



**New York Community
Greenworks Initiative
Request for Applications
17-OPD-04
Grant Application Instructions**

KEY DATES

Release Date:	April 28, 2017
Questions Due Date:	May 17, 2017
Updates & Responses to Questions Posted Date:	May 24, 2017
Application Due Date:	June 15, 2017 at 4:00pm
Contract Start Date:	October 1, 2017

Contact:

Sarah Crowell
One Commerce Plaza
99 Washington Avenue, Suite 1010
Albany, New York 12231
E-mail: NYSGreenworks@dos.ny.gov

Proposal Submission:

Chet Fiske, Contract Administration Unit
New York State Department of State
New York Community Greenworks Initiative, #17-OPD-04
One Commerce Plaza
99 Washington Avenue, Suite 1110
Albany, New York 12231

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I. New York Community Greenworks

Introduction

Across the state, low-income New Yorkers struggle to find quality affordable housing in attractive, livable neighborhoods with welcoming public spaces. Many of the communities where low-income New Yorkers now live are riddled with abandoned and underused properties that contribute to neighborhood destabilization. In addition, these communities are disconnected from the public health and other benefits that accompany the recent surge of public and private investment in clean energy and green infrastructure. This disconnect can manifest itself in missed opportunities for individuals in these neighborhoods to find employment in this growing sector.

The New York Community Greenworks Initiative has been developed to bridge the gap between low-income New Yorkers and their participation and work in the green technology sector.

New York Community Greenworks Overview

The New York Community Greenworks Initiative will award one not-for-profit (NFP) organization up to \$300,000 to develop a dynamic and effective green sector community development curriculum that teaches a holistic approach to public engagement, green, technology and job training/placement. The curriculum will be used to train “Green Leaders” to redevelop disadvantaged neighborhoods and transform them into energy-efficient, sustainable communities, with improved living conditions, and a pathway for community members to secure employment in the green technology sector. The awardee will be designated the “New York Community Greenworks Trainer”.

Governor Cuomo’s “Green Leaders” will be not-for-profit organizations that undertake community development projects after each Leader has received training by the New York Community Greenworks Trainer (Greenworks Trainer). Green Leaders must apply to the Secretary of State for participation in the training program conducted by the Greenworks Trainer.

TRAINING THE TRAINERS GOALS & GREENWORKS ACTION PLAN DESIGN

The New York Community Greenworks Initiative awardee will be selected through this Request for Applications (RFA) issued by the Department of State (DOS) to deliver one centralized training institute – the “Green Leaders Training Institute” – to enhance Green Leaders’ capacity to undertake community redevelopment work.

Training the Trainer Goals: The training delivered by the New York Community Greenworks Trainer must be based on a comprehensive model for community engagement and development, focusing on redeveloping empty homes and abandoned lots with clean, energy-efficient structures that include features for occupancy and use by low-income tenants and community members. The training will be designed to deliver a toolkit that includes, at a minimum:

- Cutting-edge and inclusive public engagement tools effective in low-income neighborhoods;
- Technical assistance on financing models for green construction projects;

- An introduction to the technology and scientific principles of green building projects, such as rain gardens, retrofits, bioswales, solar panels, etc.;
- Skills in constructing and redeveloping empty homes, abandoned lots, and/or underused properties with clean, energy-efficient features;
- Methods and practices necessary for building successful workforce development programs; and
- Identification of local partners in academia and development that could strengthen Green Leaders' work.

During the training, Green Leaders will learn how to apply this toolkit to their own neighborhoods. The program designed by the New York Community Greenworks Trainer should fully prepare Green Leaders to set up and run their own NYS Greenworks Program with a Greenworks Action Plan approved by the State.

Greenworks Action Plan Design: Green Leaders must design a Greenworks Action Plan for the community each Leader represents. At the conclusion of the “Green Leaders Training Institute”, the New York Community Greenworks Trainer will provide technical assistance to help each Green Leader create and refine its Greenworks Action Plan, tailoring the Plan to its community’s unique needs and identifying target properties for redevelopment into model green homes. Each Greenworks Action Plan will include at least one model green construction project that would be ready for implementation. The Department of State (DOS) will be available to provide technical assistance as Green Leaders design and refine their action plans.

INTENT

The intent of this RFA is to award one grant of up to \$300,000 to a not-for-profit organization to conduct a centralized “Green Leaders Training Institute” for up to 10 regional not-for-profit (NFP) partners.

TIMELINE

April 28: DOS issues RFA for the New York Community Greenworks Initiative

June 15: Applications for RFA due

October 1: Approximate contract start date

Late Fall/Early Winter: Training institute commences

Early Winter - Spring: Plans are refined with technical assistance

ELIGIBLE APPLICANTS

NFP organizations located within New York State are eligible for funding under this RFA. NFP organization shall mean any NFP corporation exempt from taxation under section 501(c)(3) of the Internal Revenue Code. Eligible applicants are required to have experience and/or demonstrated ability to provide training to other NFPs. Applications may be submitted jointly by two or more not-for-profit organizations partnering together. One applicant shall be identified as the lead applicant.

