

RFA # 1612131255  
Grants Gateway #: DOH01-PBRWN5-2018

**New York State Department of Health  
and the  
Health Research Science Board**

**Request for Applications**

Patricia S. Brown Breast Cancer Risk Reduction  
Education Research Projects (Round 5)

<b>RELEASE DATE:</b>	<b>August 1, 2017</b>
<b>APPLICANT CONFERENCE REGISTRATION DUE:</b>	<b>September 12, 2017</b>
<b>APPLICANT CONFERENCE:</b>	<b>September 18, 2017 at 10:30 AM</b> By webinar (WebEx) at: 1-844-633-8697 Access code # 645 003 298
<b>LETTER OF INTENT DUE (Strongly Encouraged):</b>	<b>September 22, 2017</b>
<b>QUESTIONS DUE:</b>	<b>October 3, 2017</b>
<b>QUESTIONS, ANSWERS AND UPDATES POSTED ON OR ABOUT:</b>	<b>October 11, 2017</b>
<b>APPLICATIONS DUE:</b>	<b>January 11, 2018 by 4:00 PM</b>

**DOH CONTACT NAME AND ADDRESS:**

Jeannine Tusch  
Extramural Grants Administration  
New York State Department of Health  
Wadsworth Center  
Empire State Plaza, Room C345  
PO Box 509, Albany, NY 12201-0509  
(518) 474-7002 (phone)  
[hrsb@health.ny.gov](mailto:hrsb@health.ny.gov)

Staff will be available at the phone number and email address above to answer questions about the RFA during regular business hours and up to 4PM on the application due date.

## ***Dedication***

Patricia S. Brown, Ph.D. was a founding member of the Health Research Science Board and a Professor of Biology at Siena College in Latham, NY. She also waged a long battle with her own breast cancer, finally succumbing to a recurrence in November 2004. Because she was an advocate of an aggressive program of breast cancer prevention and survivor education, the Board voted unanimously, only days after her death, to name this education research RFA for her.

Her voice is greatly missed.

# TABLE OF CONTENTS

I. INTRODUCTION.....	1
A. Background.....	1
B. Purpose of Funds.....	1
C. Available Funds .....	1
II. WHO MAY APPLY? .....	1
III. PROJECT NARRATIVE/WORKPLAN OUTCOMES .....	3
IV. ADMINISTRATIVE REQUIREMENTS .....	4
A. Issuing Agency.....	4
B. Question and Answer Phase.....	4
C. Letter of Intent.....	5
D. Applicant Conference.....	5
E. How to Complete and File an Application .....	6
F. Department of Health Reserved Rights .....	7
G. Term of Contract .....	8
H. Payment and Reporting Requirements .....	9
I. Minority & Woman-Owned Business Enterprise Requirements .....	10
J. Limits on Administrative Expenses and Executive Compensation .....	11
K. Vendor Identification Number.....	12
L. Vendor Responsibility Questionnaire .....	12
M. Vendor Prequalification for Not-for-Profits.....	12
N. General Specifications .....	14
V. APPLICATION REVIEW AND AWARD PROCESS .....	15
A. How to Apply .....	15
B. Freedom of Information Law .....	15
C. Review and Award Process .....	15
D. Application Format, Penalties and Summary Statements .....	17
E. Review Criteria.....	17
F. Health Research Science Board Review .....	18
G. Award Decisions and Pre-Funding Requirements .....	19
H. Award Announcements .....	19
VI. ATTACHMENTS .....	20

## I. INTRODUCTION

### A. Background

Biomedical research continues to unveil new discoveries in the biology, prevention and treatment of breast cancer. Education of community members about ways to reduce their risks for various diseases is a proven public health disease prevention strategy. For breast cancer, proven and modifiable risk factors include such things as physical activity levels, body mass index (obesity) and alcohol use<sup>1</sup>. Yet each year, more than 15,000 New Yorkers are diagnosed with breast cancer. In an effort to translate those scientific findings into modified behaviors that reduce the number of breast cancer diagnoses, the Health Research Science Board (HRSB) wishes to support the development of successful breast cancer risk reduction programs.

The New York State Department of Health (DOH), Wadsworth Center, Extramural Grants Administration Program provides administrative support to the HRSB. The HRSB makes funding recommendations to the Commissioner of Health following review of applications for breast cancer research studies and education projects. Additional information about the HRSB can be found at: <http://www.wadsworth.org/extramural/breastcancer>.

### B. Purpose of Funds

The purpose of the Patricia S. Brown Breast Cancer Risk Reduction Education Research Projects Request for Applications (RFA) is to encourage the **development and implementation of innovative pilot projects in breast cancer risk reduction education with rigorous evaluation and revision**. Successful applications will propose the design of new educational strategies to elicit behavior changes intended to reduce specific risk factors associated with developing breast cancer.

The HRSB is interested in supporting projects that go beyond replicating or updating existing programs and materials. Further, this support is not intended to fund smaller components of larger research projects.

### C. Available Funds

All awards will be financed by the Breast Cancer Research and Education Fund. The number of awards will be contingent upon the quality of the applications received as well as the size and scope of the proposed projects. Approximately \$540,000 is available to support approximately two (2) awards from this RFA. The funding is available for a period of up to three years. The annual direct costs for a single award are capped at \$75,000 per year. Additionally, funds will be available to support Facilities and Administrative (F&A) costs up to 20 percent of modified total direct costs. Based on its assessment that the field is ready to pursue additional investigations, the HRSB may determine that additional funds should be made available under this RFA to support additional awards.

## II. WHO MAY APPLY?

**The applicant must be a New York State not-for-profit community-based organization (CBO) or an accredited academic institution within New York with authority to confer graduate degrees in medicine, physician assistant, nursing, health education or public health studies (see next page for eligibility).**

---

<sup>1</sup> NYS Department of Health: <http://www.health.ny.gov/statistics/cancer/registry/abouts/breast.htm>

All applicants must enter into a partnership. The partnership must be between an **academic institution and a CBO**. These are the two acceptable scenarios:

1. If the lead applicant is a CBO, then the partnering organization must be an academic institution.
2. If the lead applicant is an academic institution, then the partnering organization must be a CBO.

The eligible Principal Investigator/Project Director (PI/PD) is designated by the applicant organization, has the skills, knowledge, and resources necessary to carry out the proposed Workplan, and is not a postdoctoral fellow or other dependent research staff. An individual may serve as a PI/PD on more than one application in response to this RFA provided that the goals and objectives of each application are significantly different. However, a maximum of one award will be made per PI/PD. Individuals and corporate or academic entities may appear in any number of applications as collaborators or consultants.

At the time of application and award acceptance, the PI/PD must not be restricted from receiving Public Health Service (PHS) funding or debarred by the United States Food and Drug Administration (FDA) or any other federal or New York State government entity.

**Eligibility to apply includes the following mandatory items:**

**1. CBO**

- The CBO must be tax-exempt under section 501(c)(3) of the U.S. Internal Revenue Code
- The CBO must be a grass roots, free-standing organization in New York, where breast cancer survivors hold significant decision-making responsibilities
- The CBO must serve one or more New York communities
- The CBO must offer a broad range of breast cancer education or support services free of charge

**2. Academic institution**

- The accredited institution must be an accredited graduate degree level granting postsecondary institution in New York
- The academic institution must offer an accredited medicine, physician assistant, nursing, health education, or public health program at the graduate degree level
- If you are unsure if an institution meets these criteria, visit the following website for more information: <https://ope.ed.gov/accreditation/>.

**3. Partnership**

- The partnership between the CBO and academic institution must be clearly named using the application forms:
  - The applicant organization must be named using RFA Attachment 3: Application Forms 1-4
  - The partner organization must be named using RFA Attachment 4: Application Form 1-S<sub>a</sub>

**4. PI/PD**

- Is not a postdoctoral fellow or dependent research staff?
- Is not restricted from receiving PHS funding or debarred by the FDA or any other federal or New York State government entity

**5. Prequalified**

- The applicant organization is Prequalified in the NYS Grants Gateway, if not exempt (see RFA Section IV. M.)

Awarded organizations will be expected to monitor the use of funds, maintain individual accounts and

fulfill other fiscal management criteria. Other subcontracting and collaborating organizations, outside of the partnership, may include public, not-for-profit and for-profit entities within or outside of New York State.

Submission of an application certifies that the applicant organization and the PI/PD meet the eligibility criteria stated here.

### III. PROJECT NARRATIVE/WORKPLAN OUTCOMES

Successful applications will **demonstrate effective, synergistic partnerships between academic institutions and CBOs** throughout the contract term, regardless of which partner is identified as the lead applicant organization. Each partner should be selected and justified based upon the contribution of specific and relevant expertise integrating particular aspects of the project (i.e., medical accuracy, program development, program evaluation).

