



PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition

PIN: 78113N0001

Application Due Date: March 14, 2013

Section I - General Information

This past year, New York City experienced sweeping changes with regard to juvenile justice. The passage of "Close to Home" legislation, which became effective on September 1, 2012, builds on the City's legacy of juvenile justice reform, which includes reducing the use of detention and placement, increasing community-based alternatives and lowering recidivism rates, while making our City safer.

In addition, on August 4, 2011, Mayor Bloomberg announced the Young Men's Initiative (YMI), a bold and comprehensive effort to help black and Latino young men achieve their professional, educational, and personal goals. YMI brings together an array of programs and services designed to increase access to mentoring, education, employment, and various opportunities for civic and community engagement. The New York City Department of Probation (DOP) is partnering with a variety of other City agencies, community-based organizations and foundations on a number of innovative program and policy initiatives that focus on neighborhoods with high concentrations of people on probation.

In furtherance of these unprecedented reforms, DOP, in collaboration with the Department of Education (DOE) and the Center for Economic Opportunity (CEO), is implementing PEAK (Pathways to Excellence, Achievement and Knowledge), an education-focused alternative-to-placement program for youth in the juvenile justice system. PEAK combines elements of educational enrichment, behavior modification, and therapeutic¹ services, and is provided in conjunction with on-going probation supervision provided by DOP.

PEAK will engage youth who are in grades 6 through 12 and are between the ages of 14 and 18 (as long as they were under 16 years of age at the time of the offense), year round, during school hours as well as after-school and in the evening (3:00PM² to 8:00 PM). Its aim is to increase positive outcomes for adolescents who are on probation and in jeopardy of being placed due to a probation revocation as well as youth whose risk and offense severity levels at adjudication suggest they need rigorous programming in order to thrive in the community without the need for residential placement.³ PEAK combines (1) educational enrichment; (2) behavior

¹ Throughout the document, the word "therapeutic" encompasses both non-clinical and clinical counseling. Non-clinical therapeutic counseling takes place when a staff person engages in a constructive, purposeful relationship with a youth that is geared toward behavior change and this form of helping relationship will be the predominant form of therapeutic alliance during school hours. In addition, PEAK providers will be expected to have licensed therapists available to provide clinical interventions as needed for PEAK participants.

² The PEAK after-school component will begin at 3PM unless the official school dismissal time is earlier than 3PM, in which case PEAK will begin at that time.

³ DOP is currently expanding its full continuum of alternative to placement services. PEAK is designed to fall at the most intensive end of the continuum, at the level before out-of-home placement.

modification and therapeutic services; and (3) probation supervision. Utilizing an intervention strategy that provides extended-day, integrated educational and treatment services, the program seeks to provide participants with the structure and guidance needed for success by creating experiential learning opportunities with appropriate behavior modification and treatment services integrated into the program. Ultimately, students will improve education and behavioral outcomes as well as self-efficacy.

DOP is seeking to partner with and leverage the experience of qualified community-based organization(s) with either existing DOE “Learning to Work” (LTW) contracts or organization(s) that can demonstrate similar relevant experience to operate PEAK⁴, which is expected to serve youth citywide. The LTW program assists a population similar to eligible PEAK participants (over-age, under-credited students) with the ultimate goal of overcoming obstacles impeding their progress in school. The LTW initiative is an integral component of the academic program at participating schools, emphasizing collaboration with and integration of DOE staff and district services. This type of integration will also be a key component to ensure the success of PEAK in similar school settings. The experience of delivering the LTW program provides LTW contractors with familiarity working collaboratively in a school designed to educate overage and under-credited students, and provides them with experience of the culture and procedures that will also be necessary for PEAK contractors to be able to successfully implement the PEAK program. Similar to PEAK, a Positive Youth Development philosophy informs all aspects of the LTW model, emphasizing the strengths of young people rather than a disciplinary response to behavior. The LTW model also incorporates a counseling component, offering individual counseling and group workshops, as well as conflict resolution support and referral services in order to encourage achievement of personal goals.

Any organization with an existing LTW contract or organization(s) that can demonstrate similar relevant experience⁵ may apply for PEAK in partnership with a school where a majority of students are over-age and under-credited, in middle and/or high school, including but not limited to the transfer school with which they have an existing LTW contract, campus schools and schools serving grades 6-12. Organizations may apply to work with more than one school; however a separate application would be required for each school proposed⁶.

BACKGROUND

Educational deficits hinder youth’s development and pro-social trajectory. A wealth of research exists on the importance of education in a juvenile justice intervention as a deterrent to recidivism and as an important factor to becoming a productive and responsible citizen.⁷ Youth receiving a high school diploma during incarceration have a lower recidivism rate than youth over 16 who do not receive their high school diploma. Youth returning to school after

⁴ Such as experience working with the Attendance Improvement and Dropout (AIDP) Program or similar relevant programming.

⁵ See Footnote 4

⁶ Organizations proposing to work with a campus school may submit one application with more than one school site within the campus but should list the schools proposed and clearly explain how many participants would attend each school.

⁷ Alexander, 2003; Archwamety & Katsiyannis, 2000; Brier, 1994; Cottle, et al., 2001; Florida Juvenile Justice Association 2000; Hawkins, et al., 2000; Steurer & Smith, 2003; Puritz and Scali, 1998; Wasserman, et al. 2003

incarceration have a lower recidivism rate than those who do not return to school and, for youth who have above average attendance once back at school, the recidivism rate is 38 percent lower.⁸ Research shows that offenders can be rehabilitated, specifically when the rehabilitation process includes education.⁹ Correctional educators have long worked in the belief that education not only provides hope for their students and an avenue for change, but that it also reduces the likelihood of future crime.¹⁰ Among the rehabilitation programs shown to be effective are those that focus on social skills, academic skills, and employment skills.¹¹

Research also shows that the after school and evening hours are when youth are at the highest risk for committing crimes. Evidence suggests that children “who are unsupervised during the hours after school are more likely to use alcohol, drugs, tobacco... receive poor grades, and drop out of school than those children who have the opportunity to benefit from constructive activities supervised by responsible adults.”¹² Research also shows that youth who are unsupervised during after school hours are found to be more delinquent at all times, not only after school.¹³ Justifying the need for programs to address this supervision gap is the apparent peak of violent crime in the four hours following the end of the school day (roughly 2PM to 6PM). Data from the FBI National Incident-Based Reporting System shows that crimes among youth peak between 3PM and 4PM.¹⁴

Learning occurs in different ways with different people; indeed, the needs and learning styles of juvenile-justice involved students are anything but homogeneous. An estimated 36 percent of juvenile offenders have learning disabilities.¹⁵ Students on probation have historically not been successful in traditional educational settings mostly because traditional settings have failed to meet their multiple and complex needs. A central consideration for the educational programming of at-risk youth should be services designed to address simultaneously the needs and learning styles of the student.

