(10 points)**

1. Applicant must identify the other agencies who will work collaboratively to create new programs or expand existing services that are described in the work plan. Applicant must describe the nature and extent of the collaboration with each partner and how it will impact the proposed project.
2. If the collaboration is monetary, applicant must indicate the types and amounts of public and/or private resources it will mobilize, and how those resources will directly benefit the project. Agency must demonstrate its ability to mobilize public and/or private resources and how those resources will directly benefit the project.

Section E. Accountability and Reporting: **(10 points)**

1. The applicant must describe current or prior experience with outcome-based program reporting, including knowledge of ROMA or demonstrate knowledge of other outcome based program reporting.
2. Applicant must identify the technology (software) currently being used for customer intake and assessment, recording/tracking customer outcome, and reporting to board/funding sources. A sample report may be attached.
3. Applicant must describe the process used to ensure customers receiving CSBG funded services do not exceed 125% of the federal poverty guidelines.

Section F. Budget: **(20 points)**

1. Proposed use of CSBG funds is reasonable and necessary to administer the agency and accomplish the programs. Budgets should equal the allocation for the City of Newburgh. Budgets that exceed this value will be reduced.
2. Local share funds are non-federal and appropriate to the services proposed.
3. Total costs are reasonable and consistent with anticipated results.
4. Administrative costs are equitable in relation to the total agency budget.

Section G. Minority and Women Owned Businesses (M/WBE)**(Not scored)**

Applicants are required to submit a Plan for Certified Minority-And Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women as part of this application. The Utilization Plan-Form A and Staffing Plan Form B must be completed and attached for the application to be considered.

Section H. Access to Services (second level review)**(10 points maximum)**

Additional points may be awarded to applicants demonstrating effective methods to be used to provide access to programs and services for low income people throughout the City of Newburgh addressing the diversity of the area. Effective methods should demonstrate the applicant's ability to facilitate access to services for diverse populations of eligible persons within the service area.

VI. Award Administration Information

Applications will be reviewed and all applicants will be notified of funding decisions. **Grant awards will have a start date of August 1, 2014.** The successful applicant will be notified of funding decisions through issuance of a Notice of Award document that sets forth the amount of funds granted, and the terms and conditions of the grant award, which are subject to approval by the Office of the State Comptroller. The highest scoring applicant will be awarded the contract.

Opportunity to be debriefed will be provided, upon request, to unsuccessful applicants. Requests must be made in writing within 15 days of notification to the same address to which applications are submitted.

Pursuant to New York State Procurement Guidelines, DOS also reserves the right to:

1. Reject any or all solicitations received in response to the RFA.
2. Withdraw the RFA at any time, at the agency's sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any applicant whose conduct and/or application fail to conform to the requirements of this RFA.
5. Seek clarifications and revisions of applications.
6. Use proposal information obtained through site visits, management interviews and the state's investigation of an applicant's qualifications, experience, ability, or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to the application due date amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to the application due date, direct applicants to submit application modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders.
11. Waive any requirements that are not material.
12. Negotiate with applicants responding to this RFA within the scope of the RFA to serve the best interests of the state.
13. If unsuccessful in negotiating a state contract with the selected applicant within an acceptable time frame, the Department may begin state contract negotiations with the next ranked qualified applicant(s) in order to serve and realize the best interest of the state.
14. Utilize any and all ideas submitted in the proposals received from applicants.
15. Unless otherwise specified in the RFA, deem every offer to be firm and irrevocable for a period of 60 days from the date of bid opening.
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an applicant's proposal and/or to determine an applicant's compliance with the requirements of the solicitation.
17. Waive or modify minor irregularities in applications received from applicants.
18. Not fund an application that fails to submit a clear and concise work plan or budget.
19. Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of the Department of State and the State Comptroller.
20. Award grants based on geographic or regional considerations to serve the best interests of the state.
21. Award more than one contract resulting for this RFA.

VII. Contracting Requirements for Successful Applicants

A. Standard New York State Contract

Sample contract pages are for informational purposes and should not be submitted with the proposal. The successful applicant will receive a standard contract package to complete at the time funds are awarded. The link to the sample contract can be found at <http://www.dos.ny.gov/funding/>.

B. Federal Certifications

Applicant should be aware that if selected as the eligible entity, it will be required to certify as part of the executed contract that it will comply with Federal requirements concerning the drug-free workplace, debarment regulations, Certification Regarding Environmental Tobacco Smoke, and Disclosure of Lobbying Activities. The successful applicant will also be required to comply with provisions of the Hatch Act (5 USC § 1501-1508 and §7324-7328) which limit political activities of employees whose principal employment activities are funded in whole or in part with Federal funds; the provisions of the Davis-Bacon Act (40 USC § 276a to 276a-7); the Copeland Act (40 USC § 276c and 18 USC § 874); and, the Contract Work Hours and Safety Standards Act (40 USC § 327-333). (*Appendix 7*)

C. Vendor Responsibility Questionnaire

The Department of State recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. The successful applicant can enroll in and use the New York State VendRep System, with instructions at:

http://www.osc.state.ny.us/vendrep/vendor_index.htm or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website: www.osc.state.ny.us/vendrep, or may contact the Department of State or the Office of the State Comptroller's Help Desk for a copy of the paper form. Applicants are strongly urged to use the online system to expedite contract processing and provide access to supporting contract information.

VIII. Application Checklist

Applicants should check off each section to ensure submission of a complete application.

Application Form

- Part A** Applicant Identification
Agency Information

- Part B** Applicant Certifications, Attestations, and Acknowledgements

- Part C** Project Summary
 - Section A – Organizational Capacity**
 - Board list (for CAA or CBO)
 - Board Policy or Minutes
 - Chart of Current or Past Programs
 - Applicant Organizational Chart
 - Résumés of CEO and CFO
 - Annual agency budget for current fiscal year
 - Sample of previous outcome reports (if available)

 - Section B – Community Needs Assessment**

 - Section C – Program Services, Activities, and Outcomes (Logic Model)**
 - One logic model for each program proposed

 - Section D – Collaborations and Partnerships**

 - Section E – Accountability and Reporting**
 - Attach sample outcome reports to illustrate agency system

 - Section F – Budget**
 - Budget Summary
 - Salaries & Wages
 - Justification of Administrative Titles
 - Local Share
 - Budget Support Data
 - Budget Narrative

 - Section G – Minority/Women Owned Business Enterprises**
Forms to be attached:
 - Utilization Plan (Form A)
 - Staffing Plan (Form B)

 - Section H – Access to Services**
Form to be attached

IX. Application Package

- Application Form (Parts A/B) including signed certification
- Project Summary (Part C)
 - Section A – Organizational Capacity
 - Section B – Community Needs Assessment
 - Section C – Program Services, Activities, and Outcomes (Logic Model)
 - Section D – Collaborations and Partnerships
 - Section E – Accountability and Reporting
 - Section F – Budget
 - Section G – Minority/Women Owned Business Enterprises
 - Section H – Access to Services (second level review)

