

New York State



Department of State

## Community Services Block Grant (CSBG)

### Workforce Development Discretionary Grants Consolidated Funding Application

## Request for Applications RFA # 14-CSBG-8 Application Instructions

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RFA Release Date:	May 1, 2014	
	Round 1	Round 2
Questions Due:	May 12, 2014	June 6, 2014
RFA Updates and Responses to Questions Posted:	May 19, 2014	June 10, 2014
<b>Application Due Date/Time:</b>	<b>June 16, 2014</b>	<b>4:00 PM</b>
Amount of Funds to be Awarded:	\$2,000,000	
Term of Award:	1/1/15-12/31/16	

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Application and Instructions: <https://apps.cio.ny.gov/apps/cfa/>

**All applications 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:**

RFA # 14-CSBG-8  
NYS Department of State  
Division of Community Services  
One Commerce Plaza  
99 Washington Avenue, Suite 1020  
Albany, NY 12231-0001

E-mail: [dos.sm.DCS@dos.ny.gov](mailto:dos.sm.DCS@dos.ny.gov)

## INTRODUCTION

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

This year, the Department of State will devote up to \$2,000,000 over two years of Community Services Block Grant (CSBG) discretionary funding to make provisions for competitive awards focused on the priorities of a region's Opportunity Agenda. (The Opportunity Agendas ensure that the funds awarded through the NYS Regional Economic Development Councils (REDC) reach all New Yorkers by identifying and addressing the needs of specified regions and/or chronically distressed communities across New York State). In 2013, REDC developed Opportunity Agendas to ensure low-income communities were included in the economic revitalization spurred by the work and the funding of the REDC. Whether they are workforce skills training and job linkage programs to opportunities created by REDC priority projects, infrastructure improvements eliminating restrictions to economic growth in these areas, social services to address challenges facing the long-term unemployed, or transportation assistance to reach newly created jobs, each Opportunity Agenda seeks to bolster economic productivity across New York State by helping these communities overcome barriers to economic success.

Applicants should demonstrate significant and measurable results on the causes of poverty within a community identified as an Opportunity Area by a Regional Economic Development Council (REDC), in addition to creating opportunities for economic sustainability in the lives of low-income individuals and families. In 2013 Regional Councils developed Opportunity Agendas to ensure low-income communities were included in the economic revitalization spurred by the work and the funding of the Regional Economic Development Councils. Whether they are workforce skills training and job linkage programs to opportunities created by REDC priority projects, infrastructure improvements eliminating restrictions to economic growth in these areas, social services to address challenges facing the long-term unemployed, or transportation assistance to reach newly created jobs, each Opportunity Agenda seeks to bolster economic productivity across New York State by helping these communities overcome barriers to economic success.

Recipients of these CSBG funds are required to demonstrate that all customers to be served by funded projects have an income at or below 125% of the current US Department of Health and Human Services (US DHHS) Poverty Guidelines. (Attachment 4)

### I. FUNDING OPPORTUNITY AND PURPOSE

DOS is making a total of up to \$2,000,000 available over two years to fund awards not to exceed \$400,000 over two years (maximum \$200,000 each year, per award).

The Opportunity Agenda spotlights the power of collaboration between the public and private sectors to address the needs of low-income communities. This year, the CFA will ask applicants to describe the manner in which their projects or initiative advances their region's Opportunity Agenda. Each Regional Council is asked to review and refine its Opportunity Agenda, making adjustments as needed based on new information, availability of funds, and lessons learned since it was adopted. (<http://regionalcouncils.ny.gov/>)

All eligible applicants are invited to either expand an effective and successful existing project scope, or to initiate innovative new strategies to implement a project to advance the purposes of the Opportunity Agenda.

### II. ELIGIBLE APPLICANTS

#### A. Who May Apply

Eligible organizations are not-for-profit 501c(3) Community-Based Organizations (CBOs) and Community Action Agencies (CAAs).

**Community-based organization**, as defined in New York State Executive Law §159-e(4), 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.

