

**RFA # 17397 / Grants Gateway # DOH01-STYA1-2018**

**New York State Department of Health**  
*Center for Community Health/Division of Family Health/  
Bureau of Women, Infant and Adolescent Health*

**Request for Applications**

*Successfully Transitioning Youth to Adolescence*

**KEY DATES:**

<b>Release Date:</b>	<b>October 27, 2017</b>
<b>Applicant Conference Registration Deadline:</b>	<b>November 3, 2017 by 4:00 PM EST</b>
<b>Applicant Conference:</b>	<b>November 14, 2017</b>
<b>Questions Due:</b>	<b>November 17, 2017 by 4:00 PM EST</b>
<b>Questions, Answers and Updates Posted (on or about):</b>	<b>December 1, 2017</b>
<b>Applications Due:</b>	<b>December 20, 2017 by 4:00 PM</b>
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## I. Introduction

The New York State Department of Health (NYSDOH) is issuing this Request for Applications (RFA) to announce the availability of approximately \$3.5 million annually to implement the Successfully Transitioning Youth to Adolescence (STYA) initiative as described in this RFA. Funds will be awarded to 20-25 community-based projects throughout New York State communities, which bear the greatest burden of adolescent childbearing. The **Successfully Transitioning Youth to Adolescence (STYA) Initiative**, will support the implementation of program models that incorporate mentoring, counseling and supervised activities provided by adults for preteen youth ages 9 to 12, including those in foster care, to ease their transition into young adulthood.

The STYA initiative is funded by federal Title V State Abstinence Education Grant Program (AEGP) funds awarded to NYSDOH by the Health and Human Services, Administration for Children, Youth, and Families (ACYF). Section 510(b) of the Social Security Act (42 U.S.C. Section 710(b)) specifies that the goal of the federal AEGP is to “promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock.” In turn, Federal Funding Opportunity guidance for the AEGP indicates that funded states are responsible to develop flexible, medically accurate and effective abstinence-based plans responsive to their specific needs. States applying for AEGP funds were provided the flexibility to develop state plans that utilize abstinence education and/or mentoring, counseling, and adult supervision programs to promote abstinence from sexual activity.

New York’s State AEGP plan focuses on mentoring, counseling and adult supervision programs as an innovative strategy to promote abstinence from sexual activity and support a healthy transition to adolescence among preteen youth. New York’s STYA initiative does **not** utilize direct abstinence education strategies. However, STYA projects need to be consistent with federal AEGP requirements. Programming and materials to be used by proposed projects may not contradict the Social Security Act Section 510(b)(2) (A-H) definition of abstinence education (Refer to Attachment 1). In addition, all information and materials used by grantees must be medically accurate. Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete. All applicants will attest to this by signing the required Statement of Assurances (Attachment 2).

NYS has been a leader in adolescent pregnancy prevention efforts and has made significant progress in reducing teen pregnancy. NYS’s teen pregnancy rate has declined by 61% from its peak in 1993 of 95.3 pregnancies per 1,000 15 to 19-year-old females to 33.2 in 2014 (most recent data available). However, consistent with national trends, NYS continues to have striking racial/ethnic and regional disparities in adolescent pregnancy rates although these rates have also declined over time. Pregnancy rates are consistently almost four times higher for black and Hispanic teens than for white teens. In 2014, the white teen pregnancy rate was 14.4 per 1,000 females age 15-19 which was much lower than the rate for black (59.8) and Hispanic (53.8) females of the same age.

The sexual health outcomes for adolescents are impacted by the social determinates of health, or the conditions in which they are born, live, work and mature. There are five major categories of the determinants of health: social environment, biology and genetics, physical environment, individual

behavior and access to health services.<sup>1</sup> Inequities among one or more of these determinants may impact the health outcomes of individuals and/or entire communities. This funding opportunity attempts to impact these inequities through medically accurate information and providing opportunities to meet the unique needs of New York State's youth including priority populations residing in under-resourced communities, culturally underrepresented youth populations especially Hispanic, African-Americans, and marginalized/priority populations which may include:

- Youth in foster care
- Youth with disabilities
- Homeless / Runaway Youth
- Youth involved in the juvenile justice/adjudication systems

NYSDOH will fund community-based projects that utilize a primary prevention approach of mentoring, counseling or adult-supervised activities designed for preteen youth, providing adult-led group sessions to encourage discussion of topics of concern to preteen youth, and providing parenting education to parents, guardians and caregivers. The anticipated funding period will be from 10/1/18 through 9/30/23.

The purpose of the initiative is to develop, enhance or expand prevention programs aimed at delaying the onset of adolescent sexual activity and decreasing the incidence of adolescent pregnancy and childbearing. This initiative strives to implement strategies to build protective factors to promote the optimal transition of youth ages 9-12 living in priority communities, from middle childhood to adolescence fostering a transition to a healthy, productive, connected young adulthood. A key factor in promoting this transition is improving a preteen youth's sense of achievable life prospects and a positive outlook for the future, factors that are contingent upon delaying sexual activity.

The goal of the STYA initiative is to support and enhance children and adolescents' social-emotional development and relationships and to reduce racial, ethnic, economic and geographic disparities while promoting health equity across this population. Specifically, STYA projects are to:

- Decrease the initiation of sexual activity among preteen youth through the support of community-based projects that incorporate mentoring, counseling or adult-supervised activities provided by adults for preteen youth ages 9-12 who reside in priority communities in NYS;
- Create and expand opportunities and provide support and alternatives to sexual activity for preteen youth to promote optimal transition into healthy young adulthood;
- Promote the development of positive long-term relationships between adults and youth;
- Provide education to the parents, guardians and caregivers of preteen youth to enhance their parenting skills.

Providing opportunities for young people to increase the number of developmental assets they have is the primary organizing concept of this initiative. The Search Institute has identified 40 developmental assets that are the building blocks of healthy development for youth in "middle childhood" (ages 8 to 12) and will help them grow into healthy, caring and responsible young adults. (Refer to Attachment 3) Examples of the 40 developmental assets for youth ages 8 to 12 include: adult role models, other adult relationships, service to others, child programs, family support, positive family communication, a sense of purpose, healthy lifestyle, planning and decision making, resistance skills, and a positive view

<sup>1</sup> Centers for Disease Control and Prevention. Social Determinants of Health. Available at: <http://www.cdc.gov/socialdeterminants/definitions.html>.

of one's personal future. Enhancing the developmental assets of youth ages 9 to 12 provides an opportunity for them to transition into sexually healthy adolescents who can realize their individual potential around critical developmental tasks related to sexuality.

Applicants will deliver an integrated model of mentoring, counseling or adult-supervised activities and provide adult-led group sessions to encourage discussion of topics of concern to preteen youth in priority communities through the strategies described. Project components will promote such developmental assets as positive family communication; adult role models; creative activities; motivation to do well in school; healthy lifestyle; planning and decision making; resistance skills; a positive view of one's personal future; responsibility; self-esteem; and sense of purpose. Parents, guardians and caregivers of preteen youth will also have the opportunity to attend parenting education classes to enhance their parenting skills.

Services will be delivered to individuals or groups in such venues as schools, community and faith-based organizations, other community settings, and congregate care settings. All funded projects, including those implemented directly or in partnership with faith-based organizations or programs, must adhere to the federal guidance prohibiting use of religious materials/programs (Refer to Attachment 4).

Applicants will be expected to provide services to youth residing within the highest need areas, as identified by the Adolescent Sexual Health Needs Index (ASHNI). (Refer to Attachment 5) The ASHNI is an indicