NYC Department of Probation

October 8, 2014

ADDENDUM #1

Re: Next STEPS (Striving Toward Engagement and Peaceful Solutions) Red Hook/Fort Greene Request for Proposals
PIN: 78115I0002

Dear Prospective Proposer:

Pursuant to Sections 3-02 (i) and 3-16 (o) (2) of the Procurement Policy Board (PPB) Rules, the Department of Probation (DOP) is issuing **Addendum #1** to the Next STEPS (Striving Toward Engagement and Peaceful Solutions) Red Hook/Fort Greene Request for Proposals (RFP) PIN 78115I0002.

ADDENDUM ITEMS:

1. **Attachment D: Linkage Agreement Form, page 30:** Attachment D is deleted and replaced with the revised Attachment D affixed to this addendum and available for download in the HHS Accelerator system.

2. **Attachment E: Reporting Expectations, page 31:** Attachment E is deleted and replaced with the revised Attachment E affixed to this addendum and available for download in the HHS Accelerator system.

CLARIFICATION:

1. Program services would be provided in a safe neutral space that is conveniently located for participants recruited from all 3 targeted NYCHA housing developments. In addition, an appropriate site would be selected with consideration for any relevant safety concerns. DOP does not anticipate that a site located within one of the NYCHA housing developments would meet all of these expectations. DOP's expectations regarding the site location can be found in more detail on page 13 of the RFP.

Eileen Parfrey-Smith

Eileen Parfrey-Smith
Agency Chief Contracting Officer

Attachment D: Linkage Agreement Form

RFP TITLE: Next STEPS (Striving Toward Engagement and Peaceful Solutions) Red Hook/Fort Greene

Proposer ____

Instructions: This agreement is a 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____
(Proposer Organization)

in response to the Next STEPS (Striving Toward Engagement and Peaceful Solutions Red Hook/Fort Greene Request For Proposals from the Department of Probation, the proposer has established or, if funded, will establish programmatic linkage with

____ in the form and manner described below.
(Linked Organization)

Describe the proposed programmatic linkage, including what services the linked partner will provide, how data will be maintained and information shared between partners, and how referrals between partners will be handled. Describe how the linkage will help participants achieve program outcomes.

Proposer Organization:	Linked Organization:
______________________________	______________________________
Authorized Representative	Authorized Representative
______________________________	______________________________
Title	Title
______________________________	______________________________
Signature	Work Address
______________________________	______________________________
Date	Work Telephone Number
	______________________________
	Signature
	______________________________
	Date

Next STEPS (Striving Toward Engagement and Peaceful Solutions) Red Hook/Fort Greene PIN: 78115I0002

Attachment E

Reporting Expectations:

	Outcomes/Tracking	Definitions and Comments	Site Outcome:
Enrollment	Each site will attain **at least** 80% of targeted enrollment each month	*Targeted enrollment = 16 participants per site *Calculated each month *Uses highest number of participants on any given day in the month	
Group Mentoring Sessions Held	Each site will hold 2 group mentoring sessions per week/a total of 8 per month	For a group session (which must include a nutritious hot meal) to count as "held," at least one participant had to have attended	
Contacts with Enrolled Participants	100% of each site's enrolled participants will receive **a minimum** of 8 contacts per month	*Contacts include group mentoring sessions, one-on-one mentoring sessions, case management, or outreach for re-engagement purposes (latter three cannot be held at the same time as group mentoring).	
Case Management Services	100% of each site's enrolled participants will receive case management services/activities each month	*Must be recorded as "case management" to be counted	
Mentor: Mentee Ratio	Each site will maintain a 1:5 mentor:youth staffing ratio each month	*Monthly mentor staffing numbers compared to number of **enrolled** participants	
Attitudes, Knowledge, and Skills Related to Positive Behavior Change and Access to Support	Enrolled participants who take the required pre and post self-evaluations will show appreciable change in their overall attitudes, knowledge, skills related to positive behavior change and access to supportive adult role models/mentors	*Standardized pre and post self-evaluations must be used at time points specified by DOP *Appreciable change to be defined/quantified upon data collection	
Successful Program Exit	At least 60% of those participants who demonstrated appreciable change in attitudes/knowledge/skills/access to support will have a successful program exit, defined as: Participant attended at least 36 group mentoring sessions **OR** Participant completed at least 2 of the 4 Interactive Journals **OR** Participant experienced a documented positive exit from the program - i.e., participant exited for education, employment, military, or other interventions/services such as mental health or substance abuse services	*If a participant returns to the program from a positive exit, credit for that participant will be deducted	

NYC Department of Probation

Request for Proposals

Next STEPS (Striving Toward Engagement and Peaceful Solutions) - Red Hook/Fort Greene

Request for Proposals (RFP)

PIN: 78115I0002

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IMPORTANT NOTE: This Request for Proposals is issued through the HHS Accelerator system to organizations prequalified in the relevant service areas. Accordingly, proposals must be submitted through the HHS Accelerator system in the manner set forth in the 'Procurements' section of the system by the respective prequalified organizations. To learn more, visit www.nyc.gov/hhsaccelerator.

Basic Information

RFP Release Date	October 3, 2014
Proposal Due Date/Time	Date: October 23, 2014 Time: 2 P.M.
Anticipated Contract Term	12/15/14-6/30/16 With an option to renew for up to three additional years
Anticipated Funding and Payment Structure	• Total maximum available funding: $185,000 ($120,000 annually) • Anticipated # of contracts: 1 • It is anticipated that the payment structure of the contract to be awarded will be a combination of line-item reimbursement and pay for performance. DOP also reserves the right to reduce the funding amount accordingly or request a reduced program budget if full enrollment is not met.
Service Levels/Geographic Areas to be Served	Next STEPS Red Hook/Fort Greene will serve approximately 16 young adults annually who live in/around the following New York City Housing Authority (NYCHA) Housing Developments: • Red Hook East (604 Clinton St, Brooklyn NY 11231) • Red Hook West (80 Dwight St, Brooklyn NY 11231) • Ingersoll (102 Monument Walk, Brooklyn NY 11205)
Subcontracting/Consultants	Subcontracting is permissible under the following conditions: • The proposer would identify any proposed subcontractor in the proposal • Agency assumptions as set forth in the Program Expectations and other sections of this RFP apply equally to any proposed subcontractor • All contractors and subcontractors shall be subject to DOP approval before expenses are incurred and payments made • No more than 40 percent of the total value of the contract may be subcontracted
Required Documents	• Proposal and Budget Narrative (Not to exceed 30 double-spaced pages with size 12 font and 1-inch page margins) • Letters of Reference • Linkage Agreements • Resumes and/or Job Descriptions • Proposal Budget Summary • Doing Business Data Form
Questions Regarding this RFP	• Questions regarding this RFP should be transmitted in writing to the Authorized Agency Contact Person. Proposers should enter “Next STEPS Red Hook/Fort Greene RFP” in the subject line of the e-mail. • Proposers should note that any response that may constitute a change to the RFP will not be binding unless DOP subsequently issues such a change as a written addendum to the RFP. • Any addenda that may be issued in relation to this RFP will be released to all organizations that are prequalified to propose to this RFP through the HHS Accelerator system.