MINIMUM QUALIFICATIONS

Applicants must include an original, signed School Partnership Agreement (Attachment #2) with an eligible school in their response. Applicants proposing to work with a campus school must include a School Partnership Agreement with each school proposed. Applications that do not meet these minimum qualifications will be deemed non-responsive and will be rejected.

⁸ Florida Juvenile Justice Association, 2004

⁹ Steurer and Smith 2003

¹⁰ Ibid. Being literate, holding a legitimate job, and maintaining stable and positive personal relationships have been identified as critical in making successful transitions to adulthood and law abidance. Altschuler, D.M. and Brash, R. (2004), “Adolescent and Teenage Offenders: Confronting the Challenges and Opportunities of Reentry,” *Youth Violence and Juvenile Justice* 2004 2: 72-87.

¹¹ Sherman, et al. (1997)

¹² “Working for Children and Families: Safe and Smart After-School Programs,” U.S. Departments of Justice and Education (April 2000).

¹³ Gottfredson, Gottfredson and Weisman, “The Timing of Delinquent Behavior and Its Implications for ASPs,” *Criminology and Public Policy* 1:61-80 (2001).

¹⁴ Snyder and Sickmund, “Juvenile Offenders and Victims, 1999 National Report,” National Center for Juvenile Justice (1999)

¹⁵ Puritz and Scali (1998)

COMPLIANCE WITH LOCAL LAW 37 OF 2004

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the name of any "person" who has "business dealings with the City" as such terms are defined in the Local Law. In order for the City to obtain necessary information to establish the required database, **vendors responding to this solicitation are required to complete the attached Doing Business Data Form (Attachment #5) and return it with the proposal, and should do so in a separate envelope.** If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by DOP/CEO and will be given four calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to DOP/CEO. Failure to do so will result in a determination that the proposal is nonresponsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or not later than five days from the date of mailing or upon delivery, if delivered.

REGULATORY REQUIREMENTS

Nondiscrimination: The Contractor shall provide services to all persons regardless of actual or perceived race, color, creed, national origin, alien or citizenship status, gender (including gender identity), sexual orientation, disability, marital status, arrest or conviction record, status as a victim of domestic violence, lawful occupation, and family status.

Americans with Disabilities Act (ADA): Program Facilities should be easily accessible to people with disabilities and should meet all requirements of the ADA. If not, DOP/CEO-approved alternative measures, such as access to other suitable space, should be used to make activities accessible to persons with disabilities.

Ban the Box: On August 4, 2011, as part of the Young Men's Initiative, Mayor Bloomberg issued Executive Order 151 (EO 151) stating with respect to any employment governed by Article 23-A of the NYS Correction Law, with few exceptions, City agencies are prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, or asking any questions about an applicant's prior criminal convictions before or during the first interview. In keeping with the objectives of EO 151, Contractors selected as a result of this Negotiated Acquisition (NA) will likewise generally be prohibited from asking questions regarding an applicant's prior criminal convictions on any preliminary employment applications, and from asking any questions about an applicant's prior criminal convictions before or during the first interview. In addition, Contractors will be required to comply with Article 23-A, including the requirement that determinations of hiring based on prior criminal convictions must be limited to a conviction that bears a direct relationship to the duties and responsibilities of the position sought, or where their hiring would pose an unreasonable risk to property or to the safety of individuals or the general public.

Personnel Investigation/Arrest Notification: The Contractor must undertake appropriate background checks of all staff assigned to the PEAK program, including volunteers and staff of sub-contractors. Such checks will include verification of prior employment and references

through direct contact by the contractor with former employers. The Contractor will be required to provide rosters of all staff in the PEAK program to DOP upon request. The contractor will be asked to verify the actual existence of claimed staff through an inspection by senior agency staff. Upon receipt of award, the Contractor shall comply with all federal, State, and City requirements with respect to investigation for criminal conviction history of program staff members (proposed or currently employed), including volunteers, as well as in keeping with Article 23-A compliance as outlined above. These regulations may include the requirement that all program staff (paid and volunteer) in programs serving youth under the age of 21 be fingerprinted. Contractors shall comply with applicable State and federal regulations, including 42 U.S.C §5119. Youth staff (paid and volunteer) who are under the age of 17 and who are still attending school are not required to be fingerprinted.

Such regulations, policies and procedures shall also determine whether individuals with criminal convictions may continue their employment with the PEAK program. The Contractor shall report any conviction or subsequent arrest of any staff member (paid or volunteer) of which it becomes aware to DOP.

Liability Insurance: The Contractor will be required to maintain insurance to cover program operations and administration in the amounts required by the City. Therefore, the Contractor would demonstrate the possession of necessary insurance coverage by providing an **original** certificate of insurance naming DOP and the City of New York as additional insurers. DOP will not release funds to any proposer awarded a contract until it has obtained the necessary insurance coverage.

APPLICATION DUE DATE AND TIME

Date: March 14, 2013
Time: 2:00 PM
Location: Hand-deliver applications to:
Eileen Parfrey-Smith, Acting Agency Chief Contracting Officer
NYC Department of Probation
33 Beaver Street, 21st Floor
New York, NY 10004

DOP/CEO will not accept e-mailed or faxed proposals. Applications received at this location after the due date and time are late and shall not be accepted.

AUTHORIZED AGENCY CONTACT:

The Authorized Agency Contact Person for all matters related to this solicitation is:

Eileen Parfrey-Smith
Acting Agency Chief Contracting Officer
33 Beaver Street, 21st Floor
New York, NY 10004
212-232-0444
acco@probation.nyc.gov

Section II – Scope of Services

Program Approach

1. Experience

The Contractor would:

- Have experience providing similar services to the target population including the use of Positive Youth Development principles, behavioral and therapeutic¹⁶ interventions, and provision of educational enrichment services as described below
- Have experience collaborating with DOE staff and integrating services within the school
- Have an understanding of school environments, cultures and procedures where overage and under-credited students are educated
- Currently operate a successful LTW program or demonstrate similar relevant experience

2. Capability

The contractor would:

- Ensure that program operations will begin by the program start date
- Have the capacity to integrate the program into its overall operations
- Be fiscally sound and capable of managing the proposed program

3. Key Programmatic Elements

Educational Enrichment

Educational achievement is fundamental to the prevention of high-risk behaviors such as delinquency. Research shows that prevention programs that pay attention to educational outcomes have proven success.¹⁷ Key to the design of PEAK is experiential or theme-based learning. During the after-school and evening hours, PEAK participants will have access to an experiential education program, linked to their school-based curriculum, that helps them “learn to learn,” equipping participants with the tools, techniques, behaviors, and motivation they require to succeed in school. The educational enrichment component of PEAK is based on three primary methodologies for enhancing learning: experiential education, project-based learning and service learning.

- Experiential Education is both a philosophy and methodology in which educators purposefully engage with learners in direct experience and focused reflection in order to increase knowledge, develop skills and clarify values.

¹⁶ Both non-clinical and clinical, as described in Footnote #1 above

¹⁷ Dryfoos, J.G. (1996). Adolescents at risk: Shaping programs to fit the need

- Project-Based Learning is an instructional approach built upon authentic learning activities that engage student’s interest and motivation. These activities are designed to answer a question or solve a problem and generally reflect the types of learning and work people do in the everyday world outside the classroom. This results in the acquisition of communication and presentation skills, self-assessment and reflection skills along with group participation, and leadership skills.
- Service Learning is a teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility and strengthen communities.

Applicants will be expected to propose an overarching theme and curriculum for the PEAK educational enrichment program, which will operate year-round. For example, an organizing theme might focus on STEM (science, technology, engineering and math), or use New York City as a classroom, exploring the industries, history, economy, and politics of the City. There must be an active/recreational component to the learning model. Some parts of the program may involve virtual/computer-based learning. The after school and evening hours may be programmed in modules, with time each day for (1) educational enrichment activities, including art, culture and recreation; (2) homework assistance/tutoring (linked closely with the partner school); (3) snacks and a dinner meal.

Ideally, PEAK participants will be able to earn some school credit for work completed during after school and evening hours of the program. Contractors are strongly encouraged to engage DOE partner school teachers to assist with the after school/evening and summer components of the PEAK program.

Therapeutic and Behavioral Services

Behavioral and therapeutic components, including family and group work and an emphasis on positive youth development, motivational interviewing, stages of change, restorative justice, and cognitive behavioral therapy (CBT) will be woven throughout the program and integrated into the school day as well as into the after school and evening hours. Select Contractor staff will be present in the school during school hours, serving as advisors/counselors to provide behavioral support for PEAK students. At least one member of the school-based Contractor staff team must have a clinical social work degree. In addition, Contractor(s) will be responsible for providing all educational and behavioral programming during the after school/evening and summer hours.

The contractor is responsible for training PEAK staff in a variety of evidence-based and promising practices, including the behavioral, therapeutic and restorative interventions noted below, which will be used to aid in behavioral change. By the end of the program, participants should have achieved the following behavioral milestones: respect for authority, respect for property, and respect for self.

Key components of PEAK’s non-clinical therapeutic and behavioral “tool box” include:

- Positive Youth Development is a comprehensive developmentally-appropriate framework that emphasizes the importance of building on young people's positive attributes to promote success. It assists young adults in obtaining a sense of safety and structure; a sense of belonging and membership; a sense of self-worth and social contribution; a sense of independence and control over one's life; and a sense of closeness in interpersonal relationships. Youth and adults establish positive, pro-social relationships with each other and then cooperate to provide opportunities and supports for other people. By actively participating in these efforts, young people learn that while they may have made mistakes in the past, they are also capable of learning new skills that they can use to better themselves, their families, and their communities.¹⁸
- Motivational Interviewing is a counseling/coaching style, the core components of which are: expressing empathy, developing discrepancy (between present status and desired goals), avoiding argument/confrontation, rolling with resistance, and supporting self-efficacy. The principle behind MI is that by listening to people and following up on the positive aspects of their speech and thinking, program staff can help increase a youth's motivation to make positive changes in their lives that will reduce their likelihood of reoffending. MI suggests questions and statements that make it more likely that people in the justice-system will think, talk, and act in a positive direction. It teaches program staff to support a youth's internal motivation to change by highlighting autonomy, competence, and relatedness.¹⁹
- The Stages of Change model, a companion framework to Motivational Interviewing, proposes that most, if not all, individuals go through very specific stages in effecting change in their lives (pre-contemplation, contemplation, action, maintenance and relapse). Each stage of change has its own coaching strategies to foster movement into subsequent stages. Once a youth's stage of change in a life domain is ascertained (say, improving work performance), coaches utilize the appropriate goals to promote a youth's growth and movement into the next stage of change.²⁰
- Restorative Justice principles guide program staff in their group work and in handling conflict. The aims of restorative practices are to develop community and manage conflict by repairing harm and restoring relationships. Basic restorative practices involve check-in and check-out circles, and problem-solving circles that require participants to acknowledge their role in the conflict situation and to come up with ways to repair the harm done. During the problem-solving meetings, questions are posed to the young person (and to the aggrieved person/persons when appropriate): What happened? What was going through your mind during the incident? What have you thought about since? Who has been affected by what happened? How have they been affected? What needs to happen to make things right? And

¹⁸ Butts, Jeffrey A., Gordon Bazemore, & Aundra Saa Meroe (2010). "Positive Youth Justice--Framing Justice Interventions Using the Concepts of Positive Youth Development." Washington, DC: Coalition for Juvenile Justice. 2010

¹⁹ Walters, et. al. (2007). "Motivating Offenders to Change: A Guide for Probation and Parole." U.S. Department of Justice National Institute of Corrections.

²⁰ Naar-King, Sylvie, Suarez, Mariann (2011). "Motivational Interviewing with Adolescents and Young Adults." Guilford Press. Walter, Scott, et. al. (2007) "A Guide for Probation and Parole: Motivating Offenders to Change." U.S. Department of Justice, National Institute of Corrections.

what are you going to do to make sure this does not happen again? Restorative Justice promotes a balance of control (including limit-setting and high expectations) and support in ensuring that youth take responsibility for their actions and decisions. Together, these evidence-based practices will facilitate a young person's growth and community reintegration.²¹

- Cognitive-Behavioral Therapy (CBT) is a psychotherapeutic approach which aims to solve problems concerning dysfunctional emotions, behaviors and cognitions through a goal-oriented, systematic procedure in the present. Aggression Replacement Training (ART) is one cognitive behavioral intervention program to assist children and adolescents to improve social skill competence and moral reasoning, better manage anger and reduce aggressive behavior. Some CBT interventions require a licensed practitioner, but many do not.
- Collaborative Problem Solving is an approach that helps teach cognitive skills while reducing the frequency and intensity of explosive/non-compliant episodes in settings such as the classroom and within the family. Collaborative Problem Solving is an alternative to traditional reward and punishment approaches which are not effective for a large percentage of the target population. This approach enables youth to develop skills such as problem solving, flexibility and frustration tolerance which are needed to handle life's challenges.²²

Collaboration with School

PEAK program participants will attend the partner school proposed in the PEAK application. Yet rather than be placed on the partner school register, PEAK participants will be placed on the District 79 register while actively participating in the PEAK program. It is anticipated that successful PEAK participants would transition onto the partner school register after PEAK program completion. The expectation is that PEAK participants will be integrated into partner school classrooms and school community.

Because of the nature of the PEAK program as an alternative-to-placement, the partner school must be willing to accommodate PEAK participants on a rolling admissions basis via the District 79 register. One additional District 79 teacher would be provided for partnering schools of contract awardee(s). Moreover, it is anticipated that some PEAK participants may have an Individualized Education Program (IEP) as a result of special education needs. Thus, Applicants should describe what special education services are available at the partner school.

As noted above, select PEAK staff must be present at the partner school during school hours, serving as advisors/counselors to assist PEAK participants and provide additional behavioral supports. Moreover, the Contractor will integrate its educational enrichment program with the school's curriculum, with the expectation that some of the educational enrichment activities be credit-bearing. The contractor should also maintain a relationship with the partner school so that the organization is integrated into the overall school community.

²¹ Costello, Bob, et. al. (2009). "The Restorative Practices Handbook for Teachers, Disciplinarians and Administrators." International Institute for Restorative Practices. Wachtel, Ted (2009). "Real Justice." Piper's Press.

²² More information on Collaborative Problem Solving can be found at www.thinkkids.org

During the summer months, PEAK participants must attend summer school. If the partner school is not a designated summer school, Applicants should describe how they will either self-fund summer school or partner with a designated summer school in the same community district.

Applications must include a School Partnership Agreement from the school with whom the Applicant is proposing to partner for the PEAK program. If a partnership is proposed with a campus school, a completed School Partnership Agreement must be submitted for each participating school. The School Partnership Agreement must state that the school is willing and able to admit students on a rolling basis throughout the school year. Furthermore, it is expected that PEAK participants will remain enrolled at the partner school after their participation in PEAK concludes. These must be DOE schools where a majority of students are over-age and under-credited, in middle and/or high school.

Probation Supervision

All participants in PEAK will be supervised by a Probation Officer (PO). While POs will be based at DOP offices and will have caseloads that include active PEAK and PEAK alumni participants, POs will spend time at the PEAK site both supervising PEAK participants one-on-one as well as co-facilitating groups in collaboration with the Contractor. POs will also be responsible, jointly with the Contractor(s), for locating participants who fail to attend and returning them to the program. POs will remain in close communication with Contractors about individual clients. All POs will be trained to incorporate into their supervision the non-clinical therapeutic and behavioral interventions described above.

4. Target Population

The pool of potential program participants are youth adjudicated in family court Citywide between the ages of 14 and 18 (as long as they were under 16 years of age at the time of the offense) who:

- Receive an alternative to placement disposition in Family Court with an explicit order to participate in the program as a result of DOP's risk/needs assessment and the utilization of the DOP Structured Decision Making (SDM) grid;²³ or
- Face a violation of probation while assigned to DOP's most intensive service level for chronic school-based behavioral challenges, chronic lack of responsiveness to educational engagement strategies; chronic absenteeism, and/or a history of school suspensions; or
- Face a violation of probation (of any service level) due to a re-arrest for a Class I or Class II felony offense.

²³ The SDM is the tool by which DOP will make dispositional recommendations to the Court.

5. Service Level

Contractor(s) would make available a minimum of 12 slots per year as part of their base-level program budget. (Additional slots may be proposed on a per additional slot cost basis if capacity is available, and will be utilized at DOP's discretion subject to program demand.) There will be a rolling admissions process, with each client participating in PEAK for a minimum of six and a maximum of nine months.

6. Program Hours/Schedule

When school is in session, PEAK will operate during regular school hours and during the after-school and evening hours, from 3:00PM until 8:00PM, five days a week (Monday through Friday).²⁴

When school is on summer recess, PEAK must maintain a full day schedule, from 8:00AM until 8:00PM.²⁵ It is expected that the Contractor(s) and school partner will provide a full summer school offering. In the event that a partner school is not designated as a summer school, Applicants must present a plan in their application for how they will either self-fund summer school or partner with a designated summer school in the same community district, in order to afford PEAK participants the opportunity for credit accumulation during the summer months.

All “gap” periods (when school is not in session, including school breaks, recesses, and holidays) will be staffed by the Contractor to provide a full day program, ensuring that PEAK is consistently available, without interruption, Monday through Friday, year round.²⁶ Applicants must indicate what site(s) will be used for the program during times when school is not in session, if the school building is not available.

7. Transportation

Contractor(s) must ensure passage for PEAK participants to the program after school and during the summer months/school breaks (if these components are not school-based) and back home at the end of each day. If public transportation is easily accessible, participants must be provided Metro Cards to travel to and from the program. If public transportation is not easily accessible, Applicants should describe a transportation plan to overcome any geographic/transportation disparities with the proposed site as well as a transportation plan for any off-site group-based activities proposed.

8. Snacks/Meals

²⁴ The PEAK after-school component will begin at 3PM unless the official school dismissal time is earlier than 3PM, in which case PEAK will begin at that time.

²⁵ Summer is defined as the period between the end of one school year and the beginning of the next. PEAK must operate Monday through Friday from 8AM to 8PM each week during the summer.

²⁶ This includes, but is not limited to, Winter Recess (February) and Spring Recess (March/April) periods. PEAK is not expected to operate on New Year's Day, President's Day, Memorial Day, Independence Day, Thanksgiving Day, or Christmas Day.

Contractor(s) shall provide a healthy after school snack for participants as well as a nutritious dinner meal every day of program operation.²⁷

New York City is committed to promoting access to healthy, nutritious food for all New Yorkers with the goal of improving the health of all New Yorkers served by City Agencies. Applicants should be aware that the City has developed New York City Agency Food Standards (“Food Standards”)²⁸ which currently include “Standards for Meals/Snacks Purchased and Served in City Funded Programs” and “Standards for Beverage Vending Machines Within City Facilities”. Contractor(s) awarded through this solicitation will be required to comply with all applicable provisions of these Food Standards.