Application Form

Funding for CSBG Eligible Entity to Serve the City of Newburgh, New York

PART A. APPLICANT IDENTIFICATION

Name of Applicant: <i>(Full legal name of corporation/agency)</i>		
Applicant Mailing Address: <i>(Full legal address of corporation/agency)</i>		
(Street)		
(City)	NY	(Zip)

Executive Director/Chief Executive:	Title:
E-mail Address:	
Telephone:	Fax:
Name of Project: (if applicable)	
Location (County/Target Area):	
Total Funds Requested: \$	

Board of Directors Chair/President:	Title:	
(Street)		
(City)	NY	(Zip)
E-mail Address:		
Telephone:	Fax:	

PART B. APPLICANT CERTIFICATIONS, ATTESTATIONS AND ACKNOWLEDGEMENTS

Applicant is a 501(c)(3):	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Year of New York State Incorporation:
Applicant Federal Identification Number:	Applicant Charities Registration Number:		
Applicant New York State Vendor ID Number:	Applicant DUNS Number:		
Applicant has operated as CAA or CBO continuously for 5 years:	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Applicant is:	CAA <input type="checkbox"/> CBO <input type="checkbox"/>		
Applicant certifies that it currently provides federally-or state-funded services to low-income individuals:	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Applicant certifies that it will serve a population that meets the 125% poverty income guidelines:	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Board of Directors List is attached:	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Applicant attests that it has obtained a 25% local share match:	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Vendor Responsibility Acknowledgement: I hereby acknowledge that if awarded funding, we will comply with the Vendor Responsibility requirements of the State of New York.	YES <input type="checkbox"/> NO <input type="checkbox"/>		
Applicant is Prequalified on the NYS Grants Gateway:	YES <input type="checkbox"/> NO <input type="checkbox"/>		

CERTIFICATION

The applicant certifies that the CSBG funds will be used to provide services and activities benefitting low-income persons meeting the federal Poverty Guidelines, in accordance with the purposes, goals, and assurances of PL 105-285, local needs assessments, and the national CSBG goals and outcome measures. There will be adherence to the applicable OMB Circulars (such as A-110, A-122, A-133) and limitations and prohibitions placed on the use of funds by PL 105-285. Applicant hereby certifies that its board of directors will meet the tripartite requirements of 42 USC 9909 and 9910.

Print Name:	Signature:	Date:
--------------------	-------------------	--------------

Part C. Project Summary

Provide a summary describing the following (do not exceed two additional pages, not including any attachments):

Agency capacity to deliver outcome based services to the low-income residents of the City of Newburgh.

(Enter text here)

Outline the new programs or programs being expanded with CSBG funds, the basis for the programs being proposed for funding, and collaborations established with other area agencies to provide or expand services.

(Enter text here)

Describe how programs and services designed to reduce risk factors, build on individual and family strengths, provide prevention as well as intervention services, be culturally responsive, and flexible in responding to individual needs.

(Enter text here)

Describe the intake and assessment process to determine individual and family needs across a broad spectrum of services that will support the movement toward self-sufficiency.

(Enter text here)

Section A – Organizational Capacity**Forms:**

- Complete the Board Membership List (for CCA or CBO)
- Current and past programs operated that address broad issues of poverty
- Summary demonstrating agency organizational capacity

Attachments:

- Copy of board policy, minutes, or other documentation that verifies board involvement in program planning, implementation, and evaluation
- Copy of the resume of CEO and CFO
- Copy of your agency organizational chart
- Copy of your agency annual budget for the current fiscal year

Section A – Organizational Capacity

Community Based Organization Board of Directors and Officers

APPLICANT: _____ **DATE:** _____

Officers	
<u>Name</u>	<u>Office</u>
_____	_____
_____	_____
_____	_____
_____	_____

Name	Address	E-mail Address	City of Newburgh Resident
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No
			<input type="checkbox"/> Yes <input type="checkbox"/> No

(copy additional pages as necessary)

Section A – Organizational Capacity (continued)

Community Action Agency Board of Directors and Officers

APPLICANT: _____ **DATE:** _____

Officers	
<u>Name</u>	<u>Office</u>
_____	_____
_____	_____
_____	_____

Elected Public Officials (1/3 of the members)	
Total Number of Seats: _____	(as stated in current bylaws)
Total Number of Vacancies: _____	(as of the date of this document)

#	Name, Address, Telephone, E-mail Address	Public Official*	Current Term	Verification Document(s)
		Office:	to	
		Title:		
		Office:	to	
		Title:		
		Office:	to	
		Title:		
		Office:	to	
		Title:		
		Office:	to	
		Title:		
		Office:	to	
		Title:		

(copy additional pages as necessary)

***Public Official:** One-third of the members must be elected public officials or their representatives. The elected public official must be in office. Indicate the **office** and **title** of the public official serving or being represented (mayor, county supervisor, member of Congress, etc.).

Section A – Organizational Capacity (continued)

Community Action Agency Board of Directors and Officers

Representatives of Low-Income Individuals and Communities (or at least 1/3 of the members)				
Total Number of Seats: _____ (as stated in current bylaws)				
Total Number of Vacancies: _____ (as of the date of this document)				
#	Name, Address, Telephone, E-mail Address	Neighborhood*	Current Term	Verification Document(s)
			to	

(copy additional pages as necessary)

***Neighborhood:** Please complete, if applicable, in compliance with the federal statute which requires, *Each representative of low-income individuals and families selected to represent a specific neighborhood must reside in the neighborhood represented.*

Section A – Organizational Capacity (continued)

Community Action Agency Board of Directors and Officers

Representatives of the Private Sector (or at least 1/3 of the members) [Must be a member or official.]				
Total Number of Seats: _____ (as stated in current bylaws)				
Total Number of Vacancies: _____ (as of the date of this document)				
#	Name, Address, Telephone, E-mail Address	Member/Official	Current Term	Verification Document(s)
			to	

(copy additional pages as necessary)

***Indicate the federally-required category.** The federal statute requires the remaining seats to be filled with members or officials of: business, industry, labor, religious, law enforcement, education, or other major groups and interests in the community served.

Section A – Organizational Capacity (continued)**Summary (do not exceed one additional page, not including any attachments)**

Demonstrate agency organizational ability to carry out this contract. This may include governance, fiscal, human resources, information technology, and comprehensive service delivery experience.

(Enter text here)

Section B – Community Needs Assessment

42 U.S.C. 9901 et seq., Section 676, (b), (11) states that . . . *the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs; (Do not exceed two additional pages, not including any attachments.)*

Date of Needs Assessment:

1. Describe in detail the geographic area including location and boundaries of proposed services.

2. Describe the methodology used to assess the broad range of needs in the low income community. (Examples: sources of statistical information; use of surveys; focus groups/forums; interviews; etc.)

3. Describe specifically participation of the low-income population in the needs assessment process.

4. Describe findings drawn from the needs assessment process: i.e., level of poverty, priorities for services, etc.

5. Describe programs to be created or expanded with CSBG funds to address the priorities noted above.

Section C – Program Services, Activities, and Outcomes (Logic Model)

Complete one logic model for each program that will be created or expanded with CSBG funds. Please use the blank form on the next page to complete your Logic Model.