**Community Action Agency** 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.

Applicants are **required** to demonstrate that funds will be used to address one or more of the CSBG National Performance Indicators (NPI) (Attachment 3), and will result in clear and self-evident positive outcomes in the lives of low-income individuals and families.

Applicants must be in compliance with applicable state laws and regulations and demonstrate responsible contracting and compliance with past and current public contracts to be eligible for an award for this procurement.

#### **VENDOR PREQUALIFICATION FOR NOT-FOR-PROFITS**

Prequalification is a new statewide process designed to facilitate prompt contracting for not-for-profit vendors. Interested vendors will be asked to submit commonly requested documents, and answer frequently asked questions once. The application requests organizational information about the vendor's *capacity, legal compliance, and integrity*.

Not-for-profit vendors subject to prequalification will submit their responses online in the new Grants Gateway, and all information will be stored in a virtual, secured vault. Once registered with the system, State agencies will have ready access to the vault, eliminating redundant submissions of such information. Not-for-profits will only have to prequalify every three years, with responsibility to keep their information current throughout the three year period. To obtain access to the Grants Gateway, vendors should submit a registration form downloadable on the Grants Reform website (<http://grantsreform.ny.gov/Grantees>) and follow instructions for completing the prequalification process.

**All interested grantee applicants must register and prequalify through the grants gateway prior to submitting an application for this funding opportunity. Failure to do so will result in disqualification from this opportunity.**

#### **B. Due Date and Time**

Applications must be received by June 16, 2014 at 4:00 PM as stated on the cover of this RFA.

Applications received after the deadline will not be considered.

All applications will first be reviewed for completeness to determine if they will be scored.

Proposals deemed incomplete will be rejected. An incomplete proposal is one lacking information where requested.

#### **C. RFA Questions and Updates**

All questions regarding the Workforce Development competitive grant program must be submitted in writing and received on or before the *Questions Due* date as stated on the cover of this RFA. Questions may be sent via e-mail to [dos.sm.DCS@dos.ny.gov](mailto:dos.sm.DCS@dos.ny.gov) or to:

RFA 14-CSBG-8  
NYS Department of State  
Division of Community Services (DCS)  
One Commerce Plaza  
99 Washington Avenue, Suite 1020  
Albany, NY 12231-0001

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 <http://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.

If awarded, the Community-based organization must attend Results-Oriented Management and Accountability (ROMA) training. DCS will provide a ROMA Training Webinar through the New York State Community Action Association (NYSCAA). The NYSCAA website <http://www.nyscaaonline.org> will contain registration information.

### III. ELIGIBLE ACTIVITIES

Proposed eligible activities must consist of strategies to produce outcomes addressing one or more of the attached CSBG National Performance Indicators (NPI) in the following Priority Area: *Workforce Development*. Services and activities should be designed for low-income individuals to increase skills, knowledge, and opportunities for potential and actual employment within an area identified as an Opportunity Area by a Regional Economic Development Council.

Proposals must adhere to the parameters for growth industries and geographic location (if specified) identified in your region's Strategic Plan and Opportunity Agenda. (<http://regionalcouncils.ny.gov/>)

Targeted results should include the following priorities:

1) **Job Creation and Placement**

Expected Result: Workers and potential workers will obtain full-time skilled employment or improve opportunities for skilled employment.

2) **Workforce Education and Development**

Expected Result: Participants will be prepared to obtain full-time skilled employment.

3) **Soft Skill Development**

Expected Result: Participants will be better prepared to enhance their "soft skills" and grow as a full-time, skilled employee.

4) **Entrepreneurial Development**

Expected Results: Participants will obtain essential skills and a greater understanding of financial management, budgeting, market structures, asset-development, taxation, and U.S. banking and credit systems, as related to starting a small business or financial planning linked to employment support and economic mobility.

### IV. COMPLETING THE APPLICATION

Applicants are being solicited through the New York State Consolidated Funding Application (CFA). Applications are available at <https://apps.cio.ny.gov/apps/cfa/>. Applications will only be accepted electronically.

