

ADDENDUM # 2

8/27/2024

RFA # 20171 / Grants Gateway DOH01-DWFAR-2023 (Component A: Planning and Feasibility Projects) & DOH01-DWFBR-2023 (Component B: Implementation and Maintenance Projects)

New York State Department of Health
Center for Community Health Division of Family Health
Bureau of Child Health

Request for Applications ***Drinking Water Fluoridation – Rolling Submissions***

The following modifications have been made to this RFA

Grants Gateway will be sunsetting due to the conversion to the Statewide Financial System. All language pertaining to the Grants Gateway contained in the attached RFA #20171 and its attachments, including, but not limited to, Section IV.E. How to file an application, and Section V.A., paragraphs one and two, are hereby removed as of **August 31, 2024**.

The following are instructions for current and future applications to RFA #20171, Component A and B

1. Grants Gateway Applications for RFA #20171 (Component A and B) will only be accepted for submission until **August 31, 2024**. Any applications currently in process in Grants Gateway will need to be submitted by this date. If your application will not be ready for submission by that date, please download and save all aspects of the application that have been completed and follow the guidance below for submitting an application outside of Grants Gateway.
2. The [New York State Contract Reporter](#) Ad #2093397 has been updated for the revised posting of RFA #20171 and all attachments. **Instructions for application and submission for RFA #20171, Component A and B are changed starting September 1, 2024 as follows:**
 - a. Starting **September 1, 2024** all applications for RFA #20171, Component A and B, will need to be completed and submitted, as instructed in the attached “Updated language for RFA 20171” document, to email address: DFHDWF@health.ny.gov.

- b. Interested eligible municipalities **must submit All required information/documentation** that is listed in the attached “Updated language for RFA 20171” document to apply:
- 3. The following attachments have been updated to reflect the changes described above and are attached at the end of this document:
 - a. Attachment 9 – Offline Budget Instructions (formerly Grants Gateway Budget Instructions)
 - b. Attachment 10 – Offline Budget document (formerly Grants Gateway Budget Data Entry Guidelines)

If possible, submit all required documentation together in one PDF file and the Budget document (Attachment 10) as an EXCEL file. If you need to send separate documents, please make sure the name of the municipality, DWFRFA 20171, and the document title, is listed in the header/name of each file. Please submit these documents via email to DFHDWF@health.ny.gov by the application due date and time listed on the cover page of the RFA.

Updated language as of September 1, 2024 to RFA #20171 Drinking Water Fluoridation – Rolling Submissions, Component A: Planning and Feasibility Projects & Component B: Implementation and Maintenance Projects for the following Sections:

Section IV. Administrative Requirements, E. How to file an application and Section V. Completing the Application, A. Application Format/Content.

**IV. Administrative Requirements
E. How to file an application**

All Applications for RFA #20171, Component A and B **must** be submitted as one (1) PDF and one (1) (EXCEL) attachment to an email submitted to DFHDWF@health.ny.gov by the date and time posted on the Cover Page of this RFA under the heading “Key Dates”.

**V. Completing the Application
A. Application Format/Content**

Please respond to each of the sections described below when completing the **offline** Application. Your responses comprise your Application. Please respond to all items within each section. When responding to the statements and questions, be mindful that Application reviewers may not be familiar with the agency and its services. Your answers should be specific, succinct, and responsive to the statements and questions as outlined. Please be aware that the value assigned to each section described below indicated the relative weight that will be given to each section of your Application when scoring your Application.

It is each Applicant’s responsibility to ensure that all materials included in its Application have been properly prepared and submitted. Applications must be submitted via an email with all Application documents in an PDF attachment, except for the Budget document (Attachment 10) which is submitted as an EXCEL document) to DFHDWF@health.ny.gov by the Application deadline date and time specified on the Cover Page of this RFA.

As a reminder, the following attachments need to be **emailed** to DFHDWF@health.ny.gov in order to submit an application.

1. Application Cover Page (Attachment 1);
2. Depending on project size or scope:
 - a. Component A Technical Submittal (Attachment 2), **OR**;
 - b. Component B Technical Submittal for Projects \$50,000 or Less (Attachment 3) **OR**;
 - c. Component B Technical Submittal for Projects \$50,001 or More **OR** Projects Initiating Fluoridation (Attachment 4);
3. MWBE forms (Attachment 6);
4. Subcontractor Information Form - if needed (Attachment 7);
5. Vendor Responsibility Attestation (Attachment 8); and
6. Vendor Contact Form (Attachment 13);
7. Budget document (Attachment 10) [EXCEL document];
8. Depending on Component applying for:

UPDATED LANGUAGE FOR RFA 20171

- a. Component A Standard Work plan (Attachment 11), OR:
- b. Component B Standard Work plan (Attachment 12)

- Program Specific Questions

1. Application Cover Page (**Attachment 1**)

A form is provided to serve as the cover page for the Application. All requested information must be supplied on this form and emailed as an attachment to DFHDWF@health.ny.gov. Please refer to Attachment 1. Please indicate in the email if **Attachment 1** has been completed and is attached to the email.

2. Technical Submittal

A form is provided to serve as the Technical Submittal for the application. Depending on project size or scope and Component, all requested information should be supplied on the appropriate form and included in the email as the specific attachment. Please indicate in the email if **Attachment 2, Attachment 3, or Attachment 4** has been completed and is uploaded to the email.

3. Budget

- a. All costs should be related to the provision of the DWF project described, as well as be consistent with the scope of services, reasonable, and cost effective. Justification for each cost should be submitted in narrative form within the offline budget document (**Attachment 10**). For all existing staff, the budget justification must delineate how the percentage of time devoted to this project has been determined. **THIS FUNDING MAY ONLY BE USED TO EXPAND EXISTING ACTIVITIES OR CREATE NEW ACTIVITIES PURSUANT TO THIS RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF ACTIVITIES.**
- b. All applicants must complete the offline budget (**Attachment 10**) in the EXCEL document format, assuming a start date of approximately six months from the date of application submission, with a clear and appropriate justification for each line item that aligns with the scope of activities to be conducted (including a cost-effective and appropriate overall staffing pattern). The full contract term will be 24-months. Refer to **Attachment 9 - Offline Budget Instructions** for budget guidance.

Any ineligible budget items will be removed from the budget prior to contracting. The budget amount requested will be reduced to reflect the removal of the ineligible items.

4. Work Plan

For the **Work Plan Project Summary** in the Standard Work Plan (**Attachment 11** for Component A and **Attachment 12** for Component B), applicants are instructed to summarize their project.