SAMPLE LOGIC MODEL – FOR YOUR INFORMATION

Identified Problem or Need	Resources	Service or Activity	Outcome	Outcome Indicator	CSBG National Performance Indicator (6)
(1)	(2)	(3)	(4)	(5)	(6)
<p>State the identified problem or need the proposed project will address.</p> <p>Projects may address more than one problem or need.</p>	<p>List the resources available or anticipated, and which will be used to support the proposed project.</p> <p>This column should be used to present a brief overview of resources.</p> <p>CSBG Funds \$ _____</p> <p>Local Share Cash \$ _____</p> <p>In-Kind \$ _____</p> <p>Total Other Cash \$ _____</p>	<p>Identify the services or activities that comprise the proposed project.</p> <p>(For applicants familiar with other logic model formats, this column describes outputs.)</p> <p>For each distinct activity or service, include the following information:</p> <p>(a) A brief description of the service or activity</p> <p>(b) The number of participants who will receive the service or enroll in the program</p> <p>(c) The time frame in which the service or activity will take place</p>	<p>Identify the project’s anticipated results in general terms.</p> <p>Outcome statements should describe benefits to low-income individuals and families that will be achieved as a result of the project.</p> <p>There should be a clear association between the outcomes, the identified problems/needs, and the services/activities.</p>	<p>Identify the project’s anticipated results in specific terms, including projected success rates. For each outcome indicator include:</p> <p>(a) The number of participants expected to achieve the outcome</p> <p>(b) The number of participants expected to receive the service or enroll in the program</p> <p>(c) The percentage of participants served who are expected to achieve the outcome</p>	<p>Include the alpha-numeric identifiers for the CSBG National Performance Indicators (NPIs) that will be used to measure and report outcome(s).</p> <p>For outcomes that do not correspond to the CSBG NPIs, indicate “N/A.”</p>
<p>EXAMPLE:</p> <p><i>Middle school youth lack the skills needed to manage conflicts constructively.</i></p>	<p>EXAMPLE:</p> <p>CSBG Funds \$100,000</p> <p>Local Share Cash \$10,000</p> <p>In-Kind \$15,000</p> <p>Total Other Cash \$5,000</p>	<p>EXAMPLE:</p> <p><i>Peer mediation training will be provided to 20 middle school students between Feb. 1 and April 30.</i></p>	<p>EXAMPLE:</p> <p><i>Middle school youth demonstrate the ability to resolve conflicts through non-violent means.</i></p>	<p>EXAMPLE:</p> <p><i>15 of 20 youth, or 75% of middle school youth, acquire skills in conflict resolution and peer mediation.</i></p>	<p>EXAMPLE:</p> <p>6.3B.5</p>

Section C – Program Services, Activities, and Outcomes (Logic Model - continued)

Complete one logic model for each program that will be created or expanded with CSBG funds
 (Please add additional pages as necessary to complete the logic model.)

Identified Problem or Need	Resources	Service or Activity	Outcome	Outcome Indicator	CSBG National Performance Indicator

Section E – Accountability and Reporting

(Do not exceed one additional page, not including any attachments.)

Please describe your agency's knowledge and experience with outcome-based programming and reporting.

(Enter text here)

Please identify the software and technology currently available to conduct customer intake and comprehensive customer assessment, record and track customer outcomes, and report to your board/funding source(s). *(A sample report may be attached).*

(Enter text here)

Describe the process to be used to ensure compliance with the 125% poverty eligibility requirement.

(Enter text here)

Section F – Budget

NEW YORK STATE DEPARTMENT OF STATE
COMMUNITY SERVICES BLOCK GRANT
Budget Summary

Contractor: _____ **FFY 2015**

Budget Period: 8/1/14 to 9/30/15

- (a) Total allocation CSBG Grant Funds \$ _____
- (b) Required Local Share \$ _____
At least 25% of the total allocation of Federal funds.
(Such share may be in cash, in-kind services, or a combination thereof.)
- (c) TOTAL PROJECT COST \$ _____

Cost Categories	FFY 2015 CSBG Funds	FFY 2015 Local Share	TOTAL PROJECT COST
1. Personnel Services	\$	\$	\$
2. Delegate Agencies	\$	\$	\$
3. Contractual Services/Audit	\$	\$	\$
4. Equipment Purchase/Lease	\$	\$	\$
5. Other Direct Costs	\$	\$	\$
6. Administrative Costs			
Indirect Rate _____%			
Admin Rate/Cost _____%	\$	\$	\$
TOTAL	\$	\$	\$

Description of Contractual Services/Audit and Equipment Purchase/Lease expenses included in Cost Categories 3 and 4:

CSBG funds **must** be used in accordance with the cost principles of OMB Circulars A-122 and A-110. Grantees must comply with the limitations and prohibitions as stated in federal *CSBG statute (42 U.S.C. 9901 et seq.) Section 678F* and any subsequent amendments.

Section F – Budget (continued)

NEW YORK STATE DEPARTMENT OF STATE
 COMMUNITY SERVICES BLOCK GRANT
Local Share Description
 [Local Share must be obtained as a match for CSBG funds.]

Contractor: _____

FFY 2015

Budget Period: 8/1/14 to 9/30/15

	VALUE	
	CASH	IN-KIND
Volunteer Services; List Programs and Numbers of Volunteers: <u>PROGRAMS</u> <u>\$ of volunteers/ hourly \$</u>		
Employer Furnished Services; List Employers and Services: <u>EMPLOYERS</u> <u>SERVICES</u>		
All Other Local Share; List Types of Contributions and Sources: <u>TYPES OF CONTRIBUTIONS</u> <u>SOURCES</u>		
TOTAL	\$	\$

Local Share **MUST** be from **NON-FEDERAL** sources. In-kind contributions may include donation of service, equipment or space, not supported by federal funds.

Section F – Budget (continued)

NEW YORK STATE DEPARTMENT OF STATE
 COMMUNITY SERVICES BLOCK GRANT
Budget Support Data
 [For Category 5 – Other Direct Cost]

Contractor: _____

FFY 2015

Budget Period: 8/1/14 to 9/30/15

COST CATEGORY	DETAILED DESCRIPTION OF EXPENDITURES	FFY 2015 CSBG Funds DIRECT	FFY 2015 CSBG Funds ADMIN.	FFY 2015 Local Share	TOTAL CHARGES
5.a	Bank Charges	XXXXXXXXXXXX	\$	\$	\$
5.b	Beneficiary Client Costs	\$	\$	\$	\$
5.c	Board Allowance and Development	\$	\$	\$	\$
5.d	Consumable Supplies	\$	\$	\$	\$
5.e	Employee Development and Recruitment	\$	\$	\$	\$
5.f	Insurance and Bonding	\$	\$	\$	\$
5.g	Postage, Freight and Express	\$	\$	\$	\$
5.h	Publications, Printing, and Subscriptions	\$	\$	\$	\$
5.i	Repairs and Services	\$	\$	\$	\$
5.j	Space Costs	\$	\$	\$	\$
5.k	Telephone and Electronic Communications	\$	\$	\$	\$
5.l	Travel	\$	\$	\$	\$
5.m	Volunteer and Employer Furnished Services	\$	\$	\$	\$
5.n	Marketing/Public Awareness/Outreach	\$	\$	\$	\$
5.o	Technology	\$	\$	\$	\$
	TOTALS	\$	\$	\$	\$

Section F – Budget (continued)

NEW YORK STATE DEPARTMENT OF STATE
COMMUNITY SERVICES BLOCK GRANT
Budget Narrative

Contractor: _____

FFY 2015

Budget Period: 8/1/14 to 9/30/15

Use the space below to describe how the resources identified in the budget will enable the activities necessary to advance the project and achieve stated outcomes.