Contractor(s) will be required to comply with any new and/or changed Food Standards during the term of the contract. Notwithstanding the foregoing, if the implementation of such new or changed Food Standards will result in a material adverse effect on the Contractor’s cost, upon submission to DOP of documentation satisfactorily demonstrating such effect, DOP may amend the contract, subject to any necessary approvals. If DOP and the Contractor are unable to reach agreement on such amendment, DOP and the Contractor may resolve this dispute in accordance with PPB Rule 4-09, provided, however, that the Contractor shall continue to provide services under the contract and shall comply with the new/changed Food Standards as directed by DOP.

9. Site Information

The after school/evening components of PEAK are expected to take place within the partner school setting. Alternatively, if a separate site is proposed, it must be located in the Community District (CD) in or adjacent to the CD of the partner school. All non-school-based sites (including sites used for after school/evening, summer and other school breaks) must be budgeted for accordingly.

10. Staffing and Other Program Responsibilities

Contractor(s) will be responsible for hiring PEAK staff, including but not limited to: a program director, staff for after school/evening and summer/school break educational enrichment and therapeutic/behavioral interventions, and advisors/counselors in the schools. Staffing ratios must not exceed twelve PEAK participants for every one staff (12:1). At least one member of the school-based Contractor staff team must have a clinical social work degree. The contractor would ensure that staff are evaluated and provided with feedback on an on-going basis. The contractor would also offer professional development opportunities for all staff.

All program staff must be culturally competent. They must demonstrate an appreciation for and sensitivity to diverse language, cultures, traditions and family structures, and integrate this knowledge into service delivery. The contractor must ensure that services are provided in a manner that is sensitive to the backgrounds and cultures of program participants.

²⁷ It is the responsibility of the Contractor(s), not the partner school, to provide daily nutritious snacks and dinner meals for PEAK participants.

²⁸ These standards are available for download at: <http://www.nyc.gov/html/doh/html/cardio/cardio-vend-nutrition-standard.shtml>

In addition to staffing, Contractor(s) will be responsible for all costs associated with and arrangements related to the educational enrichment program, treatment modalities, use of any accessory spaces, program snacks and meals, and all agreements with the partnering school related to enrollment of PEAK participants and all conditions related to their academic progress.

11. Linkages with the Community

Since youth will reside at home while attending the program, DOP and Contractor(s) staff will be expected to address issues both in the home and in the program by working closely with the family and other supports in the child's life. The Contractor will establish and maintain effective on-going relationships with DOP and DOE staff, program participants, their families and communities.

Applicants would demonstrate effective linkages that will contribute to the creation of a program responsive to the youth and families within their local communities. In particular, Applicants would establish linkages with other neighborhood schools, healthcare providers, law enforcement and other community-based service providers to enrich program services and maintain a referral network for participants. Linkages to stipend-generating programs, such as "Learning to Work," that youth can participate in after completion of PEAK are encouraged.

Proposed linkages with other organizations would be documented with a Linkage Agreement (Attachment #3). However, a Linkage Agreement would not be required to demonstrate a relationship between the Applicant and a City Agency, including other neighborhood schools and police precincts/law enforcement. A letter of support would be used to document these relationships. A Linkage Agreement may be used to demonstrate a programmatic service to be delivered with another City Agency, however, the City reserves the right to approve or disapprove any request based on business integrity and past history. However, the School Partnership Agreement (Attachment #2) would be a required minimum qualification as part of any response to this solicitation.

Performance Measures

Outcomes

Outcomes for PEAK are designed to focus more on behavioral changes that decrease a youth's risk levels than credit accumulation and other educational outcomes, although improved educational outcomes are also expected.

- Attendance in program shall be 80 percent or higher
- 80 percent of participants will not be arrested for a felony while in the program
- 60 percent of program completers will remain felony arrest-free for a period of 12 months after program completion
- For every six months of program engagement, students will increase one grade level in numeracy and/or literacy. Program staff will conduct appropriate testing and outcomes will be tracked by the DOE
- Students will earn a minimum of five credits for every semester in the program

- 75 percent of students will pass all NYS Regent exams which they are qualified to take

Reporting

In addition to weekly baseline communication with the DOP Probation Officer, the Contractor(s) will submit monthly reports to DOP/CEO on enrollment, educational engagement and academic progress and utilize DOP's external program data collection system to enroll participants and record all activities and case notes. Partnering transfer schools will share said data with the selected Contractor(s), who will, in turn, share with DOP/CEO. The provider also will submit reports to DOP outlining general progress on youth development competencies correlated to delinquency behavior, such as conflict management and positive peer group development.

Contractors may also need to provide researchers from DOP/CEO, or its external evaluators, with access to program staff and participants, and provide information on program activities and participant level data. DOP/CEO or its external evaluator will periodically visit the provider to observe program activities and obtain detailed data on young adults' activities within the program. Other monitoring and evaluation activities may include surveys, focus groups and administrative record reviews. This is in addition to regular telephone contact to document the program's status and to follow up with participants after program completion. DOP/CEO or its external evaluators will also conduct staff and enrollee interviews as well as obtain and analyze baseline and program data for the research. In the event of an evaluation using an experimental design, contractors may be required to alter their recruitment practices to ensure random assignment of potential participants to a group that is enrolled in the program intervention or a control group that is not. Periodically, DOP/CEO will share analyses of program implementation.

Funding

Funding Amounts/Anticipated Number of Contracts

Anticipated total available annual funding for PEAK is up to \$2.4 million, with one to five (Contractor/school partnership) contracts awarded citywide.

Payment Structure/Contract Terms

The payment structure for the program is anticipated to be for a baseline 12 slot program, with an option per participant rate for any capacity exceeding 12. It is anticipated that the payment structure of contracts awarded will be based on line-item budget reimbursement, however full payment is subject to the availability of eligible clients for referral. Up to 15% of the annual contract amount will be withheld based on the actual number of participants referred by DOP and enrolled.

It is anticipated that contracts will be awarded for terms of two years and two months, starting May 1, 2013 (allowing for three months of start-up; services to begin August 1, 2013), and ending June 30, 2015, with an option to renew for up to two additional one year terms. Contract terms and number of contracts are based on availability of funding and are subject to change.