The applicant is also expected to state the specific components of the scope of work to be performed through the partnering organization and any additional subcontracts. Applicants should note that the lead organization (contractor) will have overall responsibility for all contract activities, including those performed by the partnering organization and any additional subcontractors, and will be the primary contact for the DOH. All subcontractors should be approved by the DOH.

Project efforts should be targeted to the following audiences:

- individuals (and members of their support networks) from specific populations or communities at particular risk of developing breast cancer, including recurrence; or
- staff or volunteers of breast cancer CBOs serving the targeted group(s), to “train-the-trainers.”

Applications should propose:

1. Planning and development of a novel breast cancer risk reduction education program using innovative methods or strategies consistent with, or that build upon, the findings of the “The Community Guide.” A copy of The Community Guide, developed by the Community Preventive Services Task Force, can be found at: <http://www.thecommunityguide.org/index.html>. The proposed education program should:
  - discuss the scientific basis for the chosen method or strategy;
  - identify and explain the selection of the target audience; and
  - identify the selected evidence-based, modifiable risk factor(s) that will be addressed (e.g., physical activity levels, body mass index, alcohol use). **Note:** Risk factors for breast cancer that are not evidence-based shall not be included.
2. Pilot implementation (a small-scale test or trial) of the novel program.
3. Rigorous, formal evaluation of the pilot’s effectiveness in increasing participant understanding of the modifiable behaviors and their intent to adopt risk-reducing behavior change.
  - Describe the selection and use of reliable and validated evaluation tools.
4. Revision and refinement of the program and associated materials based on evaluation results.
  - Contractors will be expected to report these findings and, where applicable, identify

individual and community-level barriers and/or challenges to successful adoption and implementation of behavior change.

The application may not include any scientific, budgetary or commitment overlap with other awards that will be active beyond the anticipated start date of the Patricia S. Brown Breast Cancer Risk Reduction Education Research Projects awards. If overlap with HRSB awards is present, the Patricia S. Brown Breast Cancer Risk Reduction Education Research Project award will not be funded (see RFA Sections V.C. and V.F.).

Contracts funded under this RFA are expected to produce medically and scientifically accurate educational programs and materials that can be shown to be effective in increasing knowledge and promoting the adoption of evidence-based breast cancer risk reduction behaviors. Demonstration of effectiveness should be shown through results obtained from formal evaluation during the contract term. While the length of the contract term is not conducive to measurement of reduction of breast cancer incidence, results obtained from these research projects may serve as the basis for such future projects. **Note:** Funded projects shall not include further program implementation which goes beyond the contract period; the contractor should plan to pursue other sources of funding for future implementation or further examination.

Contractors are expected to make program content, methods and materials available for dissemination to other communities so that successful projects may be replicated and/or further studied. In addition, contractors are expected to submit manuscripts, including but not limited to the dissemination of evaluation results, refinements and barriers to behavior change for publication in relevant peer-reviewed journals to ensure that a sound basis is provided for other communities to replicate or modify these new approaches or design subsequent studies that build upon the contracted efforts.

#### **IV. ADMINISTRATIVE REQUIREMENTS**

##### **A. Issuing Agency**

The RFA is issued by the New York State Department of Health (Department), Wadsworth Center, Health Research Science Board. The Department is responsible for the requirements specified herein and for the evaluation of all applications.

##### **B. Question and Answer Phase**

All substantive questions must be submitted in writing to:

Jeannine Tusch  
Extramural Grants Administration  
[hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov)

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the cover of this RFA. This includes Minority and Women Owned Business Enterprise (MWBE) questions and questions pertaining to the MWBE forms.

Questions of a technical nature may be addressed in writing or via telephone by calling Jeannine Tusch at (518) 474-7002. **Questions are of a technical nature if they are limited to how to prepare the application (e.g., formatting) rather than relating to the substance of the application.**

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

- <https://grantsreform.ny.gov/grantees>
- Grants Gateway Videos (includes a document vault tutorial and an application tutorial) on YouTube: <https://grantsreform.ny.gov/youtube>
- Grants Gateway Team Email: [grantsgateway@its.ny.gov](mailto:grantsgateway@its.ny.gov)  
Phone: 518-474-5595  
Hours: Monday thru Friday 8am to 4:30pm  
(Application Completion, Policy, and Registration questions)
- Agate Technical Support Help Desk  
Phone: 1-800-820-1890  
Hours: Monday thru Friday 8am to 8pm  
Email: [helpdesk@agatesoftware.com](mailto:helpdesk@agatesoftware.com)  
(Technical questions)

Prospective applicants should note that all clarifications and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of an application.