[Empty space for budget narrative]

Section G – Minority/Women Owned Business Enterprises**CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN****NEW YORK STATE LAW**

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

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" (“Disparity Study”). The report found evidence of statistically significant disparities between the level of participation of minority-and women-owned business enterprises in state procurement contracting versus the number of minority-and women-owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that DOS establishes goals for maximum feasible participation of New York State Certified minority- and women – owned business enterprises (“MWBE”) and the employment of minority groups members and women in the performance of New York State contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, DOS hereby establishes an overall goal of 20% for MWBE participation, 10% for Minority-Owned Business Enterprises (“MBE”) participation and 10% for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs). A contractor (“Contractor”) on the subject contract (“Contract”) must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOS may withhold payment pending receipt of the required MWBE documentation. The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

For guidance on how DOS will determine a Contractor’s “good faith efforts,” refer to 5 NYCRR §142.8.

I. MWBE Utilization

By submitting a bid or proposal, a bidder on the Contract (“Bidder”) agrees to submit the following documents and information as evidence of compliance with 5 NYCRR §142.8:

- A. Bidders are required to submit a MWBE Utilization Plan on Form A with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to DOS.
- B. DOS will review the submitted MWBE Utilization Plan and advise the Bidder of DOS acceptance or issue a notice of deficiency within 30 days of receipt.
- C. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt by submitting to the DOS:
Office of Affirmative Action Programs
99 Washington Avenue, Albany, New York 12231
Phone: (518) 473-2507; Fax (518) 473-9211

a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOS to be inadequate, DOS shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

- D. DOS may disqualify a Bidder as being non-responsive under the following circumstances:
- a. If a Bidder fails to submit a MWBE Utilization Plan;
 - b. If a Bidder fails to submit a written remedy to a notice of deficiency;
 - c. If a Bidder fails to submit a request for waiver; or
 - d. If DOS determines that the Bidder has failed to document good faith efforts.

Contractors shall attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOS, but must be made no later than prior to the submission of a request for final payment on the Contract.

II. Non-Compliance

- A. In accordance with 5 NYCRR §142.13, Contractor acknowledges that if it is found to have willfully and intentionally failed to make good faith efforts to meet the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and DOS may withhold payment from the Contractor as liquidated damages. Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.
- B. In addition, failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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, 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.

Bidder further agrees, where applicable, to submit with the bid a staffing plan (Form B) identifying the anticipated work force to be utilized on the Contract and if awarded a Contract, will, upon request, submit to the DOS, a workforce utilization report identifying the workforce actually utilized on the Contract if known.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Section G – Minority/Women Owned Business Enterprises (continued)

**FORM A
M/WBE UTILIZATION PLAN**

INSTRUCTIONS: This form must be submitted with any bid, proposal, or proposed negotiated contract or within a reasonable time thereafter, but prior to contract award. This Utilization Plan represents the anticipated MWBE usage for the contract and must contain a detailed description of the supplies and/or services to be provided by each certified Minority and Women-owned Business Enterprise (M/WBE) under the contract. Attach additional sheets if necessary.

Offeror's Name:

Federal Identification No.:

Address:

Project/Contract No.:

City, State, Zip Code:

M/WBE Goals in the Contract: MBE 10% WBE 10%

Telephone No.:

Region/Location of Work:

1. Projected Certified M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary)	5. Dollar Value of Subcontracts/Supplies/Services and intended performance dates of each component of the contract.
A.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
B.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			

6. IF UNABLE TO FULLY MEET THE MBE AND WBE GOALS SET FORTH IN THE CONTRACT, OFFEROR MUST SUBMIT A REQUEST FOR WAIVER.

<p>My firm proposes to use the M/WBEs listed above.</p> <p>PREPARED BY (Signature): DATE:</p> <p>NAME AND TITLE OF PREPARER (Print or Type):</p>	<p>TELEPHONE NO.:</p> <p>EMAIL ADDRESS:</p> <p align="center">FOR M/WBE USE ONLY</p> <p>REVIEWED BY: _____ DATE: _____</p> <p>UTILIZATION PLAN APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____ Contract No.: _____ Project No. (if applicable): _____</p> <p>Contract Award Date: Estimated Date of Completion: Amount Obligated Under the Contract: Description of Work:</p> <p>NOTICE OF DEFICIENCY ISSUED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____</p> <p>NOTICE OF ACCEPTANCE ISSUED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____</p>
SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE-REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND POSSIBLE TERMINATION OF YOUR CONTRACT.	

Section G – Minority/Women Owned Business Enterprises (continued)

**FORM B
STAFFING PLAN**

Submit with Bid or Proposal – Instructions on page 2

Complete this form only for the anticipated work force to be utilized on the State contract.

Solicitation No.:	Reporting Entity:	Report includes Contractor's/Subcontractor's: <input type="checkbox"/> Work force to be utilized on this contract <input type="checkbox"/> Total work force
Offeror's Name:		<input type="checkbox"/> Offeror <input type="checkbox"/> Subcontractor Subcontractor's name _____
Offeror's Address:		

Enter the total number of employees for each classification in each of the EEO-Job Categories identified.

EEO-Job Category	Total Work force	Work force by Gender		Work force by Race/Ethnic Identification								Disabled		Veteran			
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		Native American (M) (F)		(M)	(F)	(M)	(F)
Officials/Administrators																	
Professionals																	
Technicians																	
Sales Workers																	
Office/Clerical																	
Craft Workers																	
Laborers																	
Service Workers																	
Temporary /Apprentices																	
Totals																	

PREPARED BY (Signature):	TELEPHONE NO.: EMAIL ADDRESS:	DATE:
NAME AND TITLE OF PREPARER (Print or Type):		Submit completed with bid or proposal

General instructions: All Offerors and each subcontractor identified in the bid or proposal must complete an EEO Staffing Plan (FORM B) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form for the contractor's and/or subcontractor's total work force.