	• DOP cannot guarantee a timely response to written questions regarding this RFP received less than one week prior to the proposal due date.
Authorized Agency Contact Person	Eileen Parfrey-Smith Agency Chief Contracting Officer 33 Beaver Street, 21st Floor New York, NY 10004 acco@probation.nyc.gov

Section 1 – Program Background

DOP helps build stronger and safer communities by supervising people on probation, fostering positive change in their decision-making and behavior, and expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health services, family engagement and civic participation.

To better accomplish its mission, DOP has begun focusing service delivery on the neighborhood level. The vehicle for DOP's neighborhood-based strategy is the Neighborhood Opportunity Network (NeON)[1]. At the heart of the NeON is a network of partners – individuals and organizations, public and private – working together to improve public safety by linking people on probation to quality opportunities, resources and services and by strengthening community capacity to find solutions to complex challenges.

As part of the NeON initiative, DOP developed a transformative mentoring program, Arches, which as of 2012 has been provided by 19 community based organizations under contract with the Mayor's Fund to Advance New York City (Mayor's Fund)[2]. Preliminary evidence suggests that DOP programming, such as the Arches program, which targets high crime neighborhoods, is associated with lower short-term recidivism and decreased violations among young adults aged 16-24. Building on the preliminary success of the Arches model, DOP intends to apply some of the program's core elements to bring a transformative mentoring approach to high risk youth (not necessarily on probation) who live in and around targeted New York City Housing Authority (NYCHA) housing developments through Next STEPS (Striving Towards Engagement and Peaceful Solutions): A Transformative Mentoring Intervention[3]. Next STEPS is part of a broader initiative to make New York City's neighborhoods and housing developments safer. As such, the NYCHA housing developments selected for Next STEPS are part of a citywide focus on reducing violent crime in those areas, as these housing developments account for nearly 20% of all violent crime in public housing[4].

Program Goals and Objectives

DOP is seeking an appropriately qualified community-based provider to implement the Next STEPS: Transformative Mentoring Intervention in Red Hook/Fort Greene for eligible participants

[1] For more information on the NeON's, please visit DOP's website at http://www.nyc.gov/html/prob/html/neon/neon.shtml

[2] The Arches Transformative Mentoring Intervention is part of the Young Men's Initiative and is funded with the support of Bloomberg Philanthropies. For more information on the Young Men's Initiative please visit http://www.nyc.gov/html/ymi/html/home/home.shtml. For more information on the Arches program, please visit: http://www.nyc.gov/html/prob/html/young_men/arches.shtml

[3] DOP issued the Next STEPS: A Transformative Mentoring Intervention RFP (EPIN: 78115I0001) on August 28, 2014 with 7 competitions targeting 15 NYCHA housing developments, including a Red Hook/Fort Greene competition serving the Red Hook East, Red Hook West and Ingersoll housing developments. The Red Hook/Fort Greene competition is being re-issued through the Next STEPS Red Hook/Fort Greene RFP.

[4] For more information on the city-wide initiative, please visit NYC.gov: http://www1.nyc.gov/office-of-the-mayor/news/336-14/fact-sheet-making-new-york-city-s-neighborhoods-housing-developments-safer#/0

residing in or near the 3 targeted NYCHA housing developments. Next STEPS will target high-risk young adults[5] between the ages of 16 and 24 who are: actively engaged and/or involved in serious violent activity (including domestic violence) and/or gang-affiliated, who reside in or near the targeted NYCHA housing developments. Other targeted populations and eligibility criteria may be determined by DOP. The transformative mentoring program model includes: group and one-on-one mentoring, with case management, to help participants transform attitudes and behaviors around violence, serving young people whose needs go far beyond the traditional mentoring approach of companionship, confidence-building and typical academic, social or career guidance. This initiative focuses on reducing gun violence by taking a community based approach to stopping shootings before they happen, by employing evidence-based interventions, anti-violence messaging, and support services in areas with high rates of gun violence.

Next STEPS: The Model

Next STEPS will use curriculum-based group mentoring to help at-risk young adults transform the attitudes and behaviors that have led to violence and/or criminal activity. The target population served by this intervention will include high-risk young adults[6] between the ages of 16 and 24 who are: actively engaged and/or involved in serious violent activity (including domestic violence) and/or gang-affiliated, who reside in or near the targeted NYCHA housing developments. Other targeted populations and eligibility criteria may be determined by DOP.

Similar to Arches, Next STEPS is based on mentoring programs developed by the Mentoring Center in Oakland, California. It is grounded in positive youth development[7] and uses an evidence-based curriculum employing cognitive behavioral principles.

The core components of the Next STEPS model includes (1) a group process that encourages participants to become an important support system for each other; (2) a curriculum based on cognitive behavioral principles delivered by culturally appropriate mentors, "credible messengers"; (3) mentors who are available for intensive support, advice, and guidance; (4) incorporation of positive youth development values, principles and practices; (5) case management; and (6) participant stipends. The focus is on the achievement of pro-social developmental outcomes – such as the ability to seek help in a crisis, get along with others, show up on time, and handle a job interview – that can prepare a person for education, employment, and civic participation.

A team of three paid mentors will deliver a cognitive behavioral curriculum to a group of 16 young adults twice a week, in the evening, and/or on weekends. The anticipated program

[5] Though high-risk, prior court involvement is not a necessary requirement for program eligibility.
[6] Though high-risk, prior court involvement is not a necessary requirement for program eligibility.
[7] Positive youth development is a comprehensive developmentally-appropriate framework that emphasizes the importance of building on the positive attributes that young people have to promote their success.

length for each participant is 9 months[8]. Participants would be admitted to the program on an on-going/rolling basis. The intervention will utilize "Interactive Journaling," an evidence-based curriculum developed by The Change Companies[9] that uses a journaling process to assess a client's readiness to change, and provides strategies that lead an individual successfully through the process of change, action, and maintenance of prosocial behavior.

In addition to twice weekly group sessions, mentors would be available to meet one-on-one with the young adults during the week, most likely before and after the group sessions. Mentors would also be available by phone for support, advice and guidance.

The intervention is designed with the assumption that some participants may continue to display negative attitudes and behaviors during the program period. There should be no expulsion or rejection of participants who might continue to engage in negative behavior during the intervention period[10]. A balance of clear expectations and support would be the strategic, non-judgmental approach to working with the most reluctant participants.