II. Scope of Required Services

Overview

This section discusses the required activities and the documentation that should be provided to the Department of State by the New York Community Greenworks Initiative awardee.

Required Activities

The NFP selected as the New York Community Greenworks Trainer will:

1. Have the experience and capacity to provide in-depth training to up to 10 regional NFP partners, or Green Leaders, for a “Green Leaders Training Institute” training program hosted in the State.
2. Develop a “Green Leaders Training Institute” implementation plan and curriculum to be approved by the Department of State. The curriculum shall include:
 - a. Cutting-edge and inclusive public engagement tools effective in low-income neighborhoods;
 - b. Technical assistance on financing models for green construction projects;
 - c. An introduction to the technology and scientific principles of green building projects, such as rain gardens, retrofits, bioswales, solar panels, etc.;
 - d. Skills in constructing and redeveloping empty homes, abandoned lots, and/or underused properties with clean, energy-efficient features;
 - e. Methods and practices necessary for building successful workforce development programs; and
 - f. Identification of local partners in academia and development that could strengthen Green Leaders’ work.
3. Conduct the “Green Leaders Training Institute” for two weeks and teach a sustainable model of inclusive community development using green technology principles and creating workforce development opportunities for local residents.
4. Provide technical assistance to all Green Leaders following the “Green Leaders Training Institute” to help each Green Leader draft and complete a Greenworks Action Plan. Such technical assistance must include on-site assistance, at the respective principle NFP office of the participating Green Leader.

Application Format

Experience

1. Describe the organization’s experience in providing training to other not-for-profit organizations in the target community, to the target population.
 - a. Describe in detail the organization’s relevant experience in providing training or presentations to other not-for-profits including number of years such training has been provided.
 - b. Describe any training that was provided to not-for-profits that serve underprivileged communities.
 - c. Describe and list the underprivileged communities that were served by the organization.
2. Describe in detail the organization’s experience in redeveloping empty homes, abandoned lots, and/or underused properties with clean, energy-efficient features for occupancy and use by low-income tenants and community members, including:

- a. The organization’s relevant experience in providing such services including the number of years and relevant projects.
 - b. List any entity or person that can endorse the past services delivered by the organization. Applicants must provide at least one letter of support from one entity or person on the list that has endorsed the organization’s past services. The letter(s) provided should be identified as “**Attachment 1**”. Failure to provide at least one letter of support will disqualify an applicant from consideration.
3. List the organization’s professional relationships that will advance this New York Community Greenworks Initiative and provide services to urban low-income populations, both locally and statewide.
 - a. Describe the nature of relationships your organization has with:
 - i. Relevant building contractors;
 - ii. Relevant academic institutions; and
 - iii. Other relevant organizations including but not limited to (federal, state, and local organizations).
4. Describe the organization’s experience in providing technical assistance to other NFPs.
5. Describe the organization’s capacity and experience with effective public engagement with low-income communities, including:
 - a. Previous public engagement campaigns led by the organization, including:
 - i. Types of campaigns previously conducted and the target audience sought through each campaign. Include any such previous public engagement campaigns that addressed job training/employment, and green sector development;
 - ii. Methods used to conduct outreach; and
 - iii. Formats utilized to conduct outreach.

Capacity

1. Describe the organization’s capacity to implement the New York Community Greenworks Initiative. Include key staff, their roles in development and delivery of the project.
2. Provide the following information:
 - a. An explanation of how the organization will use its expertise and capacity to deliver a new and innovative statewide training program at the “Green Leaders Training Institute”;
 - b. A description of each component of the program in detail; and
 - c. Identification of the actions and any participants that are necessary to implement each program component.
3. Describe the organization’s current complement of program offerings, including the inventory of programs offered by your NFP.
 - a. Describe in detail all programs your NFP offers including:
 - i. Brief history of each program;
 - ii. Current status of each program; and
 - iii. Any plans for future programs.
4. Describe your organization’s ability to provide technical assistance, including responding to requests for information after conclusion of the “Green Leaders Training Institute”.
 - a. Describe the organization’s capacity to provide technical assistance to the up to 10 Green Leaders for the Action Plan Design program component after the “Green Leaders Training Institute” training program is delivered, and as each Green Leader designs and refines a Greenworks Action Plan for its community.

5. In an attachment, include information for each proposed essential staff position that will be facilitating this training program at the “Green Leaders Training Institute.” This information and documentation is required for all staff supporting the program implementation at the “Green Leaders Training Institute”, including funded staff and in-kind staff.
 - a. Provide a list as **Attachment 2**, entitled “Job Descriptions of Key Staff”, with all essential staff positions that will be facilitating the “Green Leaders Training Institute” training program including the individual’s:
 - i. Name;
 - ii. Title;
 - iii. Job description;
 - iv. Qualification requirements;
 - v. Annual salary;
 - vi. Proposed percentage of time that will be spent on this program; and
 - vii. If in-kind staff will be utilized, describe the in-kind effort and anticipated contribution.
 - b. Provide the resume for each person identified in the “Job Descriptions of Key Staff” (**Attachment 2**).
6. Describe how your organization will utilize its personnel to staff the “Green Leaders Training Institute”.
7. Describe paid or in-kind contributions by partnering organizations that will staff the “Green Leaders Training Institute”.
 - a. Provide written agreements, either proposed or existing that your organization has or would undertake with each entity that will provide personnel to conduct training at the “Green Leaders Training Institute”.
 - b. Describe in **Attachment 2**, whether and in what capacity personnel from other organizations will staff the “Green Leaders Training Institute”.