This RFA has been posted on the NYS Grants Gateway website at: <https://grantsgateway.ny.gov> and a link provided on the Department of Health's public website at <http://www.health.ny.gov/funding>. Questions and answers, as well as any updates and/or modifications, will also be posted on these websites. All such updates will be posted by the date identified on the cover sheet of this RFA.

### C. Letter of Intent

The prospective applicant institution is **strongly encouraged** to complete and submit a Letter of Intent (see RFA Attachment 1). This form will be used to develop the review panel in a timely manner. Letters of Intent should be submitted via the Grants Gateway in the Pre-Submission Uploads section of the online application. The file name should include the applicant organization and PI/PD name. A copy should also be e-mailed to [hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov). Please ensure that the RFA number is noted in the e-mail subject line by the date posted on the cover of the RFA.

Submission of a Letter of Intent is not a requirement or obligation upon the applicant to submit an application in response to this RFA. Applications may be submitted without first having submitted a Letter of Intent.

### D. Applicant Conference

An applicant conference will be held to give potential applicants the opportunity to receive an overview of the RFA and ask specific questions. The conference will be held via webinar (WebEx) only on the date and time posted on the cover sheet of this RFA. The Department requests that potential applicants register for this webinar by emailing [hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov). The deadline for reservations is posted on the cover page of this RFA. The Department will send a confirmation email with instructions for joining the conference to all registrants.

Applicants unable to participate in the webinar will have the option to view the applicant webinar slides at their convenience. The applicant webinar slides will be posted with the Questions and Answers document uploaded to the NYS Grants Gateway website at <https://grantsgateway.ny.gov> by the date posted on the cover of this RFA.

Failure to attend the applicant conference will not preclude the submission of an application.

## E. How to Complete and File an Application

Applications must be submitted online via the Grants Gateway by the date and time posted on the cover of this RFA. Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Reform website at the following web address: <https://grantsreform.ny.gov/Grantees> and select the “Grantee Quick Start Guide Applications” from the menu on the left. There is also a more detailed “Grantee User Guide” available on the 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://grantsreform.ny.gov/training-calendar>.

To apply for this opportunity:

1. Log into the Grants Gateway as either a “Grantee” or “Grantee Contract Signatory.”
2. Click on the “View Opportunities” button under “View Available Opportunities.”
3. In the Search Criteria, enter the Grant Opportunity name “Patricia S. Brown” and select the Department of Health as the Funding Agency.
4. Click on the “Search” button to initiate the search.
5. Click on the Grant Opportunity from the search results grid and then click on the “APPLY FOR GRANT OPPORTUNITY” button located bottom left of the Main page of the Grant Opportunity.

Once the application is complete, prospective grantees are **strongly encouraged** to submit their applications at least 48 hours prior to the due date and time. This will allow for 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 DOH and Grants Gateway Team 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 RFA Section IV. B.

**PLEASE NOTE:** Although DOH 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, 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 applicants of successful submission. If a prospective grantee 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 on the due date for this application submission. Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit’s essential financial documents – the IRS990, Financial Statement and 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.
- Prior to submission, the system will automatically initiate a global error checking process to protect against incomplete applications. An applicant may need to amend certain parts of the application prior to being able to submit the application successfully. Be sure to allow time after pressing the submit button to clean up any time in the application process. (see p.66 of the Grantee User Guide).
- Grantees 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 uploaded documents.

The following table provides 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.**

Late applications will not be accepted. **Applications will not be accepted via fax, e-mail, hard 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.

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 agency'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. Conduct contract negotiations with the next responsible applicant, should the Department be unsuccessful in negotiating with the selected applicant.
13. Utilize any and all ideas submitted with the applications received.
14. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the bid opening.
15. Waive or modify minor irregularities in applications received after prior notification to the applicant.
16. 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 offerer's application and/or to determine an offerer's compliance with the requirements of the RFA.
17. Negotiate with successful applicants within the scope of the RFA in the best interests of the State.
18. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.
19. Award grants based on geographic or regional considerations to serve the best interests of the State.