It is expected that a hot, nutritious meal would be served at each group session. In addition, participating young adults would receive a cash or cash-like stipend at predetermined intervals, as prescribed by DOP, during their 9-months of participation in the group process. [11]

DOP expects to include the Next STEPS Red Hook/Fort Greene provider awarded through this RFP, as well as the Next STEPS providers awarded from the previous Next STEPS RFP, to the existing learning network for organizations delivering the Arches intervention in order for organizations to learn from one another and strengthen the capacity to deliver an effective and meaningful intervention.

Outcomes

Many high risk young adults need a series of interventions to help them desist from criminal activity or violent behavior, and strengthen their attachment to education, employment and community. The group mentoring model is designed to meet young people where they are in this process of pro-social engagement, focusing on changes in cognition/thinking and the attainment of problem solving/social skills that often precede the ability to secure concrete attainments in education/employment, healthy personal relationships, and avoidance of criminal behavior.

Through the group mentoring and Interactive Journaling sessions, which are offered 8 times per month, mentors work with participants to address their attitudes, knowledge, and skills in key

[8] The 9 month length of stay is not expected nor required to be continuous for each participant, rather it would be counted as each participant's cumulative participation.
[9] Proctor, S., Hoffman, N., Allison, S. (Feb 2011). The effectiveness of interactive journaling in reducing recidivism among substance-dependent jail inmates. *International Journal of Offender Therapy and Comparative Criminology*, 1-16.
[10] The only anticipated exception would be in cases that pose serious safety concerns.
[11] Approximately $1,200 annually per participant has been budgeted for participant stipends.

areas, including **relationships and communication** (e.g., being able to anticipate future situations where negative peer/social pressure might be present and being able to respond effectively, including issues related to domestic violence/intimate partner violence); **responsible behavior** (e.g., cost-benefit analysis of illegal/irresponsible behavior); **handling difficult feelings** (e.g., understanding how difficult feelings can lead to negative behaviors); and **individual change planning** (e.g., identifying and having the skills needed to implement positive behavior change). In addition, the program's open access to mentors outside of group sessions and case management services provide participants with positive adults who are there to support them through challenging situations, address their behaviors and attitudes, serve as role models, help them reach their goals, and can be counted on to be there for them.

Outcomes/tracking for this program focus on the key components of the program that must be implemented successfully in order to effect meaningful change in participants -- namely, an effective group process predicated on sufficient and sustained program enrollment, regularly scheduled and held group mentoring sessions, ongoing contact with participants in group mentoring sessions as well as case management sessions, one-on-one mentoring sessions, and outreach for re-engagement when participants are not attending group sessions, and maintenance of an appropriate mentor to participant ratio. Successful program outcomes as well as changes in participants' attitudes, knowledge, and skills related to positive behavior change (e.g., participants' internal motivation for change, knowing how to identify negative people/places/things that influence their behavior, being able to substitute problem behaviors with healthy alternatives) and participants' self-reported access to supportive adult role models/mentors will also be tracked.

It is expected that the contractor would achieve the following outcomes:

- At least 80% of the targeted enrollment
- 100% of each site's enrolled participants would receive a minimum of 8 contacts[12] per month
- Enrolled participants who take the required pre and post self-evaluations will show appreciable change in their overall attitudes, knowledge, skills related to positive behavior change and access to supportive adult role models/mentors
- At least 60% of those participants who demonstrated appreciable change in attitudes/knowledge/skills/access to support will have a successful program exit[13]

For participants with prior criminal history, the above is also expected to decrease further criminal justice system involvement.

[12] Contacts include: Attendance at group sessions, one-on-one mentoring sessions, and case management.

[13] Successful program exit is defined as: Participants attending at least 36 group mentoring sessions, OR participant completion of at least 2 of the Interactive Journals, OR participant experiences a documented positive exit such as: exiting for education, employment, military or other intervention/services such as substance abuse or mental health treatment.

The contractor will be required to report regularly on program performance metrics and expenses, as outlined below in Section 2, F. Monitoring and Reporting. The contractor will also need to provide researchers from DOP or its external evaluators with access to program staff and participants, provide information on program activities and participant level data. DOP or its external evaluator will periodically visit the provider to observe program activities and obtain detailed data on participant activities within the program. Other monitoring and evaluation activities may include surveys, focus groups, administrative record reviews, as well as regular telephone/email contact to document the program's status and follow-up with participants after program completion. DOP or its external evaluators may also conduct staff and enrollee interviews, as well as obtain and analyze baseline and program data for research.

Section 2 – Program Expectations and Proposal Instructions

A. Organizational Experience

1. Program Expectations

a. The contractor would be a not-for-profit organization with at least three years of successful relevant experience in the last five years providing similar services, such as mentoring, recruitment, and case management to the target population.
b. The contractor would have a demonstrated understanding of the Red Hook and Fort Greene communities where the relevant NYCHA developments are located.
c. The contractor would have experience providing violence prevention programming either directly or through the experience of a subcontractor.
d. The contractor would have experience operating a program that involved a group process for young adults.
e. The contractor would have experience providing cognitive-behavioral therapeutic interventions/programs.
f. The contractor would have experience facilitating training for staff members.

2. Proposal Instructions

a. Proposers should fully describe their successful relevant experience and capability as it relates to the proposed program, based on the expectations outlined in this section.
    i. For previous experience cited, proposers should include descriptions of the relevant services/programs offered, dates of operation and program goals/impact.
b. Proposers should upload 3 relevant letters of reference from past funders or other relevant stakeholders qualified to comment on past performance.

3. Evaluation:

a. This section will be evaluated based on the extent to which the proposer demonstrates successful relevant experience and capability to provide the program based on the criteria in this section. It is worth a maximum of **25** points in the proposal evaluation.

B. Group Process and Mentoring

1. Program Expectations:

a. The contractor would be responsible for recruiting participants who meet the eligibility criteria[14], as outlined above.
b. The contractor would run a mentoring group, during which a team of three paid mentors delivers the cognitive behavioral curriculum ("Interactive Journaling")[15]

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[14] It is anticipated that direct recruitment of eligible participants will be the contractor's responsibility. DOP may provide referrals of participants identified in collaboration with the New York City Police Department and NYCHA. The contractor would ensure that space in the program would be available for those participants. Furthermore, in the event that a participant recruited or referred to this program is a DOP client, DOP reserves the right to determine whether admission into the program is appropriate, with input from the client's Probation Officer.