Instructions for completing:

1. Enter the Solicitation number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the contractor or a subcontractor.
3. Check off the appropriate box to indicate work force to be utilized on the contract or the Offerors' total work force.
4. Enter the total work force by EEO job category.
5. Break down the anticipated total work force by gender and enter under the heading 'Work force by Gender'
6. Break down the anticipated total work force by race/ethnic identification and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the DOS Permissible contact(s) for the solicitation if you have any questions.
7. Enter information on disabled or veterans included in the anticipated work force under the appropriate headings.
8. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this form, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

- **WHITE** (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **BLACK** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN & PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- **NATIVE INDIAN (NATIVE AMERICAN/ ALASKAN NATIVE)** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

OTHER CATEGORIES

- **DISABLED INDIVIDUAL** any person who:
 - has a physical or mental impairment that substantially limits one or more major life activity(ies)
 - has a record of such an impairment; or
 - is regarded as having such an impairment.
- **VIETNAM ERA VETERAN** a veteran who served at any time between and including January 1, 1963 and May 7, 1975.
- **GENDER** Male or Female

Section H – Access to Services

Describe the methods to be used to provide access to programs and services for low income people throughout the City of Newburgh addressing the diversity of the area.

[Enter text]

X. Appendices

- Appendix 1 [Link to CSBG Authorizing Legislation](#)
- Appendix 2 [Federal Poverty Guidelines](#)
- Appendix 3 [Explanation of Results-Oriented Management and Accountability \(ROMA\)](#)
- Appendix 4 [List of National Performance Indicators \(NPIs\) which follows from the six ROMA goals](#)
- Appendix 5 [Expenditure Descriptions for Budget Preparation](#)
- Appendix 6 [Sample New York State Contract](#)
- Appendix 7 [Hatch Act](#)
- Appendix 8 [Link to Informational Memoranda 37 \(IM 37\) and Link to Informational Memoranda 82 \(IM 82\)](#)

Appendix 1

Link to the CSBG Authorizing Legislation (Public Law 105-285):

<http://www.gpo.gov/fdsys/pkg/PLAW-105publ285/html/PLAW-105publ285.htm>

Link to Article 6-D of the New York State Executive Law:

<http://public.leginfo.state.ny.us/LAWSSEAF.cgi?QUERYTYPE=LAWS+&QUERYDATA=@SLEXCOA6-D+&LIST=LAW+&BROWSER=EXPLORER+&TOKEN=05069082+&TARGET=VIEW>

Appendix 2

2014 Federal Poverty Guidelines

Every year, the federal government establishes poverty guidelines to determine who is financially eligible for particular programs. The chart below describes the yearly income cutoffs for 2014.

2014 POVERTY GUIDELINES FOR THE 48 CONTIGUOUS STATES AND THE DISTRICT OF COLUMBIA		
Persons in family/household	100%	125%
1	\$11,670	\$14,587
2	\$15,730	\$19,662
3	\$19,790	\$24,737
4	\$23,850	\$29,812
5	\$27,910	\$34,887
6	\$31,970	\$39,962
7	\$36,030	\$45,037
8	\$40,090	\$50,112

*Add \$4,060 for each
additional person.*

*Add \$5,075 for each
additional person.*

These figures are available at the US Department of Health and Human Services website at:

<http://www.acf.hhs.gov/programs/ohs/news/2014-hhs-poverty-guidelines-published>

Appendix 3

Explanation of Results-Oriented Management and Accountability (ROMA)

1. **Results-Oriented Management and Accountability (ROMA)** a performance-based initiative designed to preserve the anti-poverty focus of community action and to promote greater effectiveness among state and local agencies receiving Community Services Block Grant (CSBG) funds. It involves setting goals and strategies for developing plans and techniques that focus on a result-oriented performance based model for management. ROMA also complies with the Government Performance and Results Act of 1993 (PL 103-62). (www.ROMA1.org)
2. **ROMA Goals and National Performance Indicators**
Applicants should have experience and have demonstrated capacity to report outcomes preferably using the ROMA framework. Familiarity with the CSBG National Performance Indicators (NPIs) is a requirement. Consistent with the requirements set forth in GPRA and NPIs, New York State requires all CSBG grantees to report progress toward achieving outcomes projected in their contract work plans based on the National Performance Indicators.

CSBG-funded services in the City of Newburgh must include at least one of the six ROMA goals, as stated below:

Goal 1	Low-income people become more self-sufficient. (self-sufficiency)
Goal 2	The conditions in which low-income people live are improved. (community revitalization)
Goal 3	Low-income people own a stake in their community.
Goal 4	Partnerships among supporters and providers of services to low-income people are achieved.
Goal 5	Agencies increase their capacity to achieve results.
Goal 6	Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems. (family stability)

Appendix 4

National Performance Indicators (NPI) which follow from the six ROMA Goals

GOAL 1: LOW-INCOME PEOPLE BECOME MORE SELF-SUFFICIENT

National Performance Indicator 1.1

Employment

The number and percentage of low-income participants who get a job or become self-employed, as a result of Community Action Assistance, as measured by one or more of the following:

- A. Unemployed and obtained a job
- B. Employed and maintained a job for at least 90 days
- C. Employed and obtained an increase in employment income and/or benefits
- D. Achieved "living wage" employment and/or benefits

National Performance Indicator 1.2

Employment Supports

The number of low-income participants for whom barriers to initial or continuous employment are reduced or eliminated through assistance from Community Action, as measured by one or more of the following:

- A. Obtained skills/competencies required for employment
- B. Completed ABE/GED and received certificate or diploma
- C. Completed post-secondary education program and obtained certificate or diploma
- D. Enrolled children in before or after school programs
- E. Obtained care for child or other dependent
- F. Obtained access to reliable transportation and/or driver's license
- G. Obtained health care services for themselves or family member
- H. Obtained and/or maintained safe and affordable housing
- I. Obtained food assistance
- J. Obtained non-emergency LIHEAP energy assistance
- K. Obtained non-emergency WX energy assistance
- L. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)

National Performance Indicator 1.3

Economic Asset Enhancement and Utilization

The number and percentage of low-income households that achieve an increase in financial assets and/or financial skills as a result of Community Action assistance, and the aggregated amount of those assets and resources for all participants achieving the outcome, as measured by one or more of the following:

- A. Number and percent of participants in tax preparation programs who qualified for any type of Federal or State tax credit and the expected aggregated dollar amount of credits
- B. Number and percent of participants who obtained court-ordered child support payments and the expected annual aggregated dollar amount of payments
- C. Number and percent of participants who were enrolled in telephone lifeline and/or energy discounts with the assistance of the agency and the expected aggregated dollar amount of savings

Economic Asset Enhancement and Utilization

- D. Number and percent of participants demonstrating ability to complete and maintain a budget for over 90 days
- E. Number and percent of participants opening an Individual Development Account (IDA) or other savings account
- F. Number and percent of participants who increased their savings through IDA or other savings accounts and the aggregated amount of savings
- G. Number and percent of participants capitalizing a small business with accumulated IDA or other savings
- H. Number and percent of participants pursuing postsecondary education with accumulated IDA or other savings
- I. Number and percent of participants purchasing a home with accumulated IDA or other savings
- J. Number and percent of participants purchasing other assets with accumulated IDA or other savings

Appendix 4 (continued)