## **G. Term of Contract**

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

It is expected that contracts resulting from this RFA will have the following time period: 8/1/2018 through 7/31/2021 for a multi-year term of up to three years. Contracts will not be renewable. DOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

Continued funding throughout this period is contingent upon availability of funding and state budget appropriations. The Department 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 Grant Contract for Grants can be found in the Forms Menu once an application to this funding opportunity is started.

## **H. Payment and Reporting Requirements of Grant Awardees**

1. No advances will be allowed for contracts resulting from this procurement.
2. The grant contractor will be required to submit invoices and required reports of expenditures to the State's designated payment office (below) or, in the future through the Grants Gateway:

New York State Department of Health  
Wadsworth Center  
Extramural Grants Administration  
Empire State Plaza, Room C345  
PO Box 509  
Albany, NY 12201-0509

Grant contractors must provide complete and accurate billing invoices to the Department's designated payment office in order to receive payment. Billing 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 CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with OSC's procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures 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](mailto:epayments@osc.state.ny.us) or by telephone at 855-233-8363. CONTRACTOR acknowledges that it will not receive payment on any claims for reimbursement submitted under this contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper as set forth above.

Payment of such claims for reimbursement by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law.

Payment terms will be:

- The contractor will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Workplan.
- All claims for payment submitted by the contractor pursuant to this agreement shall be submitted to the State no later than 30 days after the end of the quarter for which reimbursement is being claimed.
- Quarterly claims for payment will not be paid until all required progress reports for that period are submitted and deemed acceptable by Extramural Grants Administration staff.

- The final claim for payment will be paid following the acceptance and approval of the final progress report.
  - In no event shall the amount received by the contractor exceed the amount approved by the State.
3. The grant contractor will be required to submit the following progress reports to the Department of Health at the address above and, in the future, through the Grants Gateway:
- Written progress reports in accordance with the forms and formats provided by the Extramural Grants Administration, no later than 30 days after the end of each reporting period.
  - A final cumulative progress report in accordance with the forms and formats provided by the Extramural Grants Administration, no later than 60 days after the end of the contract term.

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

#### **I. Minority & Woman-Owned Business Enterprise Requirements**

Pursuant to New York State Executive Law Article 15-A, the New York State Department of Health (“DOH”) recognizes its obligation to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of DOH 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 DOH 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 New York State Department of Health hereby establishes a goal of **30%** as follows:

- 1) For Not-for Profit Applications: 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 budget in total.

The goal on the eligible portion of this contract 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 MWBE firms). A contractor (“Contractor”) on the subject contract (“Contract”) must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOH may withhold payment pending receipt of the required MWBE documentation. For guidance on how DOH 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 in the upper right hand side of the webpage under “Search for Certified Firms” and accessed by clicking on the link entitled “MWBE 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 submitting an application, a grantee agrees to complete an MWBE Utilization plan as directed in RFA Attachment 10. DOH will review the submitted MWBE Utilization Plan. If the plan is not accepted, DOH 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. DOH may disqualify a Grantee as being non-responsive under the following circumstances:

- a) If a Grantee fails to submit a MWBE 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 DOH determines that the Grantee has failed to document good-faith efforts to meet the established DOH MWBE participation goals for the procurement.

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

## **J. Limits on Administrative Expenses and Executive Compensation**

Effective July 1, 2013, limitations on administrative expenses and executive compensation contained within Governor Cuomo’s Executive Order #38 and related regulations published by the Department (Part 1002 to 10 NYCRR – Limits on Administrative Expenses and Executive Compensation) went into effect. Applicants agree that all state funds dispersed under this procurement will, if applicable to them, be bound by the terms, conditions, obligations and regulations promulgated by the Department. To provide assistance with compliance regarding Executive Order #38 and the related regulations, please refer to the Executive Order #38 website at: <http://executiveorder38.ny.gov>.

## **K. 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 and in order to initiate a contract with the New York State Department of Health, vendors 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, please include the Vendor Identification number on the application cover sheet. If not enrolled, to request assignment of a Vendor Identification number, please submit a New York State Office of the State Comptroller Substitute Form W-9, which can be found on-line at : [http://www.osc.state.ny.us/vendor\\_management/forms.htm](http://www.osc.state.ny.us/vendor_management/forms.htm).