[15] Interactive Journaling is a cognitive behavioral curriculum developed by the Change Companies. Interactive Journaling uses journaling to assess participant's readiness to change and provides strategies that lead an individual successfully through the process of change, action, and maintenance of prosocial behavior. The

to a group of up to 16 young adults twice a week for nine months; each participant can attend up to 72 sessions. Each group session would last a minimum of one and a half hours, including time for food and the session. Groups would be open and on-going with rolling admissions.

c. The contractor would provide a nutritious hot meal and Metro Cards[16] to participants at each group session.
d. The contractor would incorporate intrinsic and extrinsic incentives into the program model, including non-financial incentives.
e. The contractor would provide an orientation to each participant
f. The contractor would ensure that, in addition to the twice weekly group sessions, all mentors would be available to meet with participants during the week, most likely before and after the group sessions. Mentors would also be available by phone for support, advice and guidance.
g. The contractor would provide case management for enrolled participants, following best practices such as dedicating a primary person to each participant. Contractors would develop a dynamic system of support to meet participants' needs, on an on-going basis, including assessment, goal setting, basic case management services, and follow-up services. The contractor would offer opportunities to meet with the case manager on-site to discuss progress, obstacles to compliance, and on-going issues. In addition, the contractor would also follow up with referrals to ensure that participants' social service or health needs are being addressed through partnering service providers, including making referrals as necessary for Domestic Violence/Intimate Partner Violence services. It is expected that each participant would receive an initial assessment for case management and at minimum, one monthly check-in to ascertain that the on-going level of case management provided is appropriate.
h. The contractor would be responsible for performing outreach and attempt to re-engage participants who fail to show up for multiple group sessions.
i. Cash or cash-like stipends totaling $1,200 would be available for each participant, based on a pre-determined schedule to be provided by DOP upon contract award. It is anticipated that the stipend schedule will include a payment tied to participants' full completion of the post-test assessment. Contractors will be responsible for disbursing stipend payments. DOP will not reimburse contractors if the relevant stipend payment is distributed to a participant who has not fully completed this assessment.
j. The contractor would run the program outside of normal 9:00 A.M. to 5:00 P.M. business hours to accommodate participants who are working or are in school, groups would be conducted in the evenings and/ or on weekends.
k. The contractor would be responsible for the creation of a safe space and establishment of behavioral norms that would keep all participants feeling safe and respected when they are in the program.

2. Proposal Instructions:

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curriculum is age-appropriate, suitable for use by young adult populations, and requires a third grade reading level. The curriculum and journaling materials would be provided to the contractor by DOP.

[16] Metro cards would only be provided to participants in need of public transportation to reach the group meeting site.

a. Proposers should provide a detailed plan for recruiting participants who meet the eligibility criteria.
b. Proposers should fully describe their approach providing the twice weekly group-sessions, including the plan for running the program outside of normal 9 to 5 business hours, providing a nutritious hot meal as well as how intrinsic and extrinsic incentives would be incorporated into the program model, based on the Program Expectations outlined in this section. Proposers should include a detailed explanation of how stipends will be distributed to program participants.
c. Proposers should provide a plan for structuring mentor availability outside of the group sessions, both in person and by phone, based on the Program Expectations outlined in this section.
d. Proposers should fully describe how case management would be provided for enrolled participants.

3. **Evaluation:**
   a. This section will be evaluated based on the quality of the proposed approach to provide the services outlined above based on the criteria in this section. It is worth a maximum of **25 points** in the Proposal Evaluation.

C. Staffing

1. **Program Expectations:**
   a. The contractor would ensure that appropriate staffing levels are maintained, that staff are appropriately qualified and that staffing is sufficient to help participants achieve program milestones and outcomes.
   b. The contractor would include a plan for recruiting, hiring, and training staff[17].
   c. The contractor would ensure that all program staff is culturally competent, familiar with the targeted communities where participants are anticipated to reside, and have an appreciation for and sensitivity to diverse languages, traditions, and family structures. Additionally, the contractor would ensure that the program environment is friendly and supportive and all youth served are treated with dignity and respect[18]. The contractor would integrate this knowledge into service delivery.
   d. The contractor would be responsible for recruiting, hiring and supervising three paid mentors per group. Mentors could be full or part-time employees or independent contractors[19]. Mentors would be "credible messengers" who are well respected, invested in, and trusted in the communities where participants reside. Mentors must be culturally competent with a strong understanding of the target population, as well as the targeted neighborhood/NYCHA development and must be familiar with the unique challenges faced by young

[17] Proposers that intend to utilize existing staff currently charged to other contracts or grants should ensure that the proposed usage of that staff person(s)' time for the Next STEPS program will not conflict with any existing contractual requirements or expectations.
[18] This includes clients and their families who are lesbian, gay, bisexual, transgender, or questioning (LGBTQ).
[19] While some mentors might be employed on the contractor's staff and serve as mentors as part of their employment opportunities, DOP expects that a significant percentage of mentors will be hired from outside the organization on a contractual part-time basis.

adults who live there. Mentors would include a mix of people who themselves have been violence-involved, gang-affiliated and/or justice-involved, those who work in the private and nonprofit sectors, and respected community residents. Outreach to qualified neighborhood/NYCHA residents would be part of the recruitment plan for hiring mentors.

e. The contractor would ensure that at least one mentor in each group has experience with group facilitation. Mentors would be trained in the use of cognitive behavioral therapies, motivational interviewing, and/or positive youth development prior to starting mentoring group sessions. The contractor would provide on-going training to mentors[20].

f. The contractor would employ a project coordinator who would be responsible for administration of the program, supervision of mentors, and case management[21] for mentoring program participants. The project coordinator would have a Master's Degree in Social Work (MSW) or similar relevant graduate degree or would have at least five years of similar relevant on-the-job experience.

2. **Proposal Instructions**
    a. Proposers should fully describe their approach to Staffing based on the Program Expectations outlined in this section, including a detailed training plan.
    b. Also include:
        i. The proposed staff, salaried and non-salaried, that will provide program services. Demonstrate that staff will be appropriately qualified; and that such staffing covers the key functions outlined above and is sufficient to help participants achieve program milestones and outcomes. Proposers should attach the following:
            a. Resumes for key staff already identified.
            b. For other key staff positions, attach job descriptions showing the required qualifications.
3. **Evaluation:**
    a. This section will be evaluated based on the quality of the staffing plan based on the criteria in this section. It is worth a maximum of **20** points in the Proposal Evaluation.

D. Partnerships, Collaborations and Linkages

1. **Program Expectations:**
    a. The contractor would establish and maintain effective on-going relationships with DOP staff, program participants, their families and communities.
    b. The contractor would establish effective linkages and/or subcontracts with local neighborhood based organizations in both the Red Hook and Fort Greene

[20] It is anticipated that DOP would provide an initial training and contractors would be responsible for providing on-going training to new and existing staff thereafter.

[21] Case management could also be provided by an additional staff member, depending on the proposer's individual program design.

neighborhoods that will contribute to the creation of a program responsive to youth and families within their local communities.

c. The contractor would leverage additional resources, for example by developing effective partnerships, collaborations, and linkages, with appropriate community based organizations, government agencies, education providers, and other service providers to ensure that participants have access to comprehensive services to meet needs identified through case management activities.

2. Proposal Instructions

a. Proposers should fully describe their approach to Partnerships, Collaborations and Linkages, based on the Program Expectations outlined in this section.

b. Proposers should complete and attach a Linkage Agreement (Attachment D) for each proposed linkage.

c. Proposers should demonstrate how the proposed linkages will be relevant to the proposed program and effective in helping participants achieve program milestones and outcomes.