GOAL 2: THE CONDITIONS IN WHICH LOW-INCOME PEOPLE LIVE ARE IMPROVED

National Performance Indicator 2.1

Community Improvement and Revitalization

Increase in, or safeguarding of, threatened opportunities and community resources or services for low-income people in the community as a result of Community Action projects/initiatives or advocacy with other public and private agencies, as measured by one or more of the following:

- A. Jobs created, or saved, from reduction or elimination in the community
- B. Accessible "living wage" jobs created, or saved, from reduction or elimination in the community
- C. Safe and affordable housing units created in the community
- D. Safe and affordable housing units in the community preserved or improved through construction, weatherization or rehabilitation achieved by Community Action activity or advocacy
- E. Accessible safe and affordable health care services/facilities for low-income people created, or saved from reduction or elimination
- F. Accessible safe and affordable child care or child development placement opportunities for low-income families created, or saved from reduction or elimination
- G. Accessible before-school and after-school program placement opportunities for low-income families created, or saved from reduction or elimination
- H. Accessible new or expanded transportation resources, or those that are saved from reduction or elimination, that are available to low-income people, including public or private transportation
- I. Accessible or increased educational and training placement opportunities, or those that are saved from reduction or elimination, that are available for low-income people in the community, including vocational, literacy, and life skill training, ABE/GED, and postsecondary education

National Performance Indicator 2.2

Community Quality of Life and Assets

The quality of life and assets in low-income neighborhoods are improved by Community Action initiative or advocacy, as measured by one or more of the following:

- A. Increases in community assets as a result of a change in law, regulation or policy, which results in improvements in quality of life and assets
- B. Increase in the availability or preservation of community facilities
- C. Increase in the availability or preservation of community services to improve public health and safety
- D. Increase in the availability or preservation of commercial services within low-income neighborhoods
- E. Increase in or preservation of neighborhood quality-of-life resources

National Performance Indicator 2.3

Community Engagement

The number of community members working with Community Action to improve conditions in the community.

- A. Number of community members mobilized by Community Action that participate in community revitalization and anti-poverty initiatives
- B. Number of volunteer hours donated to the agency (This will be ALL volunteer hours)

National Performance Indicator 2.4

Employment Growth from ARRA Funds

The total number of jobs created or saved, at least in part by ARRA funds, in the community.

- A. Jobs created at least in part by ARRA funds
- B. Jobs saved at least in part by ARRA funds

Appendix 4 (continued)

GOAL 3: LOW-INCOME PEOPLE OWN A STAKE IN THEIR COMMUNITY

National Performance Indicator 3.1

Community Enhancement through Maximum Feasible Participation

The number of volunteer hours donated to Community Action.

- A. Total number of volunteer hours donated by low-income individuals to Community Action (This is ONLY the number of volunteer hours from individuals who are low-income)

National Performance Indicator 3.2

Community Empowerment through Maximum Feasible Participation

The number of low-income people mobilized as a direct result of Community Action initiative to engage in activities that support and promote their own well-being and that of their community, as measured by one or more of the following:

- A. Number of low-income people participating in formal community organizations, government, boards or councils that provide input to decision-making and policy-setting through Community Action efforts
- B. Number of low-income people acquiring businesses in their community as a result of Community Action assistance
- C. Number of low-income people purchasing their own home in their community as a result of Community Action assistance
- D. Number of low-income people engaged in non-governance community activities or groups created or supported by Community Action

GOAL 4: PARTNERSHIPS AMONG SUPPORTERS AND PROVIDERS OF SERVICES TO LOW-INCOME PEOPLE ARE ACHIEVED

National Performance Indicator 4.1

Expanding Opportunities through Community-Wide Partnerships

The number of organizations, both public and private, that Community Action actively works with to expand resources and opportunities in order to achieve family and community outcomes.

- A. Non-Profit
- B. Faith Based
- C. Local Government
- D. State Government
- E. Federal Government
- F. For-Profit Business or Corporation
- G. Consortiums/Collaboration
- H. Housing Consortiums/Collaboration
- I. School Districts
- J. Institutions of postsecondary education/training
- K. Financial/Banking Institutions
- L. Health Service Institutions
- M. State wide associations or collaborations

GOAL 5: AGENCIES INCREASE THEIR CAPACITY TO ACHIEVE RESULTS

National Performance Indicator 5.1

Agency Development

The number of human capital resources available to Community Action that increase agency capacity to achieve family and community outcomes, as measured by one or more of the following:

- A. Number of Certified Community Action Professionals
- B. Number of Nationally Certified ROMA Trainers
- C. Number of Family Development Certified Staff
- D. Number of Child Development Certified Staff
- E. Number of staff attending trainings
- F. Number of board members attending trainings
- G. *Hours* of staff in trainings
- H. *Hours* of board members in trainings

Appendix 4 (continued)

GOAL 6: LOW-INCOME PEOPLE, ESPECIALLY VULNERABLE POPULATIONS, ACHIEVE THEIR POTENTIAL BY STRENGTHENING FAMILY AND OTHER SUPPORTIVE ENVIRONMENTS

National Performance Indicator 6.1

Independent Living

The number of vulnerable individuals receiving services from Community Action who maintain an independent living situation as a result of those services:

- A. Senior Citizens (seniors can be reported twice, once under Senior Citizens and again if they are disabled under Individuals with Disabilities, ages 55-over)
- B. Individuals with Disabilities
 - Ages:
 - 0-17
 - 18-54
 - 55-over
 - Age Unknown

National Performance Indicator 6.2

Emergency Assistance

The number of low-income individuals served by Community Action who sought emergency assistance and the number of those individuals for whom assistance was provided, including such services as:

- A. Emergency Food
- B. Emergency fuel or utility payments funded by LIHEAP or other public and private funding sources
- C. Emergency Rent or Mortgage Assistance
- D. Emergency Car or Home Repair (i.e. structural, appliance, heating system, etc.)
- E. Emergency Temporary Shelter
- F. Emergency Medical Care
- G. Emergency Protection from Violence
- H. Emergency Legal Assistance
- I. Emergency Transportation
- J. Emergency Disaster Relief
- K. Emergency Clothing

National Performance Indicator 6.3

Child and Family Development

The number and percentage of all infants, children, youth, parents, and other adults participating in developmental or enrichment programs who achieve program goals, as measured by one or more of the following:

INFANTS & CHILDREN

- A. Infants and children obtain age-appropriate immunizations, medical, and dental care
- B. Infant and child health and physical development are improved as a result of adequate nutrition
- C. Children participate in pre-school activities to develop school readiness skills
- D. Children who participate in pre-school activities are developmentally ready to enter Kindergarten or 1st Grade

YOUTH

- E. Youth improve health and physical development
- F. Youth improve social/emotional development
- G. Youth avoid risk-taking behavior for a defined period of time
- H. Youth have reduced involvement with criminal justice system
- I. Youth increase academic, athletic, or social skills for school success

ADULTS

- J. Parents and other adults learn and exhibit improved parenting skills
- K. Parents and other adults learn and exhibit improved family functioning skills