### V. EVALUATING THE APPLICATION

The corresponding score values indicate the importance that DCS places on each evaluation criterion. Completed applications will be reviewed and evaluated against the criteria below.

**Application Information and Certifications, Attestations and Acknowledgements** *Pass/Fail*

The following criteria must also be met to qualify applications for scoring. Failure to meet the following criteria will deem the application incomplete and it will be disqualified.

- Application must be received by the stated due date and time;
- Funding requested does not exceed \$200,000 per year;
- Applicant is a 501(c)(3) and is a CAA or CBO as defined in Section II of this RFA;
- Applicant has been operating as a CAA or CBO for at least **five** years; and,
- Applicant currently provides federally-funded or state-funded services to low-income persons.
- Applicants must be prequalified in the NYS grants gateway.

**BELOW ARE THE EVALUATION CRITERION FOR CSBG FUNDING APPLICATIONS:****Project Summary** *10 points maximum*

Applicant shall provide a summary of the proposed project which shall include:

- Name or Title;
- Overall Goal or Mission;
- Description of Services and Activities;
- Description of Target Area and Population;
- Description of Expected Results and Outcomes;
- Description of Plan to Sustain Project after Expenditure of CSBG Funds; and
- Description of Connection between Your Proposed Project, Your Region's Strategic Plan and Opportunity Agenda.

**Connection between Your Proposed Project, Region's Strategic Plan and Opportunity Agenda** *20 points maximum*

- Describe the relationship between your proposed project and your region's Opportunity Agenda. (<http://regionalcouncils.ny.gov>) Provide demographic information to support the project;
  - Describe the connection between your project, the growth plan, other state funding, and the priority projects receiving funding through the CFA or seeking tax credits for your region as described in the Strategic Plan.
  - Describe the connection between your project, priority areas and geographic locations specified in your region's Opportunity Agenda.
- Provide demographic information to support the project; and,
- Describe the organization's ability to leverage strong commitment and support for this project at the local or regional level.

**Project Description and Outcomes** *30 points maximum*

See instructions for completing Sample Logic Model and Work Plan. The link is found as attachment two on the DOS website at: <http://www.dos.ny.gov/funding/>. See attachment 2.

**Services and Activities**

- Services and activities should be clear and likely to generate stated outcomes;
- Services and activities should adhere to the parameters for growth industries and geographic location identified in your region's Strategic Plan and Opportunity Agenda and connect to poor communities;
- Describe the number of individuals and families who will be served as well as identified needs and available resources; and,
- Describe innovative project design, organization, and implementation.

**Outcomes and Outcome Indicators**

- Outcome indicators should specific, measurable, attainable and realistic; success rates should be based on the total number of participants who will receive services or enroll in programs. Please itemize outcomes related to your application for CSBG funding and for other funding sources, respectively;
- Outcome indicators are correctly linked to the corresponding CSBG NPI. At least one CSBG NPI is identified; and,

- Resources column is complete and shows reasonable application of CSBG, Local Share, and Other Resources for obtaining the stated outcomes, as demonstrated by the type and cost of service and activity proposed, and the impact of outcomes as measured by the number of individuals or families expected to achieve those outcomes.

**Organizational Experience and Capacity** *10 points maximum*

- Describe the organization and relevant experience, capacity, and ability to achieve outcomes included in the projected logic model work plan;
- Describe personnel resources and staff competency that demonstrate how the project will be carried out. Resumes for key staff should be included; and,
- Applicant demonstrates prior organizational experience reporting outcomes pursuant to the Results-Oriented Management and Accountability (ROMA) framework.

**Community Partnerships and Resources** *10 points maximum*

- Describe local and regional partners and other sources of funding which are reasonable and adequate to support the project. Include a detailed description of the goals and target population of the partnership and discuss existing level of collaboration among the public, private and low-income sectors of the community; and,
- Describe and document all additional collaboration, other than funding partnerships, among the public, private, and low-income sectors of the community to address the goals of the Strategic Plan and Opportunity Agenda.