3. Evaluation:

b. This section will be evaluated based on the quality of the proposed approach to provide services outlined above based on the criteria in this section. It is worth a maximum of **5** points in the Proposal Evaluation.

E. Facilities

1. Program Expectations

a. The contractor would identify an appropriate site location in close proximity to the Red Hook East, Red Hook West and Ingersoll housing developments. Services would be provided in a safe, neutral space that is conveniently located for participants recruited from all 3 targeted NYCHA housing developments. An appropriate site location would be relevant to the community/communities where the targeted NYCHA housing developments are located and should be selected with consideration for any relevant safety concerns.

b. The contractor would ensure that the site is easily accessible by public transportation, and would be appropriate for group sessions and meetings with mentors.

c. The Contractor would ensure that the building and all facilities and equipment therein meet the local fire, health, and safety standards and comply with the American Disabilities Act (ADA) standards. If facilities do not meet ADA standards, the contractor must provide alternative measures, subject to DOP approval, such as access to other suitable space, to make activities accessible to persons with disabilities.

2. Proposal Instructions

a. Proposers should fully describe their approach to Site Location(s) based on the "Program Expectations" outlined in this section.

b. In addition:

i. Identify and describe the proposed site location(s)[22] including where group sessions and meetings with mentors will take place. Demonstrate that the site location(s) will be in a safe and neutral location, in close proximity to the relevant NYCHA developments, and accessible by public transportation, as well as appropriate in size and design to accommodate any program activities and any on-site administrative functions.

ii. Demonstrate that the building and space and equipment therein meet the local fire, health and safety standards. Demonstrate that the facility will meet ADA standards or that alternative measures will make program activities accessible to persons with disabilities.

3. Evaluation

a. This section will be evaluated on the site considerations outlined above based on the criteria in this section. It is worth a maximum of **10** points in the Proposal Evaluation.

F. Monitoring and Reporting

1. **Program Expectations:**
   a. The contractor would work closely with DOP to measure and report regularly on program outcomes.
   b. The contractor would submit monthly and quarterly reports to DOP, including specific information about participant enrollment and attendance, mentor contact hours, and participant progress. Please see Attachment E for detailed reporting expectations.
   c. The contractor would be required to track/capture participant enrollment and attendance, and report on participant outcomes through the use of DOP's on-line data collection system and other reporting as requested.
2. **Proposal Instructions**
   a. Proposers should fully describe their approach to Monitoring and Reporting based on the expectations outlined in this section.
   b. In addition, proposers should:
      i. Describe record keeping, data collection and procedures for documenting and reporting services delivered and outcomes
      ii. Summarize previous experience collecting data and meeting reporting requirements.
      iii. Indicate what quality control measures will be in place to assure timely, accurate and reliable data.
      iv. Describe how outcome achievement data will be used to improve program performance.

[22] At the time of contract award, the selected proposer would be required to provide proof of site control, for example, through a lease or certificate of occupancy.

3. **Evaluation:**
   a. This section will be evaluated based on the quality of the proposed approach to Administrative Responsibilities/Monitoring/Reporting based on the criteria in this section. It is worth a maximum of **5** points in the Proposal Evaluation.

G. Budget Management

1. **Program Expectations:**
   a. The proposed budget represents the annual costs to provide services for the proposed program[23].
   b. The contractor's costs would enable the effective delivery of services described in this RFP. Competitive pricing is encouraged.
   c. The payment structure of the contract awarded from this RFP will be based on a combination of line-item budget reimbursement and specific performance-based outcome measures. It is anticipated that the performance-based component will not exceed twenty-five percent (25%) of the total contract value. Performance-based milestones would be comprised of:
      i. 10%: Enrollment- Monthly milestone payment for at least 80% enrollment of contracted number of eligible participants
      ii. 10%: Contact hours- Monthly milestone payment for meeting threshold of required number of monthly contacts (including attendance at group sessions, one-on-one mentoring and case management)
      iii. 5% Timeliness of reporting- Monthly milestone payment for complying with prescribed monthly reporting requirements
2. **Proposal Instructions:**
   a. Proposers should complete and attach the Proposal Budget Summary (Attachment F). Proposers should review DOP's Fiscal Manual for guidance on completing the proposed budget. The Fiscal Manual can be accessed on the DOP website: http://www.nyc.gov/html/prob/html/contracting/manual.shtml
   b. Proposers should include in their Proposal document a Budget Narrative that fully describes how they would plan for and manage costs for this program, based on the program expectations outlined throughout this RFP and consistent with the proposed program design, including appropriate justification of the cost per participant. Budget narrative should include:
      i. Justification for each cost item with a description of how the budget would support the proposal, including the identification and justification of all Personnel and Other than Personnel Services (OTPS), including administrative costs and fringe benefits.
      ii. For Personnel Services, include titles of each position (full time and part time) for this program and explain how the costs for each position were

[23] The cost of the Interactive Journaling curriculum and materials does not need to be included in the proposal budget. However, participant stipends should be included in the budget and would be indicated on the "Operations, Support, and Equipment" line as stated in the budget instructions in Attachment F.

determined (such as a percentage of full-time salary or hourly rate multiplied by the number of hours).

iii. For operation, utilities and other support expenses, list each item and explain how the costs (of each one) were determined.

iv. For Rent and Occupancy, describe the space costs, including those involving a rental expense, their importance in the proposed program, and how costs were determined.

v. For contracted services, list the associated cost included in the funding request, explaining how the cost of the assigned work for the program was calculated. If it is a non-program service purchased from a vendor, describe the nature of the service, why it is needed, and how the costs relating to its purchase were determined.

3. Evaluation:

c. This section will be evaluated based on the quality of the proposed budget and extent to which the Proposer demonstrates compliance with the criteria in this section. It is worth a maximum of **10** points in the Proposal Evaluation.

Section 3 – List of Attachments

**All attachments for this RFP can be found in the RFP Documents tab in the HHS Accelerator system.*

- Attachment A – General Information and Regulatory Requirements
- Attachment B – Proposal Submission Instructions
- Attachment C - Doing Business Data Form
- Attachment D – Linkage Agreement Form
- Attachment E – Reporting Expectations
- Attachment F – Proposal Budget Summary

Section 4 – Basis for Contract Award and Procedures

A. Proposal Evaluation

All proposals received by DOP will be reviewed to determine whether they are responsive or nonresponsive to the requirements of this RFP. Proposals which DOP determines to be nonresponsive will be rejected. The DOP Evaluation Committee(s) will evaluate and rate all remaining proposals based on the Evaluation Criteria outlined in this RFP. DOP reserves the right to conduct site visits, to conduct interviews, or to request that proposers make presentations, as deemed applicable and appropriate. Although DOP may conduct discussions with proposers submitting acceptable proposals, it reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic terms.