Service Description

1. Describe how your organization will develop the curriculum for the “Green Leaders Training Institute”.
2. Outline and describe the components of the “Green Leaders Training Institute” curriculum, with reference to the toolkit in Section I.
3. Provide an operational plan through which such curriculum will be delivered to up to 10 Green Leaders. Include in such operation plan all that would be necessary to have an Institute that would be fully functional and sustaining for two weeks, and how your organization will provide technical assistance to the Green Leaders as each designs and refines a Greenworks Action Plan for its community.
4. A broad timeline has been provided in Section I. Please submit a more detailed timeline delineating your organization’s goals for accomplishing the key services below:
 - i. Startup time
 - ii. Planning period
 - iii. Curriculum development
 - iv. Outreach
 - v. Dates for “Green Leaders Training Institute”

- vi. Technical Assistance Period for local Greenworks Action Plan development

Budget

1. Submit a detailed budget as Attachment 3, “Budget Summary”, for up to \$300,000 that covers all activities required under this RFA. Only direct expenses of the project may be included. Administrative costs may not exceed 15% of the total annual budget. Include all costs for the first year, including start-up, program development, and program implementation costs.
 - a. As **Attachment 3**, prepare a spreadsheet line item, expenditure-based budget that outlines the anticipated budget for the first year that includes but is not limited to;
 - i. Staffing for the “Green Leaders Training Institute” program, including the staff needs to deliver technical assistance to the Green Leaders as each designs and refines a Greenworks Action Plan for its community;
 - ii. Supplies and materials;
 - iii. Travel for staff and trainees; and/or
 - iv. Speaker or consultants fees (contractual services).
2. Provide a narrative containing the justification for all costs.

III. Funding

Funding and Project Period

The Department of State will make approximately \$300,000 available for this RFA, providing a single award to one organization that will serve as the statewide New York Community Greenworks Initiative Trainer. Funds for this grant can be made available over two years with an approved timeline and a line-item budget of approved expenditures. Funding is contingent upon funds being appropriated in the state budget and the organization's ability to meet the program requirements in the first year of the contract as stipulated in this RFA.

Eligible Expenses

Only direct costs for the project are eligible. Funds may be used for the following purposes:

1. Personal Services, including direct salaries, wages and fringe benefits for activities related to project work by employees;
2. Direct costs associated with the delivery of training programs to Green Leaders;
3. Technological purchases directly related to and for the dedicated use of the provision of services set forth in the agreement;
4. Costs to develop training materials and resources for use during the "Green Leaders Training Institute" training programs, including contractual or consultant services;
5. Costs of materials utilized towards the promotion and dissemination of information for the "Green Leaders Training Institute"; and
6. Travel expenses directly related to establishing or conducting of the "Green Leaders Training Institute" or providing ongoing technical assistance to Green Leaders.

Ineligible Expenses

Any expenses not fully justified may be deemed ineligible and removed from the budget, thereby reducing the award amount.

Recurring expenses such as overhead costs are ineligible.

Funds may not be used for the following purposes:

1. Capital improvements.
2. Contingency provisions.
3. Taxes, fines and penalties.
4. Bad debts.
5. Purchasing ads in annual gala event, other forms of donations or other forms of fundraising.
6. Donations or contributions.
7. Entertainment costs.
8. Idle facilities and idle capacity.
9. Interest expense.

10. Lobbying expense.
11. Losses on other sponsored agreements or contracts.
12. 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.
13. Profit/Fee is not allowable except when subcontracting for routine goods and services with commercial organizations.
14. Foreign travel.
15. Construction costs and purchase of real property under this funding opportunity.
16. Pre-award costs.
17. Funding for direct reimbursement of proposal development.
18. Costs for food or refreshments for staff.
19. General volunteer stipends.
20. Living allowances for any national volunteer service program participants.
21. Advertising.
22. Public relations for other than reporting progress.
23. Promotional items and memorabilia.
24. Meetings relating to fund-raising.
25. General-purpose equipment, e.g. office furnishings, air conditioning, reproduction and printing equipment.
26. Alcoholic beverages.
27. Any other cost item that is not reasonable or necessary in furtherance of the work plan and project described herein.

III. Application Procedures

Application Questions and Updates

All questions regarding this 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, and sent via email to NYSGreenworks@dos.ny.gov. All e-mails should clearly indicate in the subject line: NYS Greenworks Application RFA 17-OPD-04, General Question. No responses will be provided to inquiries made by telephone. Questions and answers will be posted at www.dos.ny.gov on the date stated on the cover of this RFA. Questions received after the due date will not receive a response.