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

## **L. Vendor Responsibility Questionnaire**

The New York State Department of Health strongly encourages that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendrep/vendor_index.htm) or go directly to the VendRep system online at <https://portal.osc.state.ny.us>.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

Applicants should complete and submit the Vendor Responsibility Attestation (see RFA Attachment 9).

## **M. Vendor Prequalification for Not-for-Profits**

All not-for-profit vendors subject to prequalification are required to prequalify prior to grant application and execution of contracts.

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 not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

**Applications received from not-for-profit applicants that have not Registered and are not Prequalified in the Grants Gateway on the application due date listed on the cover 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 Reform 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 Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the 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](mailto: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 agency representative or to the Grants Gateway Team at [grantsgateway@its.ny.gov](mailto: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.

**Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.**

## **N. General Specifications**

1. By submitting the "Application Form" each applicant attests to its express authority to sign on behalf of the applicant.
2. Contractors 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 this contract 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 contract. Any exceptions allowed by the Department during the Question and Answer Phase (see RFA Section IV.B.) must be clearly noted in a cover letter attached to the application.
4. An applicant may be disqualified from receiving awards 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.
5. Provisions Upon Default
  - a. The services to be performed by the Applicant 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 Applicant, 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 Applicant.
  - c. If, in the judgment of the Department, the Applicant 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 Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgment of the State Comptroller, have been satisfactorily performed by the Contractor 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 Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

## V. COMPLETING THE APPLICATION, REVIEW AND AWARD PROCESS

### A. How to Apply/Application Format

Please refer to the Quick Start Guide for assistance in applying for this procurement through the NYS Grants Gateway. This guide is available on the Grants Reform website at <https://grantsreform.ny.gov/Grantees>.

ALL APPLICATIONS SHOULD CONFORM TO THE FORMAT/CONTENT PRESCRIBED IN RFA ATTACHMENT 2: APPLICATION CHECKLIST AND INSTRUCTIONS. POINTS WILL BE DEDUCTED FROM APPLICATIONS WHICH DEVIATE FROM THE PRESCRIBED FORMAT.

It is the applicant's responsibility to ensure that all materials to be included in the application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the date and time posted on the cover of this RFA.

### B. Freedom of Information Law

All applications may be disclosed or used by DOH to the extent permitted by law. DOH 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, which will be available to the public in accordance with the Freedom of Information Law. **Any portion of the application that an applicant believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the application.** If DOH agrees with the proprietary claim, 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 and Award Process

Applications will first be examined against mandatory Pass/Fail requirements by Program staff (see RFA Attachment 2). Applications that do not meet the mandatory requirements will not be considered for review, and the applicant organization and PI/PD will be notified.

Applications with minor issues (missing information that is not essential to timely review and would not impact review scores) MAY be processed, at the discretion of the State, but all issues need to 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.

The Department contracts with an independent peer review organization to develop and coordinate the review and scoring of applications. Applications meeting the mandatory requirements will be reviewed and evaluated competitively by the Peer Review Contractor. Each eligible application will be evaluated by an Independent Peer Review Panel (the Review Panel) assigned by the Peer Review Contractor. The Review Panel members will be selected from among non-New York State experts in the fields appropriate to the nature of the applications received. The HRSB has determined that a knowledgeable breast cancer survivor will serve as an assigned reviewer on each application. The Peer Review Contractor has established a standing Review Panel to which expertise is added to evaluate the merit of actual applications submitted in response to the RFA.

Applications will be reviewed based on the criteria specified in RFA Section V.E. Initially, a subcommittee of the Review Panel consisting of three peer reviewers will consider each application. The subcommittee of the Review Panel will use an established combination of processes to evaluate each application:

1. pre-meeting review with adjectival scoring (see table below)
2. online conferral among assigned reviewers
3. panel meeting discussion via teleconference, videoconference or in-person (review method chosen at the discretion of the Department) with numerical scoring (see table below).

The primary reviewer of each subcommittee will prepare a written overall evaluation of each assigned application. Additionally, each of the assigned reviewers of a particular subcommittee will provide a written critique of the application based on established evaluation criteria.

Thereafter, the entire Review Panel will meet via teleconference, videoconference or in person (review method chosen at the discretion of the Department) to discuss and score each of the applications. Each member of the Review Panel will confidentially provide a confidential numerical score for each application they are eligible to review.