B. Contract Award

A contract will be awarded to the responsible proposer whose proposal is determined to be the most advantageous to the City, taking into consideration the price and other such factors or criteria which are set forth in this RFP. Proposals will be ranked in descending order of their overall average technical scores and DOP will establish a shortlist through a natural break in scores for technically viable proposals. Award will be made to the highest rated vendor whose proposal is technically viable and whose price does not exceed the conditions set forth in the RFP. However:

- DOP reserves the right to award less than the full amount of funding requested in the best interests of the City.
- DOP reserves the right, prior to contract award, to determine the length of the initial contract term and each option to renew, if any.
- DOP reserves the right, prior to contract registration and during the term of the contract, to change the program service size, program type, and/or model of its population depending on the needs of the system.

Contract Award shall be subject to:

- Demonstration that the proposer has, or will have by the conclusion of negotiations, site control of an appropriate program facility.
- Demonstration that proposer is tax-exempt and incorporated as a Not-for-Profit in New York State. Compliance will be shown by submission of the exemption certificate demonstrating that the proposer is classified as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code, and a copy of the Certificate of Incorporation issued by the State Department of State.
- Timely completion of contract negotiations between DOP and the selected proposer

Proposal Submission Instructions

General Guidelines

- All Proposals must be submitted utilizing the Procurement Tab of the HHS Accelerator system at www.nyc.gov/hhsacceleratorlogin by providers with approved HHS Accelerator Applications, including Business Application and required Service Application(s) for the areas listed on the HHS Accelerator Procurement Roadmap.
- Proposals received after the Proposal Due Date and Time are late and shall not be accepted, except as provided under New York City's Procurement Policy Board Rules, Section 3-16(p)(5).
- Please allow sufficient time to complete and submit Proposals, which includes entering information, uploading documents and entering log-in credentials. The HHS Accelerator system will only allow Providers to submit Proposals prior to the Proposal Due Date and Time.
- Providers are responsible for the timely electronic submission of proposals. **It is strongly recommended that Providers complete and submit their Proposals at least 24 hours in advance of the Proposal Due Date and Time.**
- Resources such as user guides, videos, and training dates are listed on at www.nyc.gov/hhsaccelerator. For more information about submitting a proposal through the HHS Accelerator system, please contact info@hhsaccelerator.nyc.gov.

Proposal Details

- Basic Information
  - Enter Proposal Title.
  - Select the Competition Pool.
- Provider Contact
  - Select member of your organization who will be the primary contact.
- Service Units
  - For Total Funding Request, enter the ANNUAL funding request for the first year of the contract.
- Site Information
  - Enter the address(es) of the site(s) where you will be delivering services.

Proposal Documents

- Proposal document file size cannot exceed 12 MB.
- Proposal documents must be in one of the following file formats: Word (.doc, .docx), PDF (.pdf), and Excel (.xls, .xlsx).
- Required Documents
  - Proposal –proposal narrative.
  - Key Staff – Resume –one document that includes all resumes and/or job descriptions for key staff administering proposed program. If you have multiple resumes to combine, complete one of the following steps:
    - For Word documents: Cut and paste contents of all resumes into one Word document.
    - For PDF documents: Combine files into a single PDF.
    - For printed documents: Scan the multiple documents into a single document.
  - Reference – three Letter(s) of Reference. To upload more than one additional letter of reference, follow the steps to merge documents listed above.
  - Budget – completed Proposal Budget Summary.
  - Doing Business Data Form –completed Doing Business Data Form.
  - Community Linkages and Partnerships – completed Linkage Agreement Form.

General Information and Regulatory Requirements

Complaints. The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

Applicable Laws. This Request for Proposals and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-7820.

General Contract Provisions. Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A—General Provisions Governing Contracts for Consultants, Professional and Technical Services" or, if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. A copy of the applicable document is available through the Authorized Agency Contact Person.

Contract Award. Contract award is subject to each of the following applicable conditions and any others that may apply: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the requisite New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite VENDEX Questionnaires/Affidavits of No Change and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

Proposer Appeal Rights. Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal Agency non-responsiveness determinations and Agency non-responsibility determinations and to protest an Agency's determination regarding the solicitation or award of a contract.

Multi-Year Contracts. Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the Agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The Agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

Prompt Payment Policy. Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

Prices Irrevocable. Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the Agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the Agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

Confidential, Proprietary Information or Trade Secrets. Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. All information not so identified may be disclosed by the City.

RFP Postponement/Cancellation. The Agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

Proposer Costs. Proposers will not be reimbursed for any costs incurred to prepare proposals.

Vendex Fees. Pursuant to PPB Rule 2-08(f)(2), the contractor will be charged a fee for the administration of the Vendex system, including the Vendor Name Check Process, if a Vendor Name Check review is required to be conducted by the Department of Investigation. The contractor shall also be required to pay the applicable fees for any of its subcontractors for which Vendor Name Check reviews are required. The fee(s) will be deducted from payments made to the contractor under the contract. For contracts with an estimated value of less than or equal to $1,000,000, the fee will be $175. For contracts with an estimated value of greater than $1,000,000, the fee will be $350. The estimated value for each contract resulting from this RFP is estimated to be (less than or equal to $1million) (above $1million).

Compliance with Local Law 34 of 2007. Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City established a computerized database containing the names of any "person" that has "business dealings with the city" as such terms are defined in the Local Law. For the purposes of the database, proposers are required to complete the attached Doing Business Data Form and return it with this proposal submission, and should do so in a separate envelope. (If the proposer is a proposed joint venture, the entities that comprise the proposed joint venture must each complete a Data Form.) If the City determines that a proposer has failed to submit a Data Form or has submitted a Data Form that is not complete, the proposer will be notified by the Agency and will be given four (4) calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to the Agency. Failure to do so will result in a determination that the proposal submission is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the proposer has provided an e-mail address or fax number), or no later than five (5) days from the date of mailing or upon delivery, if delivered.

Recruitment and Hiring of Staff/Arrest Notification. 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 RFP 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. The contractor shall report any conviction or subsequent arrest of any staff member (paid or volunteer) of which it becomes aware to the Agency.

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.

Whistleblower Protection Expansion Act Rider. Local Law Nos. 30 and 33 of 2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, the Whistleblower Protection Expansion Act, protect employees of certain City contractors from adverse personnel action based on whistleblower activity relating to a City contract and require contractors to post a notice informing employees of their rights. Please read the below supplementary information on labeled Whistleblower Protection Expansion Act Rider, carefully.

Food Guidelines [Food policy guidelines apply to prime contractors and subcontractors]

(a) Pursuant to Local Law 50 of 2011, codified at section 6-130 of the New York City Administrative Code, the New York State Food Purchasing Guidelines, available at http://www.nyc.gov/html/mocs/html/vendors/food_purchasing_guidelines.shtml, shall apply to contracts valued at more than $100,000 for food or food-related services (e.g., catering), and to any contract for social services though which more than $100,000 of food would be purchased annually in fulfillment of the contract. The New York State Department of Agriculture & Markets list of food items available from New York State sources is available at http://www.nyc.gov/html/mocs/downloads/pdf/NYSFoodList.pdf.