Application Submission

One complete original application, plus three exact copies of the original application must be submitted (for a total of 4) by the date and time stated on the cover of this RFA. All submissions must contain the complete application, including attachments. All applications must be delivered to:

Mr. Chet Fiske, Contract Administration Unit
New York State Department of State
Bureau of Fiscal Management
RFA #17-OPD-04
1 Commerce Plaza, 99 Washington Avenue, Suite 1110
Albany, NY 12231-0001

Electronic or fax copies will not be accepted. All applications must be complete to be considered for review and must be received by the due date and time stated on the cover of this RFA. **Late applications will not be considered.**

V. Application Evaluation

The following criteria must be met to qualify applications for consideration; failure to meet the criteria will result in disqualification of the application. Applications that are disqualified will not be evaluated for award consideration. A contract will be awarded to the applicant that scores the highest in the evaluation. No award will be made to applicants that score less than 70 out of 100 points.

Pass/Fail

1. Application **MUST** be received by the stated due date and time;
2. Each applicant **MUST** be a not-for-profit organization with 501(c)(3) IRS status.
3. Applicants must submit at least one letter of support.
4. Applicant must be prequalified in the Grants Gateway by the application due date.

Failure to comply with this criteria will result in the disqualification of an application. Disqualified applications will not be scored.

Evaluation Criteria

Applications that pass the initial screening will be evaluated individually by a Department of State review team. Reviewers will use the evaluation criteria listed herein to review and score applications. Each reviewer will assign a score up to a maximum of 100 points to each application; individual scores will be added and averaged to determine the applicant's final score.

Experience – 30 points

This section is intended to measure the level of experience that the applicant brings to bear. Applicants will be scored on each of the following criteria and may be awarded up to 30 total points for this section. Each criteria has a corresponding question within the application.

1. The application described the organization's experience in providing training to other not-for-profit organizations in the target community, to the target population, including:
 - a. The organization's relevant experience in providing training or presentations to other not-for-profits including number of years such training has been provided.
 - b. Any training that was provided to not-for-profits that serve underprivileged communities.
 - c. A description and list the underprivileged communities that were served by the organization.
2. The application described in detail the organization's experience in redeveloping empty homes, abandoned lots, and/or underused properties with clean, energy-efficient features for occupancy and use by low-income tenants and community members, including:
 - a. The organization's relevant experience in providing such services including the number of years and relevant projects.
 - b. The inclusion of a list with any entity or person that can endorse the past services delivered by the organization. The application also included an Attachment 1, with at least one letter of support from one entity or person provided on such list.

3. The application listed the organizations professional relationships that will advance this New York Community Greenworks Initiative and provide services to urban low-income populations, both locally and statewide.
 - a. The application described the nature of relationships the organization has with:
 - i. Relevant building contractors;
 - ii. Relevant academic institutions; and
 - iii. Other relevant organizations including but not limited to federal, state, and local organizations.
4. The application described the organization's experience in providing technical assistance to other NFPs.
5. The application described the organization's capacity and experience with effective public engagement with low-income communities, including:
 - a. Previous public engagement campaigns led by the organization, including:
 - i. Types of campaigns previously conducted and the target audience sought through each campaign. Include any such previous public engagement campaigns that addressed job training/employment, and green sector development;
 - ii. Methods used to conduct outreach; and
 - iii. Formats utilized to conduct outreach.

Capacity – 30 points

This section is intended to measure the level of capacity that the applicant brings to bear. Applicants will be scored on each of the following criteria and may be awarded up to 30 Total points for this section. Each criteria has a corresponding question within the application.

1. The application described the organization's capacity to implement the New York Community Greenworks Initiative. It also included key staff, their roles in development and delivery of the project.
2. The application provided the following information:
 - a. An explanation of how the organization will use its expertise and capacity to deliver a new and innovative statewide training program at the "Green Leaders Training Institute";
 - b. A description of each component of the program in detail; and
 - c. Identification of the actions and any participants that are necessary to implement each program component.
3. The application described the organization's current complement of program offerings, including the inventory of programs offered by your NFP.
 - a. Describe in detail all programs your NFP offers including:
 - i. Brief history of each program;
 - ii. Current status of each program; and
 - iii. Any plans for future programs.
4. The application described the organization's ability to provide technical assistance, including responding to requests for information after conclusion of the "Green Leaders Training Institute", including:
 - a. A description of the organization's capacity to provide technical assistance to the up to 10 Green Leaders for the Action Plan Design program component after the "Green Leaders Training Institute" training program is delivered, and as each Green Leader designs and refines a Greenworks Action Plan for its community.
5. The application included the following information:

- a. A list as **Attachment 2**, entitled “Job Descriptions of Key Staff”, with all essential staff positions that will be facilitating the “Green Leaders Training Institute” training program including the individual’s:
 - i. Name;
 - ii. Title;
 - iii. Job description;
 - iv. Qualification requirements;
 - v. Annual salary;
 - vi. Proposed percentage of time that will be spent on this program; and
 - vii. If in-kind staff will be utilized, describe the in-kind effort and anticipated contribution.
 - b. The resume for each person identified in the “Job Descriptions of Key Staff”, included as **Attachment 2**.
6. The application described how your organization will utilize its personnel to staff the “Green Leaders Training Institute”.
 7. The application described paid or in-kind contributions by partnering organizations that will staff the “Green Leaders Training Institute”.
 - a. Provide written agreements, either proposed or existing that your organization has or would undertake with each entity that will provide personnel to conduct training at the “Green Leaders Training Institute”.
 8. The application described, in **Attachment 2**, whether and in what capacity personnel from other organizations will staff the “Green Leaders Training Institute”

Service Description – 20 points

This section is intended to measure the level of service that the applicant intends to provide upon reward of the contract. Applicants will be scored on each of the following criteria and may be awarded up to 20 Total points for this section. Each criteria has a corresponding question within the application.