Funded applicants will be held to the Objectives, Tasks and Performance Measures as listed in Component specific Work Plans (**Attachment 11 for Component A and Attachment 12 for Component B**) for which an application is being submitted.

ATTACHMENT 9
Offline Budget Instructions
New Awards OR New Budget Periods
RFA #20171
RFA: Drinking Water Fluoridation
New York State Department of Health

- **Funding Opportunity Specification** – The following specifications should be adhered to when completing the expenditure-based budget (Attachment 10). Failure to adhere to these specifications may result in a reduction of allotted points. Successful applications recommended for award will require modification to meet these specifications prior to contract approval. For each section of the offline budget document, under the Narrative Justification/Description fields, enter details about other funds for required components of the program.

Additional Considerations

- All costs must directly relate to the provision of services outlined in this funding opportunity, be consistent with the scope of services, be reasonable and be cost effective.
- Contracted organizations must have documentation on file to support allocation of shared costs to the contract in accordance with applicable regulations and approved budget.
- For each section of the budget in which a budget item is proposed, all fields pertaining to the application in Attachment 10 must be completed. Failure to complete all fields pertaining to the application may result in a delay in the budget and contract approval process.
- Failure to provide complete, clear, and concise information may result in a delay in the budget contract approval process.
- Equipment purchases for major items that will depreciate in a very short period of time (e.g. one to three years) will only be considered when supported by a strong justification. The Department of Health (DOH) recognizes that organizations may classify items as equipment within their own accounting system that do not fall under the definition of equipment and may be included in the equipment budget category.
- Budget justifications should identify the proposed goods/services that are programmatically necessary and describe how this expense supports the Work Plan objectives of the project. The justification should provide sufficient detail to demonstrate that specific uses and amounts of funding have been carefully considered, are reasonable and are consistent with the approaches described in the Work Plan.
- Budget lines that are not well-justified may delay the budget approval process.
- Indirect costs for organizations without a federally approved indirect cost rate will be limited to no more than 10% of total direct costs.
- Additional costs incurred by the program, referred to as “in-kind contributions,” should be detailed under the narrative sections for the respective budget category (i.e. In-kind staff should not be listed in the Salary Detail, but please identify any in-kind staff and the grant deliverable their work supports in the Personal Services – Salary Narrative).

- **Travel:** All Travel, other than travel for individuals/organizations funded under the contractual service line, subcontractor travel, should be budgeted in this section. If awarded, Out-of-State travel requires prior approval.
 - OSC Guidelines: <http://www.osc.state.ny.us/agencies/travel/manual.pdf>
 - USGSA: <http://www.gsa.gov/portal/category/21283>

Other Helpful Links:

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards:

<https://www.federalregister.gov/documents/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>

CFR Subpart E - Basic Considerations: [http://www.ecfr.gov/cgi-bin/text-](http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rgn=div5#sg2.1.200)

[idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rgn=div5#sg2.1.200](http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rgn=div5#sg2.1.200) 1401.s
[g12](#)

Attachment 10 - OFF LINE BUDGET FORM
(NYS Funds Only)

Program: _____

Vendor Name _____

Contract #: _____

Budget Period: _____

Budget Line Item	Grant Funds Requested	Justification/Description	Complete the following information for each Personal Service Line				
Personal Service: <i>Position Title / Incumbent Name</i>		Role/Responsibility	Annualized Salary	STD Work Week (hrs)	Total % FTE on Project	% FTE Funded by Grant	# Months Funded
Salaries Subtotal:	\$0.00						
Fringe Benefits:		Fringe Justification/Description - Provide Breakdown of Fringe Components and %s for each					
Fringe Benefit Rate:							
Personal Service Subtotal:	\$0.00						
Nonpersonal Service Budget Categories:		NPS Narrative Justification/Description					
Contractual Expense		Contractual Expenses Narrative Justification					
Travel Expense		Travel Expenses Narrative Justification					
Equipment Expense		Equipment Expense Narrative Justification					
Space/Property: Rent Expense		Space/Property:Rent Narrative Justification					
Space/Property: Own Expense		Space/Property:Own Narrative Justification					
Utilities Expense		Utilities Narrative Justification					

Attachment 10 - OFF LINE BUDGET FORM
(NYS Funds Only)

Program:

Vendor Name

Contract #:

Budget Period:

Operating Expenses		Operating Expenses Narrative Justification
Other - Indirect Costs		Indirect Cost Narrative Justification
NPS Subtotal:	\$0.00	
GRAND TOTAL	\$0.00	

ADDENDUM # 1

February 6, 2023

RFA # 20171 / Grants Gateway DOH01-DWFAR-2023 (Component A: Planning and Feasibility Projects) & DOH01-DWFBR-2023 (Component B: Implementation and Maintenance Projects)

New York State Department of Health
Center for Community Health Division of Family Health
Bureau of Child Health

Request for Applications ***Drinking Water Fluoridation – Rolling Submissions***

The following modification has been made to this RFA

Attachment 4: Component B Technical Submittal for Projects \$50,001 or More OR Projects Initiating Fluoridation, for the Grants Gateway opportunity DOH01-DWFBR-2023 (Component B: Implementation and Maintenance Projects) was not included in the Pre-submission Uploads section.

Please see Attachment 4 included immediately following this page. If applicable, download pages 2-3, print, and once completed upload in the Pre-Submission Uploads section of the Grants Gateway application, Component B DOH01-DWFBR-2023. [Drinking Water Fluoridation – Rolling Submissions - Component B: Implementation and Maintenance Projects](#)

RFA #20171

Drinking Water Fluoridation – Rolling Submissions

Attachment 4: Component B Technical Submittal for Projects \$50,001 or More OR Projects Initiating Fluoridation

Name of Municipality: _____

[Please note that for projects \$50,000 or less, excluding projects initiating fluoridation, Attachment 3: Component B Technical Submittal for projects \$50,000 or less must be submitted.]

This document must be prepared by a New York State licensed professional engineer for Component B projects \$50,001 or more **OR** where projects are initiating fluoridation. This Report must clearly state the scope of the project and must contain the project-relevant components listed under Section 1.1 of Recommended Standards for Water Works, 2018 Edition. Component A projects must also follow these parameters when submitting an Engineering Report for their proposed project.

The NYSDOH reserves the right to request the full Engineer's Report prior to announcing awards/executing contracts.