(b) If the contract includes a requirement that the contractor supply food to program participants as a material part of the client services funded by the Agency/Department then the contractor shall provide a healthy food environment in connection with the client services provided under the contract by complying with the attached New York City Agency Food Standards with regard to the provision of food to program participants under the contract, including compliance with the New York City Food Standards for beverage vending and food vending machines (http://www.nyc.gov/html/doh/html/cardio/cardio-vend-nutrition-standard.shtml) for any vending machines to which program participants are granted access.

Compliance with the Iran Divestment Act. Pursuant to State Finance Law Section 165-a and General Municipal Law Section 103-g, the City is prohibited from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Each proposer is required to certify that it is not on a list of entities engaged in investments activities in Iran created by the Commissioner of the NYS Office of General Services. If a proposer appears on that list, the Agency/Department will be able to award a contract to such proposer only in situations where the proposer is takings steps to cease its investments in Iran or where the proposer is a necessary sole source. Please refer to the below supplementary for information on the Iran Divestment Act required for this solicitation and to http://www.ogs.ny.gov/About/regs/ida.asp for additional information concerning the list of entities.

Subcontractor Compliance Notice. The selected vendor will be required to utilize the City's web based system to identify all subcontractors in order to obtain subcontractor approval pursuant to PPB Rule section 4-13, and will also be required to enter all subcontractor payment information and other related information in such system during the contract term. Please read the below supplementary information regarding subcontractor compliance notice as it relates to competitive solicitations.

Supplementary Information

WHISTLEBLOWER PROTECTION EXPANSION ACT RIDER

1. In accordance with Local Law Nos. 30-2012 and 33-2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, respectively,

   (a) Contractor shall not take an adverse personnel action with respect to an officer or employee in retaliation for such officer or employee making a report of information concerning conduct which such officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee relating to this Contract to (i) the Commissioner of the Department of Investigation, (ii) a member of the New York City Council, the Public Advocate, or the Comptroller, or (iii) the City Chief Procurement Officer, ACCO, Agency head, or Commissioner.

   (b) If any of Contractor's officers or employees believes that he or she has been the subject of an adverse personnel action in violation of subparagraph (a) of paragraph 1 of this rider, he or she shall be entitled to bring a cause of action against Contractor to recover all relief necessary to make him or her whole. Such relief may include but is not limited to: (i) an injunction to restrain continued retaliation, (ii) reinstatement to the position such employee would have had but for the retaliation or to an equivalent position, (iii) reinstatement of full fringe benefits and seniority rights, (iv) payment of two times back pay, plus interest, and (v) compensation for any special damages sustained as a result of the retaliation, including litigation costs and reasonable attorney's fees.

   (c) Contractor shall post a notice provided by the City in a prominent and accessible place on any site where work pursuant to the Contract is performed that contains information about:

      (i) how its employees can report to the New York City Department of Investigation allegations of fraud, false claims, criminality or corruption arising out of or in connection with the Contract; and
      (ii) the rights and remedies afforded to its employees under New York City Administrative Code sections 7-805 (the New York City False Claims Act) and 12-113 (the Whistleblower Protection Expansion Act) for lawful acts taken in connection with the reporting of allegations of fraud, false claims, criminality or corruption in connection with the Contract.

      (d) For the purposes of this rider, "adverse personnel action" includes dismissal, demotion, suspension, disciplinary action, negative performance evaluation, any action resulting in loss of staff, office space, equipment or other benefit, failure to appoint, failure to promote, or any transfer or assignment or failure to transfer or assign against the wishes of the affected officer or employee.

      (e) This rider is applicable to all of Contractor's subcontractors having subcontracts with a value in excess of $100,000; accordingly, Contractor shall include this rider in all subcontracts with a value a value in excess of $100,000.

2. Paragraph 1 is not applicable to this Contract if it is valued at $100,000 or less. Subparagraphs (a), (b), (d), and (e) of paragraph 1 are not applicable to this Contract if it was solicited pursuant to a finding of an emergency. Subparagraph (c) of paragraph 1 is neither applicable to this Contract if it was solicited prior to October 18, 2012 nor if it is a renewal of a contract executed prior to October 18, 2012.

Notice for Proposers – Subcontractor Compliance:

As of March 2013 the City has implemented a new web based subcontractor reporting system through the City's Payee Information Portal (PIP), available at www.nyc.gov/pip. In order to use the new system, a PIP account will be required. Detailed instructions on creating a PIP account and using the new system are also available at that site. Additional assistance with PIP may be received by emailing the Financial Information Services Agency Help Desk at pip@fisa.nyc.gov.

In order to obtain subcontractor approval under section 3.02 of Appendix A or Article 17 of the Standard Construction Contract and PPB Rule § 4-13 Contractor is required to list the subcontractor in the system. For each subcontractor listed, Contractor is required to provide the following information: maximum contract value, description of subcontractor work, start and end date of the subcontract and identification of the subcontractor's industry. Thereafter, Contractor will be required to report in the system the payments made to each subcontractor within 30 days of making the payment. If any of the required information changes throughout the term of the contract, Contractor will be required to revise the information in the system.

Failure of the Contractor to list a subcontractor and/or to report subcontractor payments in a timely fashion may result in the Agency declaring the Contractor in default of the Contract and will subject Contractor to liquidated damages in the amount of $100 per day for each day that the Contractor fails to identify a subcontractor along with the required information about the subcontractor and/or fails to report payments to a subcontractor, beyond the time frames set forth herein or in the notice from the City. For construction contracts, the provisions of Article 15 of the Standard Construction Contract shall govern the issue of liquidated damages.

Contractor hereby agrees to these provisions.

NOTICE TO PROPOSERS

Please be advised that the City of New York has issued a new Human Services Standard Contract. The new Contract, which is incorporated in this Request for Proposals, includes changes that reflect amendments to the New York Executive Law and Not-for-Profit Corporation Law by the Non-Profit Revitalization Act of 2013 ("NPRA"). Significant changes include the following:

SECTION 1.01 DEFINITIONS

New definitions for "key employee," "improper related party transaction," "related party," and "related party transaction" have been added to reflect new definitions in section 102(a) of the Not-for-Profit Corporation Law.

SECTION 4.07 RECOUPMENT OF DISALLOWANCE, IMPROPERLY INCURRED COSTS, AND OVERPAYMENTS

A change allows the City to recoup amounts incurred on any improper Related Party Transaction, as defined in section 1.01.

SECTION 5.01 RECORDS TO BE MAINTAINED

New records have been added to the list of records not-for-profit corporations are required to maintain and/or provide for inspection, including: the contractor's conflicts of interest policy, the contractor's whistleblower policy (if required by law), the documentation required for approval of related-party transactions, and a related party's disclosure statement.