Applications will receive numerical scores from each participating Review Panel member for each evaluation criterion using an integer scale that equates to adjectival scores, where 1 equates to highest merit and 9 equates to lowest merit. The numerical score given to each criterion will be multiplied by that criterion's weight. Each Review Panel member's weighted scores for each criterion will be added together to give their individual total score. Review panel members' individual total scores will be added together and divided by the number of Review Panel members who scored the application to give an overall panel score for the application.

	Numerical Score	Adjectival Score	Guidance
<b>HIGH</b>	1	Exceptional	Exceptionally strong with essentially no weaknesses
	2	Outstanding	Extremely strong with negligible weaknesses
	3	Excellent	Very strong with only some minor <sup>a</sup> weaknesses
<b>MEDIUM</b>	4	Very Good	Strong but with numerous minor weaknesses
	5	Good	Strong but with at least one moderate <sup>b</sup> weakness
	6	Satisfactory	Some strengths but also some moderate weaknesses
<b>LOW</b>	7	Fair	Some strengths but with at least one major <sup>c</sup> weakness
	8	Marginal	A few strengths and a few major weaknesses
	9	Poor	Very few strengths and numerous major weaknesses

<sup>a</sup>**Minor weakness:** An easily addressable weakness that does not substantially lessen merit and/or the expected successful completion of the overall project

<sup>b</sup>**Moderate weakness:** A weakness that lessens merit and/or the expected successful completion of the overall project

<sup>c</sup>**Major weakness:** A weakness that severely limits merit and/or the expected successful completion of the overall project

The Review Panel will comment on the responsiveness of the application to the funding mechanism as described in RFA Section III. The Review Panel will identify potential overlap with other resources/projects. Additionally, the Review Panel will comment on the application with regard to the Contract Policy Statements and Conditions (NYS Master Grant Contract Attachment A-1 Part B). The Review Panel may recommend administrative review and resolution prior to contract execution. Award recommendations made by the HRSB may be contingent upon the applicant's acceptance of reductions or required revisions.

The primary reviewer will prepare a written evaluation of each assigned application that is discussed by the Review Panel. Each assigned reviewer will provide a written critique of the application based on the established evaluation criteria.

#### **D. Application Penalties and Summary Statements**

The Peer Review Contractor will assess a penalty of 0.1 point for any application that deviates from the instructions (see RFA Attachment 2).

The Peer Review Contractor will calculate final scores and compile a Summary Statement for each application for the HRSB. The Summary Statements will document the merit evaluation and serve as the primary basis for the panel recommendation for the applications.

#### **E. Review Criteria**

The Review Panel will score each application based on the following four criteria. The value assigned to each section is an indication of the respective weight that will be given when scoring an application.

Scoring ties will be resolved on the basis of the above and with consideration of the score for “Approach” among those applications involved in the tie.

##### **Evaluation Criteria:**

##### ***Approach***

**35%**

To what extent does the application:

- Provide clearly stated and logical tasks and performance measures?
- Reflect an understanding of the relevant literature regarding evidence-based modifiable risk factors and apply it to the goals and objectives of the project?
- Apply or develop innovative methods, tools or resources to positively influence breast cancer risk reduction behaviors consistent with, or that build upon, the findings of the “The Community Guide?”
- Clearly describe the education content and materials that will be used or developed to attain the project goals?
- Ensure medical and scientific accuracy of project curriculum and associated materials?
- Describe the plan to recruit and retain study participants?
- Propose the uses of human subjects appropriate to the overall goals of the project?
- Provide a clear description of appropriate and effective tools, methodologies and measures to be used in program evaluation and assessment?
- Describe plans for data collection and analysis (tool design, statistical methods chosen, etc.)?
- Provide a realistic and efficient timeline for accomplishing the project, including program planning and development, pilot implementation, data analysis/assessment and subsequent program revision?
- Describe plans for making program content, methods, and materials available for dissemination to other communities so that successful projects may be replicated and/or further studied?
- Describe plans to publish results of research study in peer-reviewed or refereed journal, and strategies for publicizing findings in mainstream print or electronic media?