**Budget** *20 points maximum*

Provide a detailed budget containing allowable, reasonable, and necessary costs and demonstrate that expenditures will be carried out to completion of the project. A match of at least 25% of federal funds is required.

The following funding restrictions/guidelines should be noted:

- All costs must be allowable, reasonable, and necessary for the project as enumerated under OMB Circulars A-110, A-122, and A-133. Failure to do so will result in rejection of the application, or the amount of the award may be reduced accordingly. The link is found as attachment five on the DOS website at: <http://www.dos.ny.gov/funding/>.
- CSBG funds may not be used for construction, political activities, or activities otherwise prohibited under 42 U.S.C. §9901, et seq.
- Funds awarded under this RFA may not be used to supplant other federal funds.
- Ineligible costs are those not adequately justified or do not directly support the project.

These include, but are not limited to:

- Cost-sharing or matching funds for other federal grants, lobbying, or intervention in federal regulatory or adjudicatory proceedings. In addition, federal funds may not be used to sue the federal government or any other government entity
- Contingency provisions
- Child care services
- Fines and penalties
- Bad debts
- Donations or contributions
- Entertainment cost
- Idle facilities and idle capacity
- Interest expense
- Lobbying expense
- Losses on other sponsored agreements or contracts
- Construction, political activities, or activities otherwise prohibited under CSBG Act, 42 U.S.C. §9918
- U.S. Citizenship and Immigration Services (USCIS) application fees
- Costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions
- Profit/Fee is not allowable except when subcontracting for routine goods and services with commercial organizations

- Foreign travel
- Construction costs and purchase of real property under this funding opportunity
- Pre-award costs
- Funding for direct reimbursement of proposal development
- Costs for food or refreshments for staff
- Incentive items or gift cards
- General volunteer stipends
- Living allowances for any national volunteer service program participants
- Advertising for purposes other than the recruitment of students
- Public relations for other than reporting progress
- Promotional items and memorabilia
- Meetings relating to fund-raising
- General purpose equipment, e.g. office furnishings, air conditioning, reproduction and printing equipment
- Student travel
- Award certificates
- Capital improvements
- Food and alcoholic beverages

### **M/WBE Utilization Plan**

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 link is found as attachment one on the DOS website at: <http://www.dos.ny.gov/funding/>. See Attachment #1.

### **SECOND LEVEL REVIEW - ADDITIONAL POINTS    *10 points maximum***

The Secretary of State or his designee may award up to a total of ten (10) additional points per application to help achieve demographic and geographic diversity in the promotion of workforce development services and activities for low-income persons.

## **VI. REVIEW AND SELECTION PROCESS**

The evaluation criteria are designed to assess the quality of the proposed project and to determine likelihood of success. The evaluation criteria are considered as a whole in judging the overall quality of an application. Points are awarded only to applications which respond to the evaluation criteria within the context of this program announcement.

**Receipt of Applications:** Each application will be acknowledged as received by the closing due date and time. Applications that are late will not be accepted. Applications which meet further qualifications will then be transmitted to DCS for initial screening, followed by detailed program review and evaluation, rating, and ranking.

**First level review:** Applications that pass initial DCS screening will be evaluated individually by a DCS Review Team. Reviewers will use the evaluation criteria listed herein to review and score applications. Each reviewer will assign a score (maximum = 100) to each application; individual scores will be added and averaged to determine the applicant's score. A complete listing of applicants, along with their applications will be provided to the Secretary of State (or his designee) for second level review.

**Second level review:** The Secretary of State (or his designee) may then review each application and award up to a total of 10 additional points per application (maximum final score=110) to help achieve demographic and geographic regional diversity in the promotion of innovative and effective workforce development services and activities for low-income persons throughout the targeted Opportunity Areas. A total score of 110 points is possible for any application, of which up to 80 points would derive from program criteria and up to 20 points from Regional Economic Development Council endorsement.

An unadjusted maximum score of 110 points is possible based on programmatic criteria. Averaged scores will be multiplied by .725 to arrive at an 80% programmatic score, or up to 80 points. To this programmatic score, up to 20 points will be added based upon the Regional Economic Council endorsement score.