Section III -- Format and Content

Applicants should provide all information requested below. Applications should be typed on both sides of 8 ½” x 11” paper. The City of New York requests that all applications be submitted on paper with no less than 30% post-consumer material content, i.e., the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency (for any changes to that standard, please consult: <http://www.epa.gov/cpg/products/printing.htm>). Pages should be numbered and include a header or footer identifying the applicant. Applicants should use the structure and ordered provided, including the questions as section headers in their responses. Requested attachments should be provided in the order provided in the solicitation. Applications should not exceed 20 pages, exclusive of requested attachments. The application will be evaluated based on its content, not its length. Failure to comply with any of these requirements will not make the application non-responsive.

The application should be submitted to the Authorized Agency Contact Person indicated in Section I, above, and it should contain the following:

A. Application Format

1. Application Summary Form

The Application Summary Form (Attachment #1) transmits the application package. It should be completed in full, signed, and dated by the Board Chair or Executive Director of the proposing organization. Completing this form fully and accurately assists DOP/CEO in the evaluation of the proposal.

2. Table of Contents

3. Program Application Narrative

The Program Application Narrative is a clear, concise narrative that addresses the following:

a. Experience

Describe in detail the successful relevant experience of the applicant and its key staff, as it relates to the Scope of Services above.

- Describe the successful relevant experience of the applicant providing similar services to the target population including the use of Positive Youth Development Principles, the provision of behavioral and therapeutic supports, and provision of educational enrichment services
- Describe the applicant’s successful relevant experience collaborating with DOE staff and integrating services within a school
- Demonstrate an understanding of the environment, culture and procedures in schools designed to educate overage and under-credited students

- Describe the successful relevant experience of the applicant as it relates to their current LTW contract or demonstrate similar relevant experience

b. Organizational Capability

Demonstrate the applicant's organizational (programmatic, managerial, and financial) capability to perform the services described in the Scope of Services. Specifically include the following:

- Describe the plan, including a timeline, to start program services by the contract start date
- Describe the organization's ability to integrate the proposed program into their overall operations
- Describe the organization's fiscal and managerial capability to manage the proposed program.

c. Program Approach

Describe in detail how the applicant will provide the services described in Section II- Scope of Services above

Key Program Elements:

- Describe the strategy for implementing the proposed PEAK Educational Enrichment Program. Specifically explain the overarching theme and curriculum including experiential, project-based, service learning, and active/recreational components to the learning model as it relates to the requirements set forth in Section II- Scope of Services
- Explain how PEAK participants would be able to earn school credit for work completed during the after school/evening and summer hours of the program
- Describe how the behavioral and therapeutic components, including family and group work and an emphasis on positive youth development, motivational interviewing, stages of change, restorative justice and cognitive behavioral therapy would be woven throughout the program and integrated into the school day as well as after school/evening and summer hours
- Describe how the program will enable participants to achieve behavioral milestones such as: respect for authority, respect for property and respect for self
- Describe the proposed partner school, including the special education services that the partner school is certified to provide, as well as demonstrating that the proposed partner school meets the eligibility requirement that the majority of students are overage and under-credited. Attach the completed School Partnership Agreement or Agreements for each school within a campus school proposed (Attachment #2)
- Describe how the proposing organization, including PEAK advisors/counselors will be integrated into the partner school community
- Describe how the proposed PEAK Educational Enrichment Program curriculum will be integrated with the school's curriculum
- Demonstrate how PEAK participants will be integrated into the partner school classrooms and community

- Describe how PEAK participants will attend summer school, either by demonstrating that the partner school has a summer school designation or by describing how the Applicant/partner school will self-fund summer school or partner with a designated summer school in the same community district
- Describe the plan for working with DOP Probation Officers to ensure communication about program participants and co-facilitation of group activities

Program Hours/Schedule

- Describe how PEAK will be administered during “gap” periods, ensuring that a full day program is offered consistently Monday through Friday, year-round without interruption

Transportation

- Describe how the site (including the partner school, and/or any other proposed program sites) will be made accessible to PEAK participants, either via public transportation or alternative arrangements made by the contractor to overcome any geographic/transportation disparities

Snacks/Meals

- Describe the plan for providing daily nutritious after school snacks and dinner meals

Site Information

- Describe the designated site(s) for PEAK in the after school/evening hours, during the summer months, and during other school breaks

Staffing

- Provide a staffing plan for the proposed program, demonstrating that such staff are:
 - Sufficient to help participants achieve proposed outcomes
 - Experienced and qualified to help participants achieve the proposed outcomes and develop positive attitudes towards learning
- Also provide information on:
 - Proposed staff: participant ratios for case management and other services
 - How staff will provide services in a manner that is sensitive to the backgrounds and cultures of program participants
 - How staff training needs will be met in the startup period and throughout the contract term. Include a professional development plan for all proposed staff
 - How proposed staff will be evaluated and provided with feedback
- Please attach:
 - An organizational chart for the proposed program listing all staff and consultants who will provide services
 - Job descriptions, including required qualifications

- Resumes for existing personnel who will have positions in or supervisory responsibility for the proposed program.

Linkages

- Demonstrate that the proposer has established effective linkages that will contribute to the creation of a program responsive to the youth and families within their local communities. Proposed linkages with other organizations would be documented with a Linkage Agreement (Attachment #3). However, a Linkage Agreement would not be required to demonstrate a relationship between the Applicant and a City Agency, including other neighborhood schools and police precincts/law enforcement. A letter of support would be used to document these relationships. Attach Linkage Agreements (Attachment #3) as appropriate

Performance Measures

- Describe record keeping, data collection, and procedures for documenting and reporting outcomes
- Summarize previous experience collecting data and meeting reporting requirements
- Indicate what quality control measures will be in place to assure timely, accurate and reliable data
- Describe how outcome achievement data will be used to improve program effectiveness

4. Price Proposal and Proposed Annual Budget (Attachment #4A-C)

The Price Proposal is the funding request for providing the services described in Section II- Scope of Services. The budget will be reviewed and scored as it relates to the proposed program approach. It includes the following:

- Application Budget Summary Form (Attachment #4A)- for the first three months of training, from May 1, 2013 through July 31, 2013
- Application Budget Summary Form (Attachment #4B) for the school year program (August 1, 2013-June 2014)
- Application Budget Summary Form (Attachment #4C) the program during the summer months (July-August 2014)
- Budget Justification Narrative- Justify how the requested funds will be used to deliver program services and achieve outcomes. Applicants should ensure that the budgets and budget justification are consistent with the proposed program, specifically justifying the expenses under each major budget category by addressing the points below:
 - Personnel Services: List each position, indicating whether it is full-time or part-time, and salary as included in the funding request. Explain how the costs for each position were determined (such as percentage of full-time salary). Indicate which resume or job description is intended to fill that position.
 - Non-Staff Services (as applicable): List each consultant and associated cost included in the funding request, and explain how the cost of assigned work for the program described in the application narrative was

calculated. For each type of non-program service purchased from a vendor, such as accounting or cleaning, describe the nature of that service, why it is needed, and how the costs related to purchasing that service were determined.