1. The application described how your organization will develop the curriculum for the “Green Leaders Training Institute”.
2. The application outlined and described the components of the “Green Leaders Training Institute” curriculum, with reference to the toolkit in Section I.
3. The application provided an operational plan through which such curriculum will be delivered to up to 10 Green Leaders. Include in such operation plan all that would be necessary to have an Institute that would be fully functional and sustaining for two weeks, and how your organization will provide technical assistance to the Green Leaders as each designs and refines a Greenworks Action Plan for its community.
4. The application included a timeline more detailed than the timeline in Section I of this RFA delineating your organization’s goals for accomplishing the key services below:
 - i. Startup time
 - ii. Planning period
 - iii. Curriculum development
 - iv. Outreach

- v. Dates for “Green Leaders Training Institute”
- vi. Technical Assistance Period for local Greenworks Action Plan development

Budget – 20 points

This section is intended to measure the best value proposed for the total cost of reimbursable services performed pursuant to this award.

1. The application contained a detailed budget that was reasonable and contained all required activities.
2. The application included a justification for each cost within the budget provided.

Review and Selection Process

The evaluation criteria are designed to assess the quality of the proposed project and to determine likelihood of a successful program. The evaluation criteria are considered as a whole in judging the overall quality of an application. Points are awarded only to applications that respond to the evaluation criteria within the context of this program application announcement. The contract award will be made to the applicant whose proposal was determined to best meet the criteria for proposal evaluation and selection set forth in this RFA.

Initial Office of Planning and Development Screening

Each application will be screened to acknowledge its receipt by the closing date and time, determine if the applicant is an eligible entity as described in Section I, and determine if the applicant was pre-qualified in the Grants Gateway at time of this application’s closing date and time. Applicants will be notified of such disqualification.

Award methodology

A minimum final score of 70 must be achieved to be considered for an award. One grant of up to \$300,000 will be awarded to the highest scoring applicant.

V. Award and Contract Administration

Award Administration

It is anticipated that applications will be reviewed between July and August, 2017, the successful applicant will be notified of funding decisions on or about August 15, 2017. The grant award will have a start date of October 1, 2017. 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 New York State Attorney General's Office and the Office of the State Comptroller. The successful applicant will be required to negotiate and execute the contract expeditiously, not later than September 1, 2017.

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

An opportunity to be debriefed will be provided, upon request, to unsuccessful applicants. Requests must be made in writing by August 1, 2017 to the same address to which applications were submitted.

Contracting Requirements

Standard Contract

The successful applicant(s) to this RFA for the Department of State Office of Planning and Development must enter into a standard contract with the Department of State (DOS, or the Department), which includes an approved budget and work plan, any attachments or exhibits, and standard clauses required by the NYS All contracts will be reimbursement based. Attorney General for all state contracts, along with Article 15-A of the New York Executive Law. The contract includes financial reporting requirements, including procurement procedures. The contract is subject to approval by the Attorney General and State Comptroller, requires submission of final products in both hard copy and electronic form, and is subject to payment only upon proper documentation and compliance with payment procedures and all other contractual requirements. A copy of a sample standard contract is attached as Appendix F. Sample contracts should not be submitted with this proposal; successful applicants will receive a contract package to complete.

Project Term

The project term under this RFA is anticipated to be up to two (2) years. Failure to incur all expenses or complete all identified outcomes in the stated period may result in loss or recapture of funds.

Vendor Responsibility Questionnaire

The awarded applicant will be subject to a vendor responsibility review prior to contract execution. Any applicant found not responsible by the Department of State may not be provided with funding pursuant to this RFA. Office of Planning and Development strongly 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 VendRep System Instructions available 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 Office of Planning and Development or the Office of the State Comptroller's Help Desk for a copy of the paper form.

Payment

Contractors shall provide complete and accurate billing vouchers to their designated Office of Planning and Development analyst in order to receive payment. Billing vouchers submitted to the Office of Planning and Development will be required to contain all information and supporting documentation required by the Contract, the Office and the Office of the State Comptroller (OSC). Payment for vouchers submitted by the Contractor shall only be rendered electronically, unless, payment by paper check is expressly authorized by the Secretary, in the Secretary's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with OSC procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us or by telephone at 518-486-1255. The Contractor acknowledges that it will not receive payment on any vouchers submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Secretary has expressly authorized payment by paper check as set forth above.

Payment of such vouchers by the State (DOS, Office of Planning and Development) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be: Quarterly vouchers.

Program Assessment and Monitoring

Reporting

The training organization will develop a monthly report to keep the Department of State up to date on the status of the "Green Leaders Training Institute" and other required activities, and report to the Department of State Office of Planning and Development using the jointly developed reporting tool.