Appendix 4 (continued)

National Performance Indicator 6.4

Family Supports (Seniors, Disabled and Caregivers)

Low-income people who are unable to work, especially seniors, adults with disabilities, and caregivers, for whom barriers to family stability are reduced or eliminated, as measured by one or more of the following:

- A. Enrolled children in before or after school programs
- B. Obtained care for child or other dependant
- C. Obtained access to reliable transportation and/or driver's license
- D. Obtained health care services for themselves or family member
- E. Obtained and/or maintained safe and affordable housing
- F. Obtained food assistance
- G. Obtained non-emergency LIHEAP energy assistance
- H. Obtained non-emergency WX energy assistance
- I. Obtained other non-emergency energy assistance (State/local/private energy programs. Do Not Include LIHEAP or WX)

National Performance Indicator 6.5

Service Counts

The number of services provided to low-income individuals and/or families, as measured by one or more of the following:

- A. Food Boxes
- B. Pounds of Food
- C. Units of Clothing
- D. Rides Provided
- E. Information and Referral Calls

Appendix 5

Expenditure Descriptions for Budget Preparation

Explanations of selected items of allowed or disallowed costs under each Cost Category.

1. PERSONNEL SERVICES:

a. SALARIES AND WAGES

The gross amount of salaries and wages before any payroll deductions. Included are: all payments for personal services of full-time, part-time or temporary agency employees (not volunteers).

ALLOWABLE WITH PRIOR APPROVAL: Overtime premiums, extra-pay shifts and multi-shift work, except for the following (which do not need prior approval):

1. when necessary to cope with an emergency
2. when employees are performing indirect functions

Not included: Services provided by professional or technical consultants (which are included in 3.a., Consultants).

b. FRINGE BENEFITS

Percentage of total salary for all paid personnel charged to CSBG.

Payroll Taxes

Agency share of Social Security, unemployment and other taxes based upon payroll amount.

Employee Benefits

Benefits paid by agency on behalf of employees including retirement contributions, health, and life insurance.

2. DELEGATE AGENCIES:

The total \$ amount of contracts entered into by recipient with not-for-profit corporations for the performance of certain portions of the work. The contract must have prior approval from the Department and must include a summary of the budget and work program. Selection of delegate agencies must be consistent with guidelines established in Program Instruction 96-04, issued April 15, 1996.

3. CONTRACTUAL SERVICES/AUDIT:

Professional and technical services needed for the operation of the CSBG funded program, for which the grantee lacks the necessary expertise, and can demonstrate the economy of contracting out rather than direct employment.

Excluded are:

1. costs for financial counsel used solely to enhance income from investments;
2. legal, accounting and consultant services cost incurred in connection with prosecution of claims against the grantor; and
3. costs incurred in connection with organization or reorganization, unless specifically provided for in the allocation award.

Note: It may be necessary to submit IRS Form SS-8 for persons hired as consultants.

a. CONSULTANTS

Professional and technical specialists retained on a project-specific basis, for counsel, research, training, and other specialized activities, as set forth in the approved work program.

b. BOOKKEEPING

c. DATA PROCESSING

Technical services such as automated payroll service and other administratively related data processing services.

d. OTHER CONTRACTUAL SERVICES

Project related services including data processing and analysis not provided under consultant contracts.

Appendix 5 (continued)

4. EQUIPMENT PURCHASE/LEASE:

Non-expendable personal property with a unit cost of \$5,000 or more and having a useful life of more than one year.

Items purchased that increase the capacity or efficiency of items with original acquisition cost of \$5,000 or more and having a useful life of more than one year must be included under this section. This subsequent purchase does not necessarily have to meet the minimum threshold to apply. For example, a telephone with a cost of under \$5,000, added to an already established phone network, will now be included under purchase and lease.

Purchase and lease of such items must comply with contract bidding requirements. Items with a unit acquisition cost in excess of \$5,000 must be listed.

Information Technology (IT) equipment is defined as general purpose equipment and is, therefore, unallowable as a direct charge except where approved in advance by the awarding agency. If allowed, IT equipment is subject to the above regulations. IT equipment includes telecommunications, information processing, data processing, business and multi-media equipment.

Purchases

Total cost of equipment and other non-consumable item purchases.

Leases/Rentals

Total cost of lease or rental equipment and other non-consumable items. Justification for lease vs. purchase must be on file at the grantee office.

5. OTHER DIRECT COSTS:

a. BANK CHARGES

Fees for checks, charges for monthly statements.

b. BENEFICIARY CLIENT COSTS

Cost other than travel, such as tuition and educational fees, advertising program availability, subsistence allowances paid to or on behalf of clients.

Consumable supplies used by clients, including personal articles such as clothing, bedding, toiletries, etc., used or consumed directly by clients benefitting from the CSBG program.

Food consumed by clients in connection with programs, including foodstuffs purchased and prepared for client consumption at the program site, and food pantry stock.

c. BOARD ALLOWANCE AND DEVELOPMENT

Provision of reasonable allowance for board training, development and participation at board and committee meetings.

Not included is travel which is included in category 5.l., Travel.

d. CONSUMABLE SUPPLIES

Office Supplies and Minor Accessories

All types of consumable office supplies including: writing instruments, stationery, printed forms, reproduction and photocopying supplies, and all other supply items commonly used in office operation.

Program Supplies and Minor Equipment

Consumable program supplies such as books, printed forms and materials, recreational supplies, educational supplies, films and visual aids, and other supplies used for day-to-day operation of programs.

Maintenance Supplies

Maintenance or janitorial supplies such as cleaning materials, soap, disinfectant, paper towels.

(NOTE: This category does not include items "consumed" by beneficiaries, such as food, household goods, toiletries, etc.)

Appendix 5 (continued)

e. EMPLOYEE DEVELOPMENT AND RECRUITMENT

Costs such as dues to professional organizations, tuition, seminar and conference fees, and educational programs for employee development. Costs for recruitment of new employees, including advertising for employees, relocation expenses or allowances, background and credit investigations, and other costs relative to improving, developing, and securing recipient personnel.

f. INSURANCE AND BONDING

Insurance premiums for all types of insurance which protect the recipient against loss.

Not included are: insurance for the benefit of employees (see category 1.b Fringe) or insurance for recipient owned/leased vehicles (see category 5.I., Travel, Agency Vehicle Related Expenses).

g. POSTAGE, FREIGHT AND EXPRESS

Postage including stamps and special handling costs, freight and express mail charges, and any other costs of transporting materials, documents, or communications.

Not included are: costs of transporting equipment purchased from manufacturer or seller which would be part of equipment cost in category 4, Equipment Purchase/Lease.

h. PUBLICATIONS, PRINTING AND SUBSCRIPTIONS

Publications and books, subscriptions to periodicals and newspapers, printing of recipients' interim and annual reports, newsletters, informational materials, employee tests, etc.

i. REPAIRS AND SERVICES

Maintenance of office equipment and furniture, program equipment, photographic services, mailing and typing services, and other non-professional, non-technical services.