**Awards:** Up to five awards will be made available for up to \$200,000 per award per year.

## VII. AWARD ADMINISTRATION INFORMATION

Successful applicants will be notified of funding decisions prior to the scheduled start date of the projects. Successful applicants 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.

Contracts awarded to successful applicants will be paid on the reimbursement method with a 25% advance paid upon contract approval.

All plans and working documents prepared by applicants under the contract to be awarded will become the property of New York State.

Following announcement of the awards, unsuccessful applicants will have the opportunity to request a debriefing. Requests must be made in writing within two weeks of the announcement of awards, to the same address to which RFA questions were submitted.

The number of projects funded and the amount of the awards will be based on the amount of federal CSBG discretionary funds available.

The Department of State **reserves the rights**, including but not limited to:

1. Reject any or all applications received in response to this 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 fails to conform to the requirements of the 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 proposal 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 interests of the state.
14. Utilize any and all ideas submitted in the proposals received.
15. 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.
16. Waive or modify minor irregularities in applications received.
17. Not to fund an application that fails to submit a clear and concise work plan or budget.
18. 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.
19. Award grants based on geographic or regional considerations to serve the best interests of the state.
20. Award more than one contract resulting from this RFA.

21. In its sole discretion, determine the total number of awards to be granted pursuant to this RFA.
22. In the event that a workplan submitted post award during contract negotiations is substantially different from the application submitted through the procurement process, DOS reserves the right to require modifications to the workplan to bring it into conformance with the application. If no such modifications are made and approved within a reasonable time period, DOS may rescind the award and make funding available to the next highest scoring application.

## VIII. CONTRACTING REQUIREMENTS

**Standard Contract:** Successful applicants must enter into a standard contract with the Department of State (DOS). The contract may be subject to approval by the Attorney General and State Comptroller, require submission of final products in both hard copy and electronic form, and will be subject to payment only upon proper documentation and compliance with payment procedures and all other contractual requirements. A sample standard contract is available at <http://www.dos.ny.gov/funding/>. Sample contracts should not be submitted with this proposal; successful applicants will receive a standard contract package to complete.

**Project Period:** The project period is anticipated to be a one year term with a one year renewal which is expected to cover the period January 1, 2015-December 31, 2016.

**Vendor Responsibility Questionnaire (VRQ):** Successful applicants are required to complete a VRQ prior to contracting. The Department of State recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the *Instructions* available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us). Vendors opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website <http://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.

**LIST OF ATTACHMENTS**

**Attachment 1:** New York State Law and M/WBE Utilization Plan and Instructions

The Word format of this attachment can be found at <http://www.dos.ny.gov/funding/>

**Attachment 2:** Sample logic model and instructions for completing Logic Model Work Plan

The Word format of this attachment can be found at <http://www.dos.ny.gov/funding/>

**Attachment 3:** Federal CSBG National Performance Indicators

**Attachment 4:** Poverty Income Guidelines

**Attachment 5:** OMB Circulars (web addresses)

**Attachment 6:** Sample contract boilerplate documents

**ATTACHMENT 1 – MINORITY/WOMEN OWNED BUSINESS ENTERPRISES (M/WBE)**

1. New York State Law and M/WBE Description
2. Form A – Utilization Plan
3. Form B – Staffing Plan

**ATTACHMENT 1 – MINORITY/WOMEN OWNED BUSINESS ENTERPRISES (M/WBE) – (CONTINUED)****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.