- Other than Personnel Services (as applicable): For consumable supplies, describe the type and quantity of supplies to be purchased and explain how the costs of these items were determined. Explain why each piece of equipment or equipment-related expenses is necessary for the proposed program. Describe the space costs, including those involving a rental expense; their importance in the proposed program; and how costs are determined. For travel expenses, describe the purpose of the travel and justify the cost. For utilities, telephones, and other operational expenses, list each item and how the cost for each item was determined. Describe the cost of after school snacks and dinner meals

5. Doing Business Data Form

All applicants must include an original, completed Doing Business Data Form (Attachment #5) in a separate sealed inner envelope within their application package. The submission of a Doing Business Data Form that is not accurate and complete may result in appropriate sanctions.

For each application submitted, enclose the documents listed above in a sealed envelope and hand deliver to the Department of Probation, attention: Eileen Parfrey-Smith, Acting Agency Chief Contracting Officer by the due date and time. Label the envelope with the following:

- The title and PIN of this solicitation
- The applicant's name, address, contact person and phone number

Section IV- Application Evaluation and Contract Award Procedures

All applications received in the manner set forth above will be reviewed to determine if they are responsive to the requirements of this solicitation. Applications determined to be non-responsive will not be further considered. Applications will be ranked in descending order of their overall average technical scores. Awards will be made to the highest rated vendors whose applications are technically viable and whose prices do not exceed the conditions set forth in the solicitation. Applications determined to be responsive will be evaluated in consideration of the following factors:

- Demonstrated quantity and quality of successful relevant experience 20%
- Demonstrated level of organizational capability 20%
- Quality of proposed program approach 60%

DOP/CEO reserves the right to conduct site visits and/or interviews and/or to request that Applicants make presentations and/or demonstrations, as DOP/CEO deems applicable and appropriate. Although discussions may be conducted with Applicants submitting acceptable applications, DOP/CEO reserves the right to award contracts based on the initial application received, without discussions; therefore the initial application should include the Applicant's best programmatic and price terms. DOP/CEO will enter into negotiations with the vendor(s) determined to be qualified at the time of evaluation, based on consideration of the above-cited factors. A contract will be awarded to the responsible vendor(s) whose offer(s) is/are determined to be most advantageous to the City, taking into consideration the price and the other factors set forth in this solicitation. In the case that a vendor is eligible for more than one contract award, DOP/CEO reserves the right, based on the vendor's demonstrated organizational capability and the best interest of the City, to determine how many and for which program site(s) the vendor will be awarded a contract. Furthermore, DOP/CEO reserves the right to make awards to ensure appropriate distribution of services across different geographic areas within the City and/or to ensure programmatic diversity. DOP/CEO also reserves the right to award less than full amount of funding requested and to modify funding allocations across geographic areas in the best interest of the City.

Contract award is subject to the following: 1. demonstration that the proposer has or will have by the conclusion of negotiations site control of an appropriate facility; 2. Timely completion of contract negotiations between DOP/CEO and the selected vendor; 3. Submission by the Contractor of the requisite VENDEX (Vendor Information and Exchange System) Questionnaires/Affidavits of No Change and review of the information contained therein by the New York City Department of Investigation; 4. Submission by the Contractor of the requisite certificate of insurance

ATTACHMENT 1

APPLICATION SUMMARY FORM

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition
 PIN: 78113N0001

Proposing Organization: _____ EIN: _____

Address: _____

City

State

Zip Code

Contact Name: _____ Title: _____

Contact E-mail: _____ Telephone: _____

Program Site Information
Partner School:
Address:
Fill out this section for any non-school sites proposed (if applicable), attach additional sheets if needed:
Site Name:
Address:

<i>Number of Participants</i>	<i>Cost Per Participant</i>	<i>Total Annual Funding Request</i>
12		

3 month Start-up Cost	
Cost Per Participant (Capacity exceeding 12 participants)	

Is the application printed on both sides, on recycled paper containing the minimum percentage of recovered fiber content as requested by the City in the instructions to this solicitation? Yes No

Has the proposer submitted more than one proposal in response to this solicitation? Yes No
 If yes, how many? _____

Authorized Representative: _____
Print Name
Signature

Title: _____ E-mail: _____

SCHOOL PARTNERSHIP AGREEMENT

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition

PIN: 78113N0001

Proposing Organization:	
-------------------------	--

This confirms that _____ (Name of School) located at _____ (Address of School) supports the proposal for the PEAK Program that is being submitted to the Department of Probation by _____ (Proposer).

PEAK Requirements for Partner Schools:

1. A significant number of students in the school must be over-age and under-credited and the school has procedures, youth development and academic supports in place to service these students.
2. Must integrate PEAK Contractor staff, District 79 teacher, and DOP Probation Officers into the school community to be present in school during school hours to provide support to students including the space to serve them in this program.
3. Allow students to enroll in the school after their participation in the PEAK program on the District 79 register concludes. This would be a transfer from the District 79 PEAK Program to the school's register. It would include being responsible for all NYC DOE accountability measures (cohort data) and follows normal transfer guidelines from the enrollment date.
4. The principal to the extent possible will provide a confidential space for therapeutic services and private conferences with students and for summer school programming.
5. The partnership with the contractor may include the use of the school facility with all applicable permits and security costs, as per NYC DOE regulations and guidelines for times before and after school, offsite for afterschool programs, permission slips, as well as summer programming.
6. In cases where there are multiple schools on a campus, the contractor may partner with the building council and the PEAK program would then be supported in all of the schools on the campus. In this case, all principals would need to sign this School Partnership Agreement (Attachment 2).
7. All additional costs for PEAK related activities within DOE buildings will be incurred by the contractor through regular NYC DOE channels.

Based on an awareness of the goals and requirements of the PEAK programs outlined above, the parties have reached a preliminary agreement on the following points:

1. The contractor will comply with all applicable federal, New York State, and City rules and regulations relating to matters such as health, safety, and emergency procedures and reporting of incidents or accidents.
2. The contractor will comply with all DOE and New York State requirements concerning screening for program staff and volunteers including background checks and fingerprinting.
3. The contractor and School would sign an annual School Partnership Memorandum to sustain partnerships founded on a common vision.

Please attach additional sheets, signed by both parties for any additional points not outlined on this form.