- | |
|--|
| <p>1. Provide a detailed description of the benefiting public water system including:</p> <p>(1) Names of municipalities served directly, through residential service connections, in addition to municipalities and/or public water systems served indirectly through wholesale purchase; (2) Total population served; (3) Infrastructure impacted such as: active water sources, treatment plants, and/or distribution centers; and (4) Demand including average daily water demand and peak flow demand at each feed location.</p> |
| <p>2. If upgrading an existing fluoridation system, indicate:</p> <p>(1) Number of fluoride feed locations; (2) Typical fluoride concentration provided in finished water; (3) Assessment of existing fluoridation equipment, including age and condition of existing equipment; and (4) a description of any problems/issues resulting from age, poor condition of, or lack of, proper equipment. For example, note challenges or inability to provide optimal fluoride concentrations or to accurately monitor fluoride concentrations (could include a past overfeed incident).</p> <p>If not upgrading, indicate Not Applicable.</p> |
| <p>3. Provide a description of proposed work to be done and why it is necessary, including: the scope of work anticipated including what water sources, treatment plants and/or distribution centers will be addressed; what fluoride feed, monitoring, overfeed prevention, laboratory and/or safety equipment will be updated, repaired and/or purchased; what modifications will be made to the building infrastructure; and other details deemed appropriate. Also describe if/how upgrades will improve system's ability to provide and monitor optimal fluoride concentrations and prevent overfeed.</p> |

RFA #20171

Drinking Water Fluoridation – Rolling Submissions

Attachment 4: Component B Technical Submittal for Projects \$50,001 or More OR Projects Initiating Fluoridation

Name of Municipality: _____

4. Provide a detailed timeline, which should include at a minimum, the following action steps: solicitation of bids or quotes from vendors; selection of vendor; purchase of equipment; installation of equipment; and certification of project completion.

5. Provide a detailed estimate of cost for the proposed work, which should include engineering, equipment, construction, administrative, and/or services costs, as appropriate. If subcontracting components of the scope of work, specify the components to be performed through subcontracts, and identify the subcontracting agencies, if possible. A statement of measures and means to be used to control project costs and maintain economic efficiency should be included in the cost estimates section.

6. Attach documentation, if available, from previous fluoride facilities inspections/assessments with recommended improvements. This may include information from, in whole or in part, NYS DOH Optimization Program Reports from 2006 – 2008, NYS DOH Comprehensive Performance Evaluation (CPE) Reports, State or local Health Department Sanitary Survey inspection reports, NY Rural Water Association (RWA) inspections, or other evaluations done by water engineers or drinking water professionals.

7. Attach schematic drawings.

8. Attach documentation from the NYS Department of Environmental Conservation (DEC) that the project is a Type II action under the State Environmental Quality Review Act (SEQR). If the project is a Type I or Unlisted action, submit documentation from NYSDEC that all the provisions of SEQR have been complied with. Most projects will likely be Type II Actions; however, newly fluoridating systems may need to do a SEQR Type I Action.

Name of NYS licensed professional engineer completing this report:

Signature of NYS licensed professional engineer completing this report:

Date Completed Report Signed by NYS licensed professional engineer: _____

RFA #20171
Grants Gateway # DOH01-DWFAR-2023 (Component A)
DOH01-DWFBR-2023 (Component B)

New York State Department of Health
Center for Community Health Division of Family Health
Bureau of Child Health

Request for Applications

Drinking Water Fluoridation – Rolling Submissions
Component A: Planning and Feasibility Projects (DOH01-DWFAR-2023)
Component B: Implementation and Maintenance Projects
(DOH01-DWFBR-2023)

KEY DATES:

Release Date:	December 20, 2022
Questions Due:	Accepted continuously until September 25, 2028
Questions, Answers and Updates Posted (on or about):	As received and until September 27, 2028
Applications Due:	Rolling Submissions until September 28, 2028

NYSDOH Contact Name & Address:

Leah Sauer
New York State Department of Health, Bureau of Child Health
DFHDWF@health.ny.gov

Table of Contents

I.	Introduction.....	3
II.	Who May Apply	3
A.	Available Funding	4
III.	Project Narrative/Work Plan Outcomes	4
IV.	Administrative Requirements	6
A.	Issuing Agency	6
B.	Question and Answer Phase	6
C.	Letter of Interest	7
D.	Applicant Conference	7
E.	How to file an application.....	7
F.	Department of Health’s Reserved Rights	9
G.	Term of Contract.....	10
H.	Payment & Reporting Requirements of Grant Awardees.....	11
I.	Minority & Woman-Owned Business Enterprise Requirements.....	12
J.	Vendor Identification Number.....	13
K.	Vendor Responsibility Questionnaire.....	14
L.	Vendor Prequalification for Not-for-Profits	14
M.	General Specifications	15
V.	Completing the Application.....	16
A.	Application Format/Content	17
B.	Freedom of Information Law.....	18
C.	Review & Award Process.....	19
VI.	Attachments	20

I. Introduction

The New York State Department of Health (NYSDOH), Division of Family Health (DFH), Bureau of Child Health (BCH) announces the availability of funding through this Request for Applications (RFA) to maintain and expand New York State (NYS) residents' access to optimally fluoridated water. The purpose of this RFA is to identify eligible NYS municipalities that want to work with NYS to increase the number of communities with access to fluoridated water. The key characteristic of a successful applicant is the ability to document a proposed NYS municipal drinking water fluoridation project utilizing the documents provided. There are two components available in this funding opportunity. Component A is for eligible municipalities seeking to develop an Engineering Report to determine the feasibility of starting community water fluoridation or upgrade/modify an existing fluoridation system. Component B is for eligible municipalities looking to purchase, upgrade, replace or repair water fluoridation equipment* to initiate or maintain community water fluoridation.

II. Who May Apply

All eligible municipalities **must** include **Attachment 1 – Application Cover Page** for Component A and B.

An eligible municipality for either component **must** be a:

- NYS county, city, town, village, or public authority (municipality) that owns both its public water system and the water supply for the system; **AND**
- Community water system* or sell water wholesale* to one or more community water systems.

A **Component A** eligible municipality **must also meet ONE** of the following criteria:

- Serve at least 5,000 people (includes people served directly through service connections* and/or indirectly through wholesale* purchase); **OR**,
- Currently be fluoridating the public water supply; **OR**,
- Have the necessary approvals in place to fluoridate the public water supply in accordance with [New York State Public Health Law §1100-a](#). (Click on Laws at top bar; choose Laws of New York; scroll down to PHL – Public Health Law; enter 1100-a in search box and click “Search”.)
- **AND must** include **Attachment 2 – Component A Technical Submittal**.