##### ***Team Composition/Integration and Environment***

**25%**

To what extent does the application provide a well-integrated and collaborative team of individuals and organizations to complete the goals of the project? Specifically, does the application:

- Clearly describe the strengths of the partnering organizations (environment, services, value-added resources and other relevant characteristics) and how these enhance the likelihood of the project's success?
- Clearly describe the synergies created by the partnership?
- Describe the specific nature, quality and degree of proposed partnerships between the applicant and collaborating organization(s)?
- Identify potential barriers to communication and resource exchange among collaborators, and propose alternative strategies?
- Provide a clear connection between mission of each partnering organization and its role in the proposed project?
- Correlate and justify the background, skills and experience of key staff to specific components of the project?
- Reflect the ability of this team, as configured for the project, to make an important contribution to breast cancer risk reduction education programs and strategies?

***Need, Significance and Impact***

**20%**

To what extent does the application provide a sound basis for the development of a novel risk reduction education program? Specifically, does the application:

- Identify an at-risk community or population?
- Address a demonstrated unmet need within that group?
- Provide a description of evidence-based risk reduction behaviors to be addressed and relate those to a significant gap in the target community?
- Adequately justify that the proposed new breast cancer risk reduction education program has the potential to positively impact the identified gap or need?

***Budget***

**20%**

- Are the items for each budget line item explained?
- Are budget line items adequately justified as necessary for successful completion of the project?
- Are the budgeted amounts reasonable, cost-effective and appropriate to accomplish the research aims/goals, tasks and performance measures?
- Are there specific excessive or unnecessary budget items?

**Note:** The entire Review Panel will review and comment on the Budget section. Numeric scores for the Budget criterion will be provided only by the assigned reviewers.

**F. Health Research Science Board Review**

The HRSB will discuss the application strengths and weaknesses, administrative and budget recommendations as outlined in the reports of the Review Panel. When making funding recommendations, the HRSB will consider Review Panel Scores and recommendations, responsiveness to the mission of the HRSB, responsiveness to the RFA, programmatic balance and availability of funds. The HRSB may vote in favor or against any application submitted for funding. If an application for which there are available funds is not recommended for funding, the HRSB will fully justify in writing why the application was not approved. The HRSB will vote on each application until available funds are exhausted and in compliance with HRSB bylaws as well as applicable New York State laws and regulations.

The HRSB may elect, at its discretion, to continue making recommendations for possible funding of proposals beyond what is available for the funding mechanism and the RFA. These applications will be given the status "Approved but not funded." "Approved but not funded" applications may be funded should additional funds become available.

The HRSB will make recommendations for funding to the Commissioner of Health.

## **G. Award Decisions and Pre-Funding Requirements**

Grant award contracts are entered into between New York State applicant organizations and the New York State Department of Health. Funding is contingent upon full execution of a contract between the applicant organization and the New York State Department of Health and approval by the Commissioner of Health, State Attorney General and State Comptroller.

Following the Commissioner's approval of awards, PIs/PDs and their applicant organizations will receive formal notification in writing.

Prior to contract execution, program administrators will require resolution/submission/confirmation of the following items, as relevant to each application:

- Revisions to Workplan, project duration or budget
- Overlap
- Areas of possible concern with regard to Contract Policy Statements and Conditions (NYS Master Grant Contract Attachment A-1 Part B)
- Approved Facilities and Administrative Cost Rate

Once an award has been made, all applicants (whether their application has been approved or disapproved) may request a debriefing of their application. Please note the debriefing will be limited only to the strengths and weaknesses of the subject application and will not include any discussion of other applications. Requests must be received no later than fifteen (15) business days from date of award or non-award announcement.

To request a debriefing, please send an email to [hrrsb@health.ny.gov](mailto:hrrsb@health.ny.gov). In the subject line, please write: *Debriefing request (Patricia S. Brown Rd 5 RFA)*.

In the event unsuccessful applicants wish to protest the award resulting from this RFA, applicants 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>.

## **H. Award Announcements**

HRSB makes public in press releases and annual reports to the Governor and Legislature, the project title, the PI/PD(s), the name of the organization, total projects costs and duration. The project abstract and progress report abstracts may also be edited and made public.

## **VI. ATTACHMENTS**

Please note that attachments can be accessed in the “Pre-Submission Uploads” section of an 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, prospective applicants 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: Letter of Intent
- Attachment 2: Application Checklist and Instructions
- Attachment 3: Application Forms 1-4
- Attachment 4: Application Form 1-S
- Attachment 5: Application Form 5
- Attachment 6: Application Form 5-S
- Attachment 7: Application Forms 6-9
- Attachment 8: Application Form 10
- Attachment 9: Vendor Responsibility Attestation
- Attachment 10: Minority & Women-Owned Business Enterprise Requirement Forms