SECTION 5.06 ADDITIONAL AUDIT AND FINANCIAL REPORTING REQUIREMENTS

The audit requirements have been changed to reflect changes in Executive Law section 172-b.

SECTION 6.05 BOARD OF DIRECTORS

The provisions relating to Boards of Directors previously in section 2.02(D)-(H) of Appendix B have been moved into this contract. Consistent with the NPRA, subdivision (B) now specifies that board members cannot be present during deliberation of certain personnel matters.

SECTION 6.06 CONFLICTS OF INTEREST POLICY

A new section has been added requiring contractors to maintain a conflict of interest policy if required by Not-for-Profit Corporation Law section 715-a(a).

Please refer to the contract itself for a full understanding and the actual text of the changes that were made. The text of the Contract is the controlling document should there be any discrepancies between this notice and the Contract.

Use until June 30, 2015

The City of New York
Mayor's Office of Contract Services
Doing Business Accountability Project

Doing Business Data Form

To be completed by the City agency prior to distribution

Agency: ______________ **Transaction ID:** ______________________________

Check One:	Transaction Type (check one):		
☐ Proposal	☐ Concession	☐ Contract	☐ Economic Development Agreement
☐ Award	☐ Franchise	☐ Grant	☐ 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):

☐ Entity has never completed a Doing Business Data Form. *Fill out the entire form.*

☐ Change from previous Data Form dated ____________. *Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.*

☐ No Change from previous Data Form dated ____________. *Skip to the bottom of the last page.*

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.

Attachment G: Linkage Agreement Form

RFP TITLE: Next STEPS (Striving Toward Engagement and Peaceful Solutions): A Transformative Mentoring Intervention

Proposer ____

Instructions: This agreement is a 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____

(Proposer Organization)

in response to the Next STEPS (Striving Toward Engagement and Peaceful Solutions): A Transformative Mentoring Intervention program Request For Proposals from the Department of Probation, the proposer has established or, if funded, will establish programmatic linkage with

____ in the form and manner described below.

(Linked Organization)

Describe the proposed programmatic linkage, including what services the linked partner will provide, how data will be maintained and information shared between partners, and how referrals between partners will be handled. Describe how the linkage will help participants achieve program outcomes.

Proposer Organization:	Linked Organization:
____________________ Authorized Representative	____________________ Authorized Representative
____________________ Title	____________________ Title
____________________ Signature	____________________ Work Address
____________________ Date	____________________ Work Telephone Number
	____________________ Signature
	____________________ Date

Next STEPS (Striving Toward Engagement and Peaceful Solutions):
A Transformative Mentoring Intervention RFP PIN: 78115I0002

Reporting Expectations:

	Outcomes/Tracking	Definitions and Comments	Site Outcome:
Enrollment	Each site will attain **at least** 80% of targeted enrollment each month	*Targeted enrollment = 16 participants per site *Calculated each month *Uses highest number of participants on any given day in the month	
Group Mentoring Sessions Held	Each site will hold 2 group mentoring sessions per week/a total of 8 per month	For a group session (which must include a nutritious hot meal) to count as "held," at least one participant had to have attended	
Contacts with Enrolled Participants	100% of each site's enrolled participants will receive **a minimum** of 8 contacts per month	*Contacts include group mentoring sessions, one-on-one mentoring sessions, case management, or outreach for re-engagement purposes (latter three cannot be held at the same time as group mentoring).	
Case Management Services	100% of each site's enrolled participants will receive case management services/activities each month	*Must be recorded as "case management" to be counted	
Mentor: Mentee Ratio	Each site will maintain a 1:5 mentor:youth staffing ratio each month	*Monthly mentor staffing numbers compared to number of **enrolled** participants	
Attitudes, Knowledge, and Skills Related to Positive Behavior Change and Access to Support	Enrolled participants who take the required pre and post self-evaluations will show appreciable change in their overall attitudes, knowledge, skills related to positive behavior change and access to supportive adult role models/mentors	*Standardized pre and post self-evaluations must be used at time points specified by DOP *Appreciable change to be defined/quantified upon data collection	
Successful Program Exit	At least 60% of those participants who demonstrated appreciable change in attitudes/knowledge/skills/access to support will have a successful program exit, defined as: Participant attended at least 36 group mentoring sessions **OR** Participant completed at least 2 of the 4 Interactive Journals **OR** Participant experienced a documented positive exit from the program - i.e., participant exited for education, employment, military, or other interventions/services such as mental health or substance abuse services	*If a participant returns to the program from a positive exit, credit for that participant will be deducted	

Proposal Budget Summary

Total Price Proposal (Line Item + Performance)	**$ -**

Line Item (75%)	Annual Budget
- **Total Direct Costs**	**$ -**
- **Total Personnel Service**	**$ -**
Total Salary	$ -
Total Fringe	$ -
- **Total OTPS**	**$ -**
Operations, Support and Equipment	$ -
Utilities	$ -
Professional Services	$ -
Rent & Occupancy	$ -
Contracted Services	$ -
- **Indirect Costs**	
- **Total Indirect Costs**	**$ -**

Performance (25%)	Annual Budget
- **Milestone**	**$ -**
Enrollment (10%)	$ -
Contact Hours (10%)	$ -
Timeliness of Reporting (5%)	$ -

Budget Item Descriptions

Total Salary: Indicate the total cost of all employees (full-time, 35 hours or more per week; part-time and seasonal less than 35 hours per week)

Total Fringe:
Indicate total cost of fringe associated with your employees. Fringe benefits must include FICA. This may also include unemployment insurance, worker's compensation, disability, pension, life insurance and medical coverage as per your policies.

Operations, Support and Equipment : Includes Supplies that are not lasting or permanent in nature, such as office, program and/or maintenance supplies. Purchase of equipment that is durable or permanent, such as furniture, printers, calculators, computers etc. The rental, lease, repair and maintenance of office/programmatic equipment utilized in the program's operation. This also includes audit costs, postage, printing and publications,
subscriptions, etc. Also include any other operating costs (such as participant stipends and incentives) that
cannot be classified in any other category.

Utilities: Cost related to utilities such as electricity, water, gas and telecommunications.

Professional Services: Cost associated with independent entities with professional or technical skills, such as accounting or legal services, that support vendor operations.

Rent and Occupancy: All rent paid by a program for all sites utilized by that program.
It also includes all related charges associated with the use of the site such as minor repairs and maintenance costs.

Contracted Services: Cost associated with independent entities with professional or technical skills retained to perform specific tasks or complete projects related to the program that cannot be accomplished by regular staff. Also, independent, usually nonprofit, entities retained to perform program services.

Rate Based: Indicate the total for performance-based portion

Indirect Costs: Costs related to overhead incurred by a contractor operating several programs.