A **Component B** eligible municipality **must also meet ONE** of the following criteria:

- Currently be fluoridating the public water supply; **OR**,
- Have the necessary approvals in place to fluoridate the public water supply in accordance with [New York State Public Health Law §1100-a](#). (Click on Laws at top bar; choose Laws of New York; scroll down to PHL – Public Health Law; enter 1100-a in search box and click “Search”.)
- **AND must** include **Attachment 3 – Component B Technical Submittal for Proposals \$50,000 or Less** **OR** **Attachment 4 – Component B Technical Submittal for Projects \$50,001 or More** **OR** Projects Initiative Fluoridation.

Please Note: Federal Government, Native American, private, and state-owned water systems are not eligible for this funding.

*Terms marked with *asterisk are further defined in **Attachment 5 - Definitions Document**.*

Eligible Municipalities will need to submit a separate application for each project and component.

Eligible Municipalities can only submit an application for one Component (either Component A or B) of this RFA at a time. If both Components are required for a municipality's project, it is advised that the eligible municipality submit an application for Component A (Planning and Feasibility Projects) first. Once a successful eligible municipality has completed its Component A project (Engineering Report developed and final voucher and progress report submitted to NYSDOH), an eligible municipality may then submit a separate application for Component B (Implementation and Maintenance Projects).

Submitted projects determined to not meet the requirements will be encouraged to resubmit again.

A. Available Funding

The total funding available is \$2.5 million annually. As stated in the Term of Contract (Section G), 24-month term, with a start date approximately six months from award letter date.

Component A applicants may request up to \$50,000 for the full contract term. Total funding for Component A is projected to be \$500,000 annually for all awards.

Component B applicants may request up to \$1 million for the full contract term. Total funding for Component B is projected to be \$2 million annually for all awards.

Note: If for any reason the applications for either component do not fully utilize the allocated funding, the Department reserves the right to reallocate savings from one component to another.

Please Note: To ensure that projects will be completed within the 24-month contract period, municipalities should consult with their local or NYSDOH and initiate and/or obtain the necessary endorsements or approvals for their project scope/engineering report prior to submitting an application.

This funding is for "new" projects only, meaning any previously completed work, such as fluoridation system remodel in 2020, or work currently in progress, such as an Engineering Report in development, is not eligible for reimbursement under this RFA. In addition, funding may not be used to supplant funds for existing staff or other fluoridation activities.

If funding becomes limited for any reason during the 6-year period of this RFA, the project will be suspended with adequate notice in the NYS Contract Reporter.

III. Project Narrative/Work Plan Outcomes

Component A - Planning and Feasibility Projects support the development of an Engineering Report to:

- Study the feasibility (technical and economical) of starting fluoridation; **OR**,
- Develop a technical plan for initiating fluoridation; **OR**,
- Upgrade an existing fluoridation system, including projects that have structural, chemical, or process modifications, that requires professional design services.

Awards through Component A are to support the technical and administrative costs associated with the planning and design of fluoridation systems in accordance with Section 1.1 of [Recommended](#)

[Standards for Water Works, 2018 Edition.](#)

Component A is targeted to both non-fluoridating and fluoridating municipalities. Any non-fluoridated municipality, which meets the eligibility criteria, interested in learning more about the feasibility of initiating water fluoridation is strongly encouraged to apply.

Component A also includes the development of an Engineering Report for currently fluoridating water systems. If a municipality requires professional design services for a large-scale upgrade to their fluoridation system (costs >\$50,000) or the fluoride system is undergoing a structural, chemical or process modification, the municipality is eligible and encouraged to submit an application.

Please Note: Funding from this Component may be used to develop the Engineering Report required for certain types of projects outlined in Component B of this RFA.

Component B - Implementation and Maintenance Projects support all the following:

- Purchase/repair and installation of fluoride equipment including equipment used for fluoride feed, personal operator safety and laboratory/analysis; **AND/OR**
- Construction/modification of building for the storage of fluoride additive and/or equipment; **AND/OR**
- Upgrade of building and/or fluoridation equipment to address/meet the codes and standards outlined in the [Recommended Standards for Water Works, 2018 Edition](#) (Ten State Standards).

Awards through Component B are to support the technical and administrative costs associated with the start-up and/or maintenance of community water fluoridation in drinking water facilities including costs associated with construction, installation, repair, replacement, and upgrade of existing fluoridation equipment or purchase of new fluoridation equipment.

Please Note: For both Components, where fluoridation system implementation or improvements/upgrades are part of a larger project, only the costs associated with the fluoridation component of a project will be eligible for funding under this RFA.

Also, costs and expenses associated with the operation of the fluoridation system, including cost of fluoride additives and water operator(s) salary, are not eligible under this RFA.

Please Note: Projects cannot begin work or start incurring costs until after a contract has been awarded and executed by the Office of the New York State Comptroller. Any work conducted prior to this time is not eligible for reimbursement.

Please Note: NYSDOH reserves the right to negotiate with successful applicants within the scope of the RFA in the best interests of the State.

An Applicant may subcontract components of the Work Plan to be performed by Applicant pursuant to the terms of its Application. If known, the Applicant is expected to state in their Application the specific components to be performed through subcontracts as well as the names of the subcontractors. Grantees will need to name subcontractors prior to reimbursement. For those applicants that propose subcontracting, it is preferable to identify subcontracting agencies during the application process in **Attachment 7 - Subcontractor Information Form**. Applicants should note that the lead organization (that is, the successful Applicant, as Contractor) will have overall responsibility for all Contract activities, including those performed by subcontractors and will be the primary contact for the NYSDOH. All subcontractors and subcontracts will be required to be approved by the Department of

Health.

IV. Administrative Requirements

A. Issuing Agency

This RFA is issued by the New York State Department of Health (hereinafter referred to as NYSDOH, or the Department), Center for Community Health, Division of Family Health, Bureau of Child Health. The Department is responsible for the requirements specified herein and for the evaluation of all Applications. *See*, Section V.C. (Review and Award Process).

B. Question and Answer Phase

All substantive questions by Applicants with respect to any aspect of the RFA must be submitted in writing to the following email address: DFHDWF@health.ny.gov.

This includes Minority and Women Owned Business Enterprise (MWBE) questions and questions pertaining to the MWBE forms. *See*, Section IV.H. (Minority & Women-Owned Business Enterprise (M/WBE) Requirements). Questions of a technical nature related to formatting or other minor details related to preparation of an Application may also be addressed in writing to the email address noted above. Questions are of a technical nature if they are limited to how to prepare your Application (e.g., formatting) rather than relating to the substance of the Application.