Record Keeping

The Contractor must maintain current and accurate fiscal records, programmatic documentation, and accounting controls to support the claims for payment. Records must adequately identify revenue sources and expense items for all contracted activities. Accounting records must be supported by clear documentation for all funds received and disbursed. Records must be retained and be accessible for a period of six (6) years from the end of the contract or last payment or last contract transaction. If any claim, audit, litigation, or State investigation is commenced before the expiration of the aforementioned record retention period, the records must be retained by the contractor until all claims or findings regarding the records are finally resolved. The Office of Planning and Development or its designee shall have access to any records relevant to the project (including books, documents, photographs, correspondence, and records), for audits, examinations, transcripts, and excerpts. If the Office of Planning and Development determines that such records possess long-term or historic value, they must be transferred, upon request, to the Office of Planning and Development.

Failure to provide the requested documents may result in, among other things, immediate termination of the contract, suspension of the contract, the disallowance of costs, and/or the recapture of funds.

Monitoring

Office of Planning and Development will monitor projects on a regular basis throughout the life of the contract. Monitoring may include, but not be limited to, site visits, regular telephone contact and/or discussions of monthly progress reports. The goals of project monitoring are to ensure fiscal and program contract compliance; to identify and provide technical assistance where necessary, to help the contractor meet the terms of this RFA; and, to ensure that a high level of service is being provided.

Amendments to the Contract

Amendments and modifications of executed contracts are sometimes necessary to accommodate the needs of the contractor and the Office of Planning and Development. These changes, which must be by mutual written agreement, may include modification to reimbursement schedules, time and money amendments, or no-cost extensions as necessary. Contract modifications, including amendments and no-cost time extensions, will be made at the discretion of the Office of Planning and Development with the approval of the Office of the State Comptroller.

General Terms and Conditions

The Department of State reserves the right to terminate or modify the contract due to the unavailability of funds, unsatisfactory performance, or the best interests of the state. If additional funding becomes available, the Department reserves the right to subsequently reconsider eligible proposals submitted in response to this RFA at that time, using the same scoring criteria and award methodology. Updated information may be requested as deemed necessary by the Department. The Department of State also reserves the right to issue a new RFA to solicit new applications. The terms and conditions for all funded projects are specified in a detailed contract which must be signed by the Office of Planning and Development and approved by the New York State Attorney General's Office and the Office of the State Comptroller before any work is begun or payments are made. Successful applicant(s) will be sent the complete standard Master Grant Contract for execution. This RFA and any contract resulting from this RFA is subject to all applicable laws, rules and regulations promulgated by any Federal and State authority having jurisdiction over the subject matter thereof. Any contract awarded pursuant to this RFA will be subject to the Department of States processing procedures for contracts of this type, including approval as to form by the State's Attorney General's office, and as to award by the New York State Division of Budget and by the New York State Office of the State Comptroller.

MWBE Utilization

Applicants are required to create a plan for compliance with the Certified Minority-And Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women requirements as part of this application.

The plan will include a DETAILED statement, with the project description, on how you intend to meet the MWBE goals with your project. The following should be included in the statement:

1. Your project's MWBE goal amount, determined by using the attached MWBE GOALS CALCULATION Template.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you plan to solicit certified M/WBEs for the purposes of complying with the participation goals related to your project.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation plan to be published in any of the above publications
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that will be solicited for purposes of complying with your certified M/WBE participation goal (The Directory can be viewed at:
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?XID=7637&TN=ny>).
5. Descriptions of the notices, dates of contact, letters, and any other correspondence that will be made to all certified M/WBEs.
6. A description of any contract documents, plans, or specifications to be made available to certified M/WBEs for bid solicitation purposes and the proposed date and manner in which these documents will be made available.

The plan for compliance shall be uploaded as part of the application. Additional information may be found in Appendix F.

If your project is selected for an award, you will be required to comply with all the contractual requirements, including demonstrating that a good faith effort is made to meet the goals for certified MWBE firms participation as stated in your contract and in accordance with Article 15-A.

If an applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting M/WBE requirements established by the State of New York. The requested plan is intended to help an applicant think about how to comply with the regulations and provide information showing their due-diligence to comply with the M/WBE requirements.

SERVICE-DISABLED VETERAN-OWNED BUSINESSES PARTICIPATION

Article 17-B of the Executive Law, enacted in 2014, authorized the creation of the Division of Service-Disabled Veterans' Business Development to promote participation of Service-Disabled Veteran-Owned Businesses (SDVOBs) in New York State contracting. The Service-Disabled Veteran-Owned Business Act recognizes the veterans' service to and sacrifice for our nation, declares that it is New York State's public policy to promote and encourage the continuing economic development of service-disabled veteran-owned businesses, and allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB), in order to increase their participation in New York State's contracting opportunities. To this effect, the Department of State (DOS) has implemented a Veteran-Owned Businesses (SDVOB) Program, as mandated by Article 17-B.