Principal or Principal's Designee

Executive Director

Signature Date

Signature Date

LINKAGE AGREEMENT FORM

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition
PIN: 78113N0001

Proposing
Organization: _____

INSTRUCTIONS: This agreement is demonstration of a commitment to integrate service delivery through working relationships with other organizations. It is not a consultant agreement. Provide one Linkage Agreement for each organization with which you will be working. Duplicate this form as needed.

Pursuant to the proposal submitted by _____
(Proposing Organization)

In response to the PEAK Negotiated Acquisition from the Department of Probation and the Center for Economic Opportunity, the proposer, if funded, will establish programmatic linkage with _____ (Linked Organization) in the form and manner described below

Describe the proposed programmatic linkage, including how referrals and follow-up services for individuals will be maintained.

Proposing Organization:

Linked Organization:

Authorized Representative

Title

Signature

Date

Authorized Representative

Title

Signature

Work Address

Work Telephone Number

Date

ATTACHMENT 4A

Application Budget Summary Form Three Month Training Budget (May 1, 2013-July 31, 2013)

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition
PIN: 78113N0001

Organization:		EIN:	
Category		DOP/CEO Funding Request:	
Personnel Services			
Salaries and Wages		\$	
Full Time:	\$		
Part Time:	\$		
Fringe Benefits		\$	
Total Personnel Services:		\$	
Non-Staff Services			
Consultants		\$	
Subcontractors		\$	
Stipends/Incentives		\$	
Vendors		\$	
Total Non-Staff Services:		\$	
Other Than Personnel Services			
Consumable Supplies		\$	
Equipment Purchases		\$	
Equipment Other		\$	
Space Costs		\$	
Travel		\$	
Utilities & Telephone		\$	
Other Operational Costs		\$	
Other Costs:	\$		
Indirect Costs:	\$		
Total Other Than Personnel Services:		\$	
Total DOP/CEO Funding Request:		\$	

**Application Budget Summary Form
School Year Program**

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition
PIN: 78113N0001

Organization:		EIN:	
Category		DOP/CEO Funding Request:	
Personnel Services			
Salaries and Wages		\$	
Full Time:	\$		
Part Time:	\$		
Fringe Benefits		\$	
Total Personnel Services:		\$	
Non-Staff Services			
Consultants		\$	
Subcontractors		\$	
Stipends/Incentives		\$	
Vendors		\$	
Total Non-Staff Services:		\$	
Other Than Personnel Services			
Consumable Supplies		\$	
Equipment Purchases		\$	
Equipment Other		\$	
Space Costs		\$	
Travel		\$	
Utilities & Telephone		\$	
Other Operational Costs		\$	
Other Costs:	\$		
Indirect Costs:	\$		
Total Other Than Personnel Services:		\$	
Total DOP/CEO Funding Request:		\$	

**Application Budget Summary Form
Summer Program**

PEAK (Pathways to Excellence, Achievement and Knowledge) Negotiated Acquisition
PIN: 78113N0001

Organization:		EIN:	
Category		DOP/CEO Funding Request:	
Personnel Services			
Salaries and Wages		\$	
Full Time:	\$		
Part Time:	\$		
Fringe Benefits		\$	
Total Personnel Services:		\$	
Non-Staff Services			
Consultants		\$	
Subcontractors		\$	
Stipends/Incentives		\$	
Vendors		\$	
Total Non-Staff Services:		\$	
Other Than Personnel Services			
Consumable Supplies		\$	
Equipment Purchases		\$	
Equipment Other		\$	
Space Costs		\$	
Travel		\$	
Utilities & Telephone		\$	
Other Operational Costs		\$	
Other Costs:	\$		
Indirect Costs:	\$		
Total Other Than Personnel Services:		\$	
Total DOP/CEO Funding Request:		\$	

Doing Business Data Form

To be completed by the City agency prior to distribution			
Agency: _____		Transaction ID: _____	
Check One:	Transaction Type (check one):		
<input type="checkbox"/> Proposal	<input type="checkbox"/> Concession	<input type="checkbox"/> Contract	<input type="checkbox"/> Economic Development Agreement
<input type="checkbox"/> Award	<input type="checkbox"/> Franchise	<input type="checkbox"/> Grant	<input type="checkbox"/> Pension Investment Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York; no other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's VENDEX requirements.**

Please return the completed Data Form to the City office that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@cityhall.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Section 1: Entity Information

Entity Name: _____

Entity EIN/TIN: _____

Entity Filing Status (select one):	
<input type="checkbox"/>	Entity has never completed a Doing Business Data Form. <i>Fill out the entire form.</i>
<input type="checkbox"/>	Change from previous Data Form dated _____. <i>Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.</i>
<input type="checkbox"/>	No Change from previous Data Form dated _____. <i>Skip to the bottom of the last page.</i>

Entity is a Non-Profit: Yes No

Entity Type: Corporation (any type) Joint Venture LLC Partnership (any type)
 Sole Proprietor Other (specify): _____

Address: _____

City: _____ State: _____ Zip: _____

Phone : _____ Fax : _____

E-mail: _____

Provide your e-mail address and/or fax number in order to receive notices regarding this form by e-mail or fax.

Section 2: Principal Officers

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

Chief Executive Officer (CEO) or equivalent officer

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

This person replaced former CEO: _____ on date: _____

Chief Financial Officer (CFO) or equivalent officer

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

This person replaced former CFO: _____ on date: _____

Chief Operating Officer (COO) or equivalent officer

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

This person replaced former COO: _____ on date: _____

Section 3: Principal Owners

Please fill in the required identification information for all individuals who, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual owners exist, please check the appropriate box to indicate why and skip to the next page. If the entity is owned by other companies, those companies do **not** need to be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals who are no longer owners at the bottom of this page. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

- The entity is not-for-profit
- There are no individual owners
- No individual owner holds 10% or more shares in the entity
- Other (explain): _____

Principal Owners (who own or control 10% or more of the entity):

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Section 4: Senior Managers

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. **At least one senior manager must be listed, or the Data Form will be considered incomplete.** If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

Senior Managers:

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

Birth Date (mm/dd/yy): _____ Home Phone #: _____

Home Address: _____

Remove the following previously-reported Senior Managers:

Name: _____ Removal Date: _____

Name: _____ Removal Date: _____

Certification

I certify that the information submitted on these four pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name: _____

Signature: _____ Date: _____

Entity Name: _____

Title: _____ Work Phone #: _____

Please return this form to the City agency that supplied it to you, not to the Doing Business Accountability Project.

For information or assistance, call the Doing Business Accountability Project at 212-788-8104.