To the degree possible, each question submitted by a potential Applicant pursuant to the terms of this RFA should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the Cover Page of this RFA.

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or applications should be directed to the NYSDOH contact listed on the cover of this RFA.

- <https://grantsmanagement.ny.gov/resources-grant-applicants>
- Grants Gateway Videos: <https://grantsmanagement.ny.gov/videos-grant-applicants>
- Grants Gateway Team Email: grantsgateway@its.ny.gov
Phone: 518-474-5595
Hours: Monday thru Friday 8am to 4pm
(Application Completion, Policy, Prequalification and Registration questions)
- Agate Technical Support Help Desk
Phone: 1-800-820-1890
Hours: Monday thru Friday 8am to 8pm
Email: helpdesk@agatesoftware.com
(After hours support w/user names and lockouts)

Prospective Applicants should note that all responses to questions submitted with respect to this RFA which result in clarifications of or exceptions to the terms, conditions, and provisions of this RFA, including those relating to the terms and conditions of the Master Contract for Grants that will be required to be entered into by each successful Applicant, are to be raised prior to the submission of an Application and will be published by the Department to ensure equal access and knowledge by all prospective Applicants at https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx by the date specified on the Cover Page of this RFA.

This RFA has been posted on the NYS Grants Gateway website at: https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx and a link provided on the Department's public website at: <https://www.health.ny.gov/funding/>.

All Questions must be received by the date and time specified on the Cover Page of this RFA, under “Key Dates”, opposite the heading “Questions Due”.

All questions submitted by email should state the RFA Title and Number set forth on the Cover Page (RFA #20171, Drinking Water Fluoridation – Rolling Submissions) in the subject line of the email.

Questions and answers, as well as any updates, addendums to, and/or other modifications of this RFA, will be posted on these websites. All such questions and answers, updates, addendums to, and other modifications to this RFA will be posted by the date identified on the Cover Page of this RFA under “Key Dates”.

C. Letter of Interest

Submission of a Letter of Interest is not a requirement of this RFA, nor does the submission of a Letter of Interest by a prospective Applicant impose any obligation upon the Applicant to submit an Application in response to this RFA. To be clear, an Application may be submitted without first having submitted a Letter of Interest.

D. Applicant Conference

An Applicant Conference will not be held for this project.

E. How to file an application

Applications must be submitted online via the Grants Gateway by the date and time posted on the Cover Page of this RFA under the heading “Key Dates”.

Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Management website at the following web address: <https://grantsmanagement.ny.gov/> and select the “Apply for a Grant” from the Apply & Manage menu. There is also a more detailed “Grants Gateway: Vendor User Guide” available in the documents section under Training & Guidance: For Grant Applicants on this page as well. Training webinars are

also provided by the Grants Gateway Team. Dates and times for webinar instruction can be located at the following web address: <https://grantsmanagement.ny.gov/live-webinars>.

To apply for this opportunity:

1. Log into the [Grants Gateway](#) as either a “Grantee” or “Grantee Contract Signatory”.
2. On the Grants Gateway home page, click the “View Opportunities” button”.
3. Use the search fields to locate an opportunity; search by State agency (NYSDOH) or enter the Grant Opportunity name “Drinking Water Fluoridation”.
4. Click on “Search” button to initiate the search.
5. Click on the name of the Grant Opportunity from the search results grid and then select the “APPLY FOR GRANT OPPORTUNITY” button located bottom left of the Main page of the Grant Opportunity.

Once the Application is complete, a prospective Applicant is **strongly encouraged** to submit their Application at least **48 hours prior to the** Application’s due date and time specified on the Cover Page of this RFA. This will allow sufficient opportunity for the Applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. **Failure to leave adequate time to address issues identified during this process may jeopardize an Applicant’s ability to submit their Application.** Both NYSDOH and Grants Gateway staff are available to answer Applicant’s technical questions and provide technical assistance prior to the application due date and time. Contact information for the Grants Gateway Team is available under Section IV. B. (Question and Answer Phase) of this RFA.

PLEASE NOTE: Although NYSDOH and the Grants Gateway staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time for the submission of an Application, there is no guarantee that they will be resolved in time for the Application to be submitted and, therefore, considered for funding.

The Grants Gateway will always notify an Applicant of successful submission of the Applicant’s Application. If a prospective Applicant does not get a successful submission message assigning their Application a unique ID number, it has not successfully submitted an Application. During the application process, please pay particular attention to the following:

- Not-for-profit Applicants must be prequalified, if not exempt, on the date and time Applications in response to this Request for Applications (RFA) are due as specified in the “Key Dates” set forth on the Cover Page of this RFA. Be sure to maintain prequalification status between funding opportunities. **NOTE:** Three of a not-for-profit’s essential financial documents - the IRS990, its Financial Statement, and its Charities Bureau filing - expire on an annual basis. If these documents are allowed to expire, the not-for-profit’s prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.
- Only individuals with the roles “Grantee Contract Signatory” or “Grantee System Administrator” can submit an Application on behalf of an Applicant.

- Prior to submission, the Grants Gateway will automatically initiate a global error checking process to protect against an incomplete Application. An Applicant may need to attend to certain parts of the Application prior to being able to submit the Application successfully. An Applicant must be sure to allow time after pressing the submit button to clean up any global errors that may arise. An Applicant can also run the global error check at any time in the application process. (see p.68 of the Grants Gateway: Vendor User Guide).
- Applicants should use numbers, letters, and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also, be aware of the restriction on file size (10 MB) when uploading documents. Applicants should ensure that any attachments uploaded with their application are not “protected” or “pass-worded” documents.

The following table will provide a snapshot of which roles are allowed to Initiate, Complete, and Submit the Grant Application(s) in the Grants Gateway.

Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
Delegated Admin	X				
Grantee		X	X		
Grantee Contract Signatory		X	X	X	
Grantee Payment Signatory		X	X		
Grantee System Administrator		X	X	X	
Grantee View Only					X

PLEASE NOTE: Waiting until the last several days to complete your Application online can be dangerous, as you may have technical questions. Beginning the process of applying as soon as possible will produce the best results.

Applications will not be accepted via fax, e-mail, paper copy or hand delivery.

F. Department of Health’s Reserved Rights

The Department of Health reserves the right to:

1. Reject any or all applications received in response to this RFA.
2. Withdraw the RFA at any time, at the Department’s sole discretion.
3. Make an award under the RFA in whole or in part.
4. Disqualify any Applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.