Not included are: professional technical services which should be included in category 3.a., Consultants.

j. SPACE COSTS

Total amount for the year, including the following allowable categories.

Rental/Lease

Rent for space occupied pursuant to lease agreements.

Per the Department of State memorandum dated January 25, 1991 to all CSBG grantees, guidance was given regarding space costs and real property acquisition costs allowable under the CSBG program. Grantees should refer to Office of Management and Budget (OMB) Circular A-122, Attachment B, Paragraph 43 for a definition of "greater- and less-than-arms-length lease agreements" to determine which type of lease agreement they have. Briefly, the memorandum stated the following:

GREATER-THAN-ARMS-LENGTH LEASES

Space costs may be recovered in an amount equal to the monthly rent plus actual operating expenses (heat, light, maintenance) incurred during the contract period. Where appropriate, space costs and operating expenses must be prorated over the entire fiscal year.

SUBGRANTEE PROPERTY ACQUISITIONS and LESS-THAN-ARMS-LENGTH LEASES

Subgrantees who acquire a facility and subsequently lease space to the CSBG program must clearly demonstrate that the corporation, and not the grant, is committed to the mortgage.

For specific information on how to compute allowable space costs in situations where property acquisition and less-than-arms-length leases are involved, grantees should refer to the 1/25/91 memo or contact the assigned fiscal field representative.

Maintenance

Maintenance, janitorial, pest extermination, snow removal, and refuse collection services where these services are not furnished by the lessor of property.

Utilities

Water, electricity, gas heat, etc., which are not furnished by the landlord under the lease agreement.

Appendix 5 (continued)

Other Space Costs

Security services, alarm systems, cost for changing business locations, etc.

k. TELEPHONE AND ELECTRONIC COMMUNICATIONS

General operating expenses and service facilities for telephones and other electronic communication costs, including local and long distance charges, telegraph, facsimile.

l. TRAVEL

Total amount for the year. Travel guidelines approved by the board of directors must be submitted or updated annually. Guidelines allowing expenses in excess of the industry norm must be justified. If not properly justified, expenses will be capped at the current state rate.

Allowable expenses include agency vehicle related expenses and employee, beneficiary, and board member travel on agency-related business. Travel expenses from these persons must comply with grantee travel guidelines as submitted.

m. VOLUNTEER AND EMPLOYER FURNISHED SERVICES

Volunteer Services

The value of volunteer time (including basic fringe benefits that would otherwise be paid for the title) donated to carry out services and activities funded by or supported with CSBG funds (excluding service on the board of directors). The rate charged for volunteer time should be consistent with the organization's pay scale for similar work. Should the particular skill or type of work not be found within the organization, rates consistent within the labor market in which the organization competes should be used.

Employer Furnished Services

The value of services provided by an employer, who is not the grantee, will be the documented rate of pay (including fringe benefits) for the employee.

n. MARKETING/PUBLIC AWARENESS/OUTREACH

Includes community relations and means those activities dedicated to maintaining the image of the organization or maintaining or promoting understanding and favorable relations with the community or public at large.

Allowable public relations/marketing costs are costs of communicating with the public pertaining to specific activities or accomplishments resulting from the performance of sponsored awards (these costs are considered outreach effort). Also, the costs of conducting general liaison to keep the public informed on matters of public concern such as notices of contract/grant awards and financial matters are allowed.

Costs of promotional items and memorabilia and costs designed solely to promote the non-profit organization are unallowable.

o. TECHNOLOGY

Includes individual items used for information technology (IT) not exceeding \$5000.

Allowable technology costs include computers, printers, scanners, servers, fax machines, software packages and licenses, and other IT related supplies or services (cables, work stations, professional installation, etc).

Items over \$5,000 must be included in Equipment or Contractual Services.

p. UNALLOWABLE COSTS INCLUDE, BUT ARE NOT LIMITED TO:

1. Alcoholic beverages
2. Bad debts, including any related collection and legal costs
3. Charitable contributions and donations by the organization to others
4. Contingency reserves
5. Entertainment costs

Appendix 5 (continued)

6. Fines and penalties resulting from violations by the organization or employees of Federal, State and Local laws and regulations
7. Fund-raising costs incurred solely to raise capital or obtain contributions
8. Goods or services for personal use of employees
9. Idle facilities, unless necessary due to fluctuations in workload
10. Insurance of lives of trustees, officers or employees when the organization is a beneficiary
11. Lobbying costs as identified in OMB Circular A-122
12. Losses from other awards
13. Memberships in country clubs, social clubs or dining clubs
14. Taxes:
 - a. Federal income taxes
 - b. Taxes for which exemptions are available to the organization directly or via the Federal government

6. APPROVED INDIRECT COST:

Percentage rate approved by cognizant agency as applied to approved federal fund expenditure base.

Attach a copy of the current indirect cost rate approval.

For more information on allowable costs, audit requirements and managing federal grants refer to OMB circulars A-110, A-122, and A-133 located on the internet at www.whitehouse.gov/omb/circulars.

Appendix 6

Standard State Contract

The link to the Standard New York State contract for this funding award is: <http://www.dos.ny.gov/funding/RFA-14-CSBG-5/index.html>.

Appendix 7

The Hatch Act: Who is Covered?

The Hatch Act restricts the political activity of individuals principally employed by state or local executive agencies and who work in connection with programs **financed in whole or in part by federal loans or grants**. Usually, employment with a state or local agency constitutes the principal employment of the employee in question. However, when an employee holds two or more jobs, principal employment is generally deemed to be that job which accounts for the most work time and the most earned income.

The following list offers examples of the types of programs which frequently receive financial assistance from the federal government: public health, public welfare, housing, urban renewal and area redevelopment, employment security, labor and industry training, public works, conservation, agricultural, civil defense, transportation, anti-poverty, and law enforcement programs.

Hatch Act provisions also apply to employees of private, nonprofit organizations that plan, develop and coordinate federal Head Start or **Community Service Block Grant** programs.

State and local employees subject to the Hatch Act continue to be covered while on annual leave, sick leave, leave without pay, administrative leave or furlough.

Appendix 8

Links to Information Memoranda 37 and Information Memoranda 82

IM 37:

<http://www.acf.hhs.gov/programs/ocs/resource/im-no-37-definition-and-allowability-of-direct-and-administrative-cost>

The CSBG reauthorization requires that HHS provide a report to Congress that includes use of CSBG funds by grantees by expenditures on *direct* and *administrative* functions (42 U.S.C. § 9917(b)(2)(B)(1999). HHS Information Memorandum #37 was created to ensure consistency in assigning costs to these categories.

IM 82:

<http://www.acf.hhs.gov/programs/ocs/resource/im-no-82-tripartite-boards>

This Information Memorandum addresses a number of policy questions that have arisen in recent years concerning the composition, role, and responsibilities of local community action agency tripartite boards. In addition, the Memorandum describes steps that may be taken by State CSBG lead agencies and State Community Action Associations to promote the continued viability and effectiveness of eligible entities through appropriately constituted and well-functioning tripartite boards.