## 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:

Telephone No.:

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

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.	<b>NYS ESD CERTIFIED</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
B.	<b>NYS ESD CERTIFIED</b> <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><b>My firm proposes to use the M/WBEs listed above.</b></p> <p>PREPARED BY (Signature): DATE:</p> <p>NAME AND TITLE OF PREPARER (Print or Type):</p>	TELEPHONE NO.:	EMAIL ADDRESS:
	<b>FOR M/WBE USE ONLY</b>	
	REVIEWED BY:	DATE:
<p>UTILIZATION PLAN APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____</p> <p>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>		
<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.</p>		

**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.

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

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														
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		Native American (M) (F)		Disabled (M) (F)		Veteran (M) (F)		
Officials/Administrators																		
Professionals																		
Technicians																		
Sales Workers																		
Office/Clerical																		
Craft Workers																		
Laborers																		
Service Workers																		
Temporary /Apprentices																		
Totals																		

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

**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 sub-continent 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

**ATTACHMENT 2 – INSTRUCTIONS FOR COMPLETING THE LOGIC MODEL WORK PLAN**

Applicant: \_\_\_\_\_

Project Name/Title: \_\_\_\_\_

<b>Priority Area:</b> Workforce Development	<b>Targeted Activities:</b> (select at least <u>one</u> ) <input type="checkbox"/> Job Creation and Placement <input type="checkbox"/> Workforce Education and Development <input type="checkbox"/> Soft Skill Development <input type="checkbox"/> Entrepreneurial Development
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**SAMPLE LOGIC MODEL – FOR YOUR INFORMATION**

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

## ATTACHMENT 3 – CSBG NATIONAL PERFORMANCE INDICATORS (NPI)

### 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 dependant
- 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 post-secondary 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

**ATTACHMENT 3 – CSBG NATIONAL PERFORMANCE INDICATORS (NPI) – (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 post secondary 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

**ATTACHMENT 3 – CSBG NATIONAL PERFORMANCE INDICATORS (NPI) – (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 post secondary education/training
- K. Financial/Banking Institutions
- L. Health Service Institutions
- M. State wide associations or collaborations

**ATTACHMENT 3 – CSBG NATIONAL PERFORMANCE INDICATORS (NPI) – (CONTINUED)****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

**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

**ATTACHMENT 3 – CSBG NATIONAL PERFORMANCE INDICATORS (NPI) – (CONTINUED)****GOAL 6: (CONTINUED)**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

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

**ATTACHMENT 4 – POVERTY INCOME GUIDELINES****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.

<b>2014 POVERTY GUIDELINES FOR THE 48 CONTIGUOUS STATES AND THE DISTRICT OF COLUMBIA</b>		
<b>Persons in family/ household</b>	<b>100%</b>	<b>125%</b>
<b>1</b>	<b>\$11,670</b>	<b>\$14,587</b>
<b>2</b>	<b>\$15,730</b>	<b>\$19,662</b>
<b>3</b>	<b>\$19,790</b>	<b>\$24,737</b>
<b>4</b>	<b>\$23,850</b>	<b>\$29,812</b>
<b>5</b>	<b>\$27,910</b>	<b>\$34,887</b>
<b>6</b>	<b>\$31,970</b>	<b>\$39,962</b>
<b>7</b>	<b>\$36,030</b>	<b>\$45,037</b>
<b>8</b>	<b>\$40,090</b>	<b>\$50,112</b>
	<i>Add \$4,060 for each additional person.</i>	<i>Add \$5,075 for each additional person.</i>

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>

**ATTACHMENT 5 – OMB CIRCULARS**

Web-address: [http://www.whitehouse.gov/omb/circulars\\_default](http://www.whitehouse.gov/omb/circulars_default)

**Relevant Circulars include:**

- OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
- OMB Circular A-122, Cost Principles for Non-Profit Organizations
- OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations

**ATTACHMENT 6: SAMPLE CONTRACT BOILERPLATE DOCUMENTS**

The sample contract boilerplate provided is primarily from the FFY 2014 Workforce Development Grant. This boilerplate is provided to give the applicant a basic understanding of the terms, conditions, and formatting of the contract. The boilerplate for this FFY 2015 contract is currently in development and will be formatted differently.

The link to the sample contract boilerplate is located at <http://www.dos.ny.gov/funding/>.

## **MINORITY/WOMEN OWNED BUSINESS ENTERPRISES (M/WBE)**

### **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.newycontracts.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.

## 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:

Telephone No.:

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

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.
<b>A.</b>	<b>NYS ESD CERTIFIED</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
<b>B.</b>	<b>NYS ESD CERTIFIED</b> <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><b>My firm proposes to use the M/WBEs listed above.</b></p> <p>PREPARED BY (Signature): DATE:</p> <p>NAME AND TITLE OF PREPARER (Print or Type):</p>	TELEPHONE NO.:	EMAIL ADDRESS:
	<b>FOR M/WBE USE ONLY</b>	
	REVIEWED BY:	DATE:
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.	<p>UTILIZATION PLAN APPROVED: <input type="checkbox"/> YES <input type="checkbox"/> NO Date: _____</p> <p>Contract No.: _____ Project No. (if applicable): _____</p> <p>Contract Award Date: Estimated Date of Completion: Amount Obligated Under the Contract:</p> <p>Description of Work: 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>	

## 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.*

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

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																

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

**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 sub-continent 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

# INSTRUCTIONS FOR COMPLETING THE LOGIC MODEL WORK PLAN

Applicant: \_\_\_\_\_

Project Name/Title: \_\_\_\_\_

<b>Priority Area:</b> Workforce Development	<b>Targeted Activities:</b> (select at least one) <input type="checkbox"/> Job Creation and Placement <input type="checkbox"/> Workforce Education and Development <input type="checkbox"/> Soft Skill Development <input type="checkbox"/> Entrepreneurial Development
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## SAMPLE LOGIC MODEL – FOR YOUR INFORMATION

Identified Problem or Need	Resources	Service or Activity	Outcome	Outcome Indicator	CSBG National Performance Indicator
(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><b>CSBG Funds</b></p> <p>\$</p> <p><b>Local Share Cash</b></p> <p>\$</p> <p><b>In-Kind</b></p> <p>\$</p> <p><b>Total Other Cash</b></p> <p>\$</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 <b>outputs</b>.)</p> <p>For each distinct activity or service, include the following information:</p> <p>(a) A <b>brief description</b> of the service or activity</p> <p>(b) The <b>number of participants</b> who will receive the service or enroll in the program</p> <p>(c) The <b>time frame</b> 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 within an identified Opportunity Area.</p>	<p>Identify the project’s anticipated results in specific terms, including projected success rates.</p> <p>For each outcome indicator include:</p> <p>(a) The <b>number</b> of participants expected to achieve the outcome</p> <p>(b) The <b>number</b> of participants expected to receive the service or enroll in the program</p> <p>(c) The <b>percentage</b> 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 directly correspond to the CSBG NPIs, indicate “N/A.”</p>
<p><b>EXAMPLE:</b></p> <p>Middle school youth lack the skills needed to manage conflicts constructively.</p>	<p><b>EXAMPLE:</b></p> <p><b>CSBG Funds</b> \$100,000</p> <p><b>Local Share Cash</b> \$10,000</p> <p><b>In-Kind</b> \$15,000</p> <p><b>Total Other Cash</b> \$5,000</p>	<p><b>EXAMPLE:</b></p> <p>Peer mediation training will be provided to 20 middle school students between Feb. 1 and April 30.</p>	<p><b>EXAMPLE:</b></p> <p>Middle school youth demonstrate the ability to resolve conflicts through non-violent means.</p>	<p><b>EXAMPLE:</b></p> <p>15 of 20 youth, or 75% of middle school youth, acquire skills in conflict resolution and peer mediation.</p>	<p><b>EXAMPLE:</b></p> <p>6.3B.5</p>

**Applicant:** \_\_\_\_\_

**Project Name/Title:** \_\_\_\_\_

<b>Priority Area:</b> Workforce Development	<b>Targeted Activities:</b> (select at least <u>one</u> ) <input type="checkbox"/> Job Creation and Placement <input type="checkbox"/> Workforce Education and Development <input type="checkbox"/> Soft Skill Development <input type="checkbox"/> Entrepreneurial Development
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Identified Problem or Need	Resources	Service or Activity	Outcome	Outcome Indicator	CSBG National Performance Indicator