5. Seek clarifications and revisions of applications, in the Department's sole discretion.
6. Use Application information obtained through site visits, management interviews, and the state's investigation of an Applicant's qualifications, experience, ability, or financial standing, and any material or information submitted by the Applicant in response to the Department's request for clarifying information in the course of evaluation and/or selection under the RFA.
7. Prior to Application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
8. Prior to Application opening, direct Applicants to submit proposal modifications addressing subsequent RFA amendments.
9. Change any of the scheduled dates.
10. Waive any requirements that are not material.
11. Award more than one contract resulting from this RFA.
12. Negotiate with successful Applicants within the scope of the RFA in the best interests of the State.
13. Conduct contract negotiations with the next responsible Applicant, should the Department be unsuccessful in negotiating with the selected Applicant.
14. Utilize any and all ideas submitted with the Applications received, at the Department's sole discretion.
15. Unless otherwise specified in the RFA, every offer in an Applicant's Application is firm and not revocable for a period of 60 days from the Application opening.
16. Waive or modify minor irregularities in Applications received after prior notification to the Applicant.
17. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an Applicant's Application and/or to determine an Applicant's compliance with the requirements of the RFA.
18. Eliminate any term of this RFA that cannot be complied with by any of the Applicants.
19. Award grants based on geographic or regional considerations to serve the best interests of the State.

G. Term of Contract

Any Contract resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller.

It is expected that contracts resulting from this RFA will have the following time period: 24-month term, with a start date approximately six months from award letter date.

Continued funding for the RFA period and each contract term is contingent upon availability of funding and state budget appropriations and the Grantee's continued satisfactory performance of its obligations under the Contract.. NYSDOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

A sample New York State Master Contract for Grants can be found in the Forms Menu once an application to this funding opportunity is started.

H. Payment & Reporting Requirements of Grant Awardees

1. The Department may, at its discretion, make an advance payment to successful not-for-profit grant Applicant under this RFA (a "Grantee") in an amount not to exceed 25% percent of the annual grant provided for under the Grantee's Contract.
2. The Grantee will be required to submit invoices and required reports of expenditures based upon the terms for payment set forth in Attachment A-1 to its Grant Contract to the State's designated payment office (below) or, if requested by the Department, through the Grants Gateway:

Division of Family Health, Bureau of Administration
New York State Department of Health
dfh.boa@health.ny.gov

A Grantee must provide complete and accurate billing invoices in order to receive payment of the grant funding provided for under the terms of its Grant Contract. Invoices submitted to the Department must contain all information and supporting documentation required by the Contract, the Department, and the Office of the State Comptroller (OSC). Payment for invoices submitted by the Grantee shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner of Health, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with OSC's procedures and practices to authorize electronic payments. Authorization forms are available at OSC's website at: <http://www.osc.state.ny.us/epay/index.htm>, by email at: epayments@osc.state.ny.us or by telephone at 855-233-8363. Each Grantee acknowledges that it will not receive payment on any claims for reimbursement submitted under its Grant Contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such claims for reimbursement by the State (Department) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be: Contractor will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Work Plan.

3. The Grantee will be required to submit the following reports to the Department of Health at the address above or, if requested by the Department, through the Grants Gateway:

- a. *Quarterly narrative progress reports; and*
- b. *Quarterly expenditure report*

All payment and reporting requirements will be detailed in Attachment D of the final NYS Master Contract for Grants.

I. Minority & Woman-Owned Business Enterprise Requirements

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

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

Business Participation Opportunities for MWBEs

For purposes of this solicitation, the Department of Health hereby establishes a goal of **30%** as follows:

- 1) For Not-for-Profit Applicants: Eligible Expenditures include any subcontracted labor or services, equipment, materials, or any combined purchase of the foregoing under a contract awarded from this solicitation.
- 2) For-Profit and Municipality Applicants Eligible Expenditures include the value of the total amount of the Budget provided for the Work Plan in the Grant Contract entered into pursuant to this RFA.

The goal on the Eligible Expenditures portion of a Grant Contract awarded pursuant to this RFA will be 15% for Minority-Owned Business Enterprises ("MBE") participation and 15% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified M/WBE firms). A Grantee awarded a Grant Contract pursuant to this RFA must document good faith efforts to provide meaningful participation by M/WBEs as subcontractors or suppliers in the performance of the Grant Contract and Grantee will agree under the

terms of its Grant Contract that NYSDOH may withhold payment pending receipt of the required M/WBE documentation required by the Department or the OSC. For guidance on how NYSDOH will determine “good faith efforts,” refer to 5 NYCRR §142.8.

The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found on this page under “NYS Directory of Certified Firms” and accessed by clicking on the link entitled “Search the Directory”. Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged and all communication efforts and responses should be well documented by a Grantee to evidence its good faith efforts to encourage M/WBE participation in the performance of its obligations under its Grant Contract.

By submitting an Application, each Applicant and potential Grantee agrees to complete an M/WBE Utilization plan as directed in **Attachment 6** of this RFA. NYSDOH will review the M/WBE Utilization Plan submitted by each Grantee. If a Grantee’s M/WBE Utilization Plan is not accepted, NYSDOH may issue a Notice of Deficiency. If a Notice of Deficiency is issued, Grantee agrees that it shall respond to the Notice of Deficiency within seven (7) business days of receipt. NYSDOH may disqualify a Grantee as being **non-responsive** under the following circumstances:

- a) If a Grantee fails to submit a M/WBE Utilization Plan;
- b) If a Grantee fails to submit a written remedy to a Notice of Deficiency;
- c) If a Grantee fails to submit a request for waiver (if applicable); or
- d) If NYSDOH determines that the Grantee has failed to document good-faith efforts to meet the established NYSDOH M/WBE participation goals for the procurement.

In addition, Grantees will be required to certify they have an acceptable Equal Employment Opportunity policy statement.

J. Vendor Identification Number

Effective January 1, 2012, in order to do business with New York State, you must have a vendor identification number. As part of the Statewide Financial System (SFS), the Office of the State Comptroller's Bureau of State Expenditures has created a centralized vendor repository called the New York State Vendor File. In the event of an award of a grant to a successful Applicant pursuant to the terms of this RFA and in order to initiate a Grant Contract with the New York State Department of Health, a Grantee must be registered in the New York State Vendor File and have a valid New York State Vendor ID.

If already enrolled in the Vendor File, The Applicant should include the Vendor Identification number in your organization information. If not enrolled, to request assignment of a Vendor Identification number, an Applicant should please submit a New York State Office of the State Comptroller Substitute Form W-9, which can be found on-line at: <https://www.osc.state.ny.us/files/vendors/2017-11/vendor-form-ac3237s-fe.pdf>

Additional information concerning the New York State Vendor File can be obtained on-line at: http://www.osc.state.ny.us/vendor_management/index.htm, by contacting the SFS Help Desk at 855-233-8363 or by emailing at helpdesk@sfs.ny.gov.