To comply with the SDVOB Program goals of 6%, the Department of State strongly encourages grantees to make every effort, to the maximum extent possible, to engage certified SDVOBs in the purchasing of commodities, services and technology in the performance of their contracts with the Department. If SDVOB utilization is obtained, a quarterly SDVOB utilization report should be submitted to the Department with information of the utilization percentage achieved during that quarter. Contractor Reporting Forms are found at: <https://ogs.ny.gov/Veterans/>.

The Division of Service-Disabled Veterans' Business Development (DSDVBD) is housed within the New York State Office of General Services (OGS), and maintains a directory of the NYS Certified SDVOBs. For

assistance with engaging SDVOB vendors in your contracts, please contact the Division of Service-Disabled Veterans' Business Development at the following email address: VeteransDevelopment@ogs.ny.gov, or the DOS Division of Affirmative Action Programs – SDVOB Program at Maria.Herman@dos.ny.gov or Api.Ohouo@dos.ny.gov. The directory of certified SDVOB vendors can be found at: http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf.

Reserved Rights

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

1. Withdraw the RFA at any time, at the Departments sole discretion.
2. Make an award under the RFA in whole or in part.
3. Disqualify any applicant whose conduct and/or application fails to conform to the requirements of this RFA.
4. Seek clarifications and revisions of applications.
5. Use application or 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 other information submitted by the applicant in response to the Department's request for clarifying information in the course of evaluation and/or selection under the RFA.
6. Prior to the application due date, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
7. Prior to the application due date, direct applicants to submit application modifications addressing subsequent RFA amendments.
8. Change any of the scheduled dates.
9. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders.
10. Waive any requirements that are not material.
11. Negotiate with the applicants within the scope of the RFA in the best interests of the state.
12. 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.
13. Utilize or use any and all ideas contained in the applications received.
14. 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 application and/or to determine an applicant's compliance with the requirements of the RFA.
15. Waive or modify minor irregularities in received applications.
16. Not to make any awards pursuant to this RFA,
17. Not fund an application that fails to submit a clear and concise work plan or budget.
18. Adjust or correct cost figures with the consent 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; and
22. Reject any or all applications received in response to the RFA. This RFA does not commit the Department of State to award any contracts, to pay the costs incurred in the preparation of a response to this RFA, or to procure or contract for services.

Appendix 1

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR PARTICIPATION BY NEW YORK STATE-CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES, EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN, AND SERVICE-DISABLED VETERAN-OWNED BUSINESSES

I. MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES PARTICIPATION

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations Department of State is required to promote opportunities for the maximum feasible participation of New York State-certified Minority and Women-owned Business Enterprises (“MWBEs”) and the employment of minority group members and women in the performance of Department of State contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, Department of State hereby establishes an overall goal of 30% for MWBE participation. The specific goal percentages for the New York State-certified Minority-owned Business Enterprise (“MBE”) participation and the New York State-certified Women-owned Business Enterprise (“WBE”) participation shall be established post award and set forth in the Department of State contract Attachment B “Budget” (based on the current availability of MBEs and WBEs). A contractor (“Contractor”) on any contract resulting from this procurement (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors and suppliers in the performance of the Contract. To that end, by submitting a response to this RFA, the respondent agrees that Department of State may withhold payment pursuant to any Contract awarded as a result of this RFA pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com/frontend/vendorsearchpublic.asp>. For guidance on how Department of State will evaluate a Contractor’s “good faith efforts,” refer to 5 NYCRR § 142.8.

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

FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60 percent of the total value of the supplier’s contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE.

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFA, such finding constitutes a breach of contract and Department of State may withhold payment as liquidated damages. Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting evidence thereof through the New York State Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a respondent may arrange to provide such evidence via a non-electronic method by contacting Department of State. As a contractor of New York State, you have a responsibility to utilize certified minority-and/or women-owned businesses in the execution of your contracts, per the MWBE percentage goals stated in your solicitation, proposal or contract documents. Through the NYSCS you will submit utilization plans, request subcontractors, record payments to subcontractors, and communicate with your project manager throughout the life of your awarded contracts.

Additionally, successful applicants will be required to submit the following documents and information within ten (10) business days after the applicant receives notice from Department of State that the grant is being awarded as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan (**Form D**) or a Certification Letter (**Form D-1**) stating their commitment to show due-diligence to comply with the MWBE goals and requirements. Any modifications or changes to an accepted MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to Department of State for review and approval.

The Department of State shall review the submitted MWBE Utilization Plan or Certification Letter and issue a written notice of acceptance or notice of deficiency within 20 days of receipt of utilization plan or certification letter.