K. Vendor Responsibility Questionnaire

The Department strongly encourages each Applicant to file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. The Vendor Responsibility Questionnaire must be updated and certified every six (6) months. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at <https://www.osc.state.ny.us/state-vendors/vendrep/file-your-vendor-responsibility-questionnaire> or go directly to the VendRep system online at <https://www.osc.state.ny.us/state-vendors/vendrep/vendrep-system>.

An Applicant must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at itservicedesk@osc.ny.gov.

Applicants opting to complete online should complete and upload the Vendor Responsibility Attestation (**Attachment 8**) of the RFA. The Attestation is located under Pre-Submission Uploads and once completed should be uploaded in the same section.

Applicants opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website, www.osc.state.ny.us/vendrep, and upload it with their Application in the Pre-Submission Uploads section in place of the Attestation.

L. Vendor Prequalification for Not-for-Profits

Each not-for-profit Applicant subject to prequalification is required to prequalify prior to submitting its Application in the Grants Gateway.

Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16, 2014, New York State has instituted key reform initiatives to the grant contract process which requires a not-for-profit Applicant to register in the Grants Gateway and complete the Vendor Prequalification process in order for any Application submitted by that Applicant to be evaluated. Information on these initiatives can be found on the [Grants Management Website](#).

An Application received from a not-for-profit Applicant that (a) has not Registered in the Grants Gateway or (b) has not Prequalified in the Grants Gateway on the Application's due date specified on the Cover Page of this RFA cannot be evaluated. Such Applications will be disqualified from further consideration.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Management Website details the requirements and an [online tutorial](#) are available to walk users through the process.

1) Register for the Grants Gateway

- On the Grants Management Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the NYS Grants Management office at the address provided in the submission instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username, please email grantsgateway@its.ny.gov. If you do not know your Password, please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2) Complete your Prequalification Application

- Log in to the [Grants Gateway](#). **If this is your first time logging in**, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Application.
- Specific questions about the prequalification process should be referred to your primary New York State agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the **Submit Document Vault Link** located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

All potential Applicants are strongly encouraged to begin Grants Gateway Registration and Prequalification process as soon as possible in order to participate in this opportunity.

M. General Specifications

1. By submitting the "Application Form" each Applicant attests to its express authority to sign on behalf of the Applicant.
2. Grantees will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of any Contract awarded pursuant to this RFA will possess the qualifications, training, licenses, and permits as may be required within such jurisdiction.
3. Submission of an Application indicates the Applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the Master Contract for Grants. Any exceptions allowed by the Department during the Question and Answer Phase of this RFA (*See*, Section IV.B.) must be clearly noted in a cover letter included with the Application submitted by an Applicant wishing to incorporate any of such exceptions in its Applicants and in the Grant Contract awarded pursuant to this RFA if it is a successful (funded) Applicant.
4. An Applicant may be disqualified from receiving an award if such Applicant or any subsidiary, affiliate, partner, officer, agent, or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts, in the State of New York or otherwise.
5. Provisions Upon Default
 - a. If an Applicant is awarded a grant pursuant to this RFA, the services to be performed by the successful Applicant pursuant to the terms of the Grant Contract entered into with the Department shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the Contract resulting from this RFA.
 - b. In the event that the Grantee, through any cause, fails to perform any of the terms, covenants, or promises of any Contract resulting from this RFA, the Department acting for and on behalf of the State, shall thereupon have the right to terminate the Contract by giving notice in writing of the fact and date of such termination to the Grantee.
 - c. If, in the judgement of the Department, the Grantee acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any Contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Grantee. In such case the Grantee shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Grantee up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Grantee was engaged in at the time of such termination, subject to audit by the State Comptroller.

V. Completing the Application

A. Application Format/Content

Please refer to the Grants Gateway: Vendor User Guide for assistance in applying for this procurement through the NYS Grants Gateway. This guide is available on the Grants Management website at: <https://grantsmanagement.ny.gov/vendor-user-manual>. Additional information for applicants is available at: <https://grantsmanagement.ny.gov/resources-grant-applicants>.

The Grants Gateway works well in most cases with all browsers, including Microsoft Edge, Google Chrome, Safari, and Firefox. However, you will need to use Internet Explorer Compatibility Mode in Microsoft Edge if you need to save 500-character limit fields in the Work Plan. You can access Internet Explorer mode by right-clicking on a tab in Edge and selecting the option “Reload Tab in Internet Explorer Mode”.

Please respond to each of the sections described below when completing the Grants Gateway online Application. Your responses comprise your Application. Please respond to all items within each section. When responding to the statements and questions, be mindful that Application reviewers may not be familiar with the agency and its services. Your answers should be specific, succinct, and responsive to the statements and questions as outlined. Please be aware that the value assigned to each section described below indicated the relative weight that will be given to each section of your Application when scoring your Application.

It is each Applicant’s responsibility to ensure that all materials included in its Application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the Application deadline date and time specified on the Cover Page of this RFA.

- Pre-Submission Uploads

As a reminder, the following attachments need to be uploaded under the Pre-Submission Uploads section of the Grants Gateway in order to submit an application in the system.

1. Application Cover Page (Attachment 1);
2. Depending on project size or scope:
 - a. Component A Technical Submittal (Attachment 2), **OR**;
 - b. Component B Technical Submittal for Projects \$50,000 or Less (Attachment 3) **OR**;
 - c. Component B Technical Submittal for Projects \$50,001 or More **OR** Projects Initiating Fluoridation (Attachment 4);
3. MWBE forms (Attachment 6);
4. Subcontractor Information Form - if needed (Attachment 7);
5. Vendor Responsibility Attestation (Attachment 8); and
6. Vendor Contact Form (Attachment 13).

- Program Specific Questions

1. Application Cover Page (**Attachment 1**)

A form is provided to serve as the cover page for the application. All requested information must be supplied on this form and uploaded as Attachment 1 to the Pre-Submission Uploads section of Grants

Gateway. Please refer to Attachment 1. Please indicate if **Attachment 1** has been completed and is uploaded to the Pre-Submission Uploads section of Grants Gateway.

2. Technical Submittal

A form is provided to serve as the Technical Submittal for the application. Depending on project size or scope and Component, all requested information should be supplied on the appropriate form and uploaded as the specific attachment to the Pre-Submission Uploads section of Grants Gateway. Please indicate if **Attachment 2, Attachment 3, or Attachment 4** has been completed and is uploaded to the Pre-Submission Uploads section of Grants Gateway.

3. Budget

- a. All costs should be related to the provision of the DWF project described, as well as be consistent with the scope of services, reasonable, and cost effective. Justification for each cost should be submitted in narrative form within the Grants Gateway budget. For all existing staff, the budget justification must delineate how the percentage of time devoted to this project has been determined. THIS FUNDING MAY ONLY BE USED TO EXPAND EXISTING ACTIVITIES OR CREATE NEW ACTIVITIES PURSUANT TO THIS RFA. THESE FUNDS MAY NOT BE USED TO SUPPLANT FUNDS FOR CURRENTLY EXISTING STAFF ACTIVITIES.
- b. All applicants must complete the budget in the NYS Grants Gateway, assuming a start date of approximately six months from the date of application submission, with a clear and appropriate justification for each line item that aligns with the scope of activities to be conducted (including a cost-effective and appropriate overall staffing pattern). The full contract term will be 24-months. Refer to **Attachment 9 - Grants Gateway Budget Instructions** and **Attachment 10 - Grants Gateway Budget Data Entry Guidelines** for budget guidance documents.

Any ineligible budget items will be removed from the budget prior to contracting. The budget amount requested will be reduced to reflect the removal of the ineligible items.

4. Work Plan

For the Grants Gateway **Work Plan Project Summary**, applicants are instructed to summarize their project. In the Grants Gateway **Work Plan Organizational Capacity** section, applicants are instructed to list this as “not applicable.” Any additional Project Summary or Organizational Capacity entered in these areas will not be considered or scored by reviewers of your application.

Funded applicants will be held to the Objectives, Tasks and Performance Measures as listed in Component specific Work Plans (**Attachment 11 for Component A and Attachment 12 for Component B**) for which an application is being submitted. Applicants are not required to enter any Objectives, Tasks or Performance Measures into the Grants Gateway Work Plan.

B. Freedom of Information Law

All Applications may be disclosed or used by NYSDOH to the extent permitted by law. NYSDOH may disclose an Application to any person for the purpose of assisting in evaluating the Application or

for any other lawful purpose. All Applications will become State agency records, and will be available to the public in accordance with the New York State Freedom of Information Law (FOIL). **Any portion of an Application that an Applicant believes constitutes proprietary information entitled to confidential handling, as an exception to the general rule regarding the availability to the public of State agency records under the provisions of the Freedom of Information Law, must be clearly and specifically designated in the Application.** If NYSDOH agrees with the Applicant's claim regarding the proprietary nature of any portion of an Application, the designated portion of the Application will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

C. Review & Award Process

An Application meeting ALL the minimum eligibility requirements and guidelines set forth above will be reviewed. An internal pass/fail review will determine eligibility. All eligible municipalities will be included in the funding formula on a first-come first-served basis as funding allows. An Application that does not meet the minimum criteria (PASS/FAIL) will not be evaluated.

NYSDOH staff will review applications in the order in which they are received. Eligible municipalities will be selected on a first-come first-served basis if their project is complete and meets the requirements of the RFA. When funding has been depleted to a level such that a project's total requested funding amount cannot be met, the eligible municipality will be offered a reduced award amount. If the eligible municipality accepts that amount, no further awards will be made. If the eligible municipality declines that amount, the next eligible municipality will be offered an award until funds are completely exhausted.

Applications with minor issues (for example, an Application missing information that is not essential to timely review and would not impact review scores) MAY be processed and evaluated, at the discretion of the State, but any issues with an Application which are identified by the Department **must** be resolved prior to time of award. An Application with unresolved issues at the time award recommendations are made will be determined to be non-responsive and will be disqualified.

If changes in funding amounts are necessary for this initiative or if additional funding becomes available, funding will be modified and awarded in the same manner as outlined in the award process described above.

If for any reason the applications for either component do not fully utilize the allocated funding, the Department reserves the right to reallocate savings from one component to another.

Applicants will be deemed to fall into one of three categories: 1) not approved, 2) not funded due to limited resources, and 3) approved and funded. Not funded applications may be awarded should additional funds become available.

If NYSDOH staff finds that the application is missing information or if clarification is needed, the award letter will list these contingencies and instruct the municipality that they need to clarify the outstanding issues within a certain timeframe. If the municipality does not meet the criteria within the

timeframe indicated in the letter, the award will be rescinded, and the municipality will have the option to reapply.

Once awards have been made pursuant to the terms of this RFA, an Applicant may request a debriefing of their own Application (whether their application was funded or not funded). The debriefing will be limited only to the strengths and weaknesses of the Application submitted by the Applicant requesting a debriefing and will not include any discussion of ANY OTHER Applications. Requests for a debriefing must be received by the Department, Center for Community Health, Division of Family Health, Bureau of Child Health, no later than fifteen (15) Calendar days from date of the award or non-award announcement to the Applicant requesting a debriefing.

To request a debriefing, please send an email to Leah Sauer at DFHDWF@health.ny.gov. In the subject line, please write: *Debriefing Request (DWF RFA)*.

Any unsuccessful Applicants who wish to protest the awards resulting from this RFA should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found on the OSC website at <http://www.osc.state.ny.us/agencies/guide/MyWebHelp>. (Section XI. 17.)

VI. Attachments

Please note that certain Attachments to this RFA are accessed under the “Pre-Submission Uploads” section of the Grants Gateway online Application and are not included in the RFA document. In order to access the online Application and other required documents such as the Attachments, a prospective Applicant must be registered and logged into the NYS Grants Gateway in the user role of either a “Grantee” or a “Grantee Contract Signatory”.

- Attachment 1: Application Cover Page
- Attachment 2: Component A Technical Submittal
- Attachment 3: Component B Technical Submittal for Projects \$50,000 or Less
- Attachment 4: Component B Technical Submittal for Projects \$50,001 or More OR Projects Initiating Fluoridation
- Attachment 5: Definitions Document
- Attachment 6: Minority & Women-Owned Business Enterprise Requirement Forms
- Attachment 7: Subcontractor Information Form (if needed)
- Attachment 8: Vendor Responsibility Attestation
- Attachment 9: Grants Gateway Budget Instructions
- Attachment 10: Grants Gateway Budget Data Entry Guidelines
- Attachment 11: Standard Work Plan for Component A
- Attachment 12: Standard Work Plan for Component B
- Attachment 13: Vendor Contact Form