- B. If a notice of deficiency is issued, the respondent will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to the Department of State, at the address provided below, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by Department of State to be inadequate, Department of State shall notify the respondent and direct the respondent to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the proposal.
- C. If you are unable to comply with the MWBE goals, you must request a waiver of these requirements by submitting to the Department of State the REQUEST FOR WAIVER FORM E, found on the DOS funding page, for processing. Please note that the following information will be required to secure the waiver (all items may not apply to your case, but provide information and documentation for those that apply):
1. A DETAILED statement with the project description (any special characteristics, needs, specifications, etc.), and an explanation setting forth your basis and justification for requesting a partial or total waiver of the MWBE goals.
 2. A copy of the completed MWBE GOALS CALCULATION Template, found on the DOS funding page.
 3. The names of general circulation, trade association, and MWBE-oriented publications in which you solicited certified MWBEs for the purposes of complying with your participation goals related to this Contract.
 4. A list identifying the date(s) that all solicitations for certified MWBE participation were published in any of the above publications.
 5. A list of all certified MWBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified MWBE participation levels.
 6. Documentation of your search in the NYS Directory of Certified Firms (e.g.: Printouts, screenshots).
 7. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation, if an identical solicitation was made to all certified MWBEs.
 8. Copies of responses to your solicitations received by you from certified MWBEs.
 9. A description of any contract documents, plans, or specifications made available to certified MWBEs for purposes of soliciting their proposals and the date and manner in which these documents were made available.
 10. Documentation of any negotiations between you and the MWBEs undertaken for purposes of complying with the certified MWBE participation goals.
 11. Any other information you deem relevant which may help us in evaluating your request for a waiver.
 12. The name, title, address, telephone number, and email address of your representative authorized to discuss and negotiate this waiver request.
 13. Copy of notice of application receipt issued by Empire State Development (ESD), if subcontractors are not certified MWBE, but an application has been filed with ESD.

Please see details under “**Additional Notices and Explanations Regarding the MWBE Program and this Request for Applications.**” Department of State may disqualify a respondent as being non-responsive under the following circumstances:

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

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

Successful applicant(s) will be required to submit a quarterly M/WBE Contractor Compliance & Payment Report to Department of State, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

Equal Employment Opportunity Requirements

By submission of a proposal in response to this solicitation, the respondent agrees with all of the terms and conditions of the New York State Master Grant Contract, Section IV (J) - Equal Employment Opportunities for Minorities and Women. The respondent is required to ensure that it and any subcontractors awarded a subcontract for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the respondent, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, 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. Additionally, successful applicants will be required to submit the following documents and information within ten (10) business days after the applicant receives notice from Department of State that the grant is being awarded as evidence of compliance with the foregoing:

- A. Submit a Minority and Women-owned Business Enterprise and Equal Employment Opportunity Policy Statement (**Form A**) to Department of State with its proposal.
- B. Submit a Workforce Utilization Report (**Form C**) and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by Department of State on a quarterly basis during the term of the Contract, to the Division of Affirmative Action Programs at:

Maria C. Herman
Director, Division of Affirmative Action Programs
Phone: 518-473-3401
Email: Maria.Herman@dos.ny.gov

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 subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest. **Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

Additional Notices and Explanations Regarding the MWBE Program and Successful Applications to this Request for Applications:

If your project is selected for an award, you will be required to show due diligence to comply with all the MWBE contractual requirements, including meeting the goals for certified MWBE firms participation as stated in your Contract and in accordance with NYS Executive Law Article 15-A.

If an applicant chooses to move forward with a project prior to any award announcement, they are responsible for meeting MWBE requirements established by the State of New York. The requested plan, as described below, is intended to help an applicant think about how to comply with the regulations and provide information showing their due-diligence to comply with the MWBE requirements.

Successful applicants notified by the NYS Contract System (System) that a record for the submission of the utilization plan has been created, must comply with this requirement by entering the Utilization Plan data in the System through the Statewide Utilization Management Plan (SUMP) module.

II. SERVICE-DISABLED VETERAN-OWNED BUSINESSES PARTICIPATION

Article 17-B of the Executive Law, enacted in 2014, authorized the creation of the Division of Service-Disabled Veterans' Business Development to promote participation of Service-Disabled Veteran-Owned Businesses (SDVOBs) in New York State contracting. The Service-Disabled Veteran-Owned Business Act recognizes the veterans' service to and sacrifice for our nation, declares that it is New York State's public policy to promote and encourage the continuing economic development of service-disabled veteran-owned businesses, and allows eligible Veteran business owners to become certified as a New York State Service-Disabled Veteran-Owned Business (SDVOB), in order to increase their participation in New York State's contracting opportunities. To this effect, the Department of State (DOS) has implemented a Veteran-Owned Businesses (SDVOB) Program, as mandated by Article 17-B.

To comply with the SDVOB Program goals of 6%, the Department of State strongly encourages grantees to make every effort, to the maximum extent possible, to engage certified SDVOBs in the purchasing of commodities, services and technology in the performance of their contracts with the Department. If SDVOB utilization is obtained, a quarterly SDVOB utilization report should be submitted to the Department with information of the utilization percentage achieved during that quarter. Contractor Reporting Forms are found at: <https://ogs.ny.gov/Veterans/>.

The Division of Service-Disabled Veterans' Business Development (DSDVBD) is housed within the New York State Office of General Services (OGS), and maintains a directory of the NYS Certified SDVOBs. For assistance with engaging SDVOB vendors in your contracts, please contact the Division of Service-Disabled Veterans' Business Development at the following email address: VeteransDevelopment@ogs.ny.gov, or the DOS Division of Affirmative Action Programs – SDVOB Program at Maria.Herman@dos.ny.gov or Api.Ohouo@dos.ny.gov. The directory of certified SDVOB vendors can be found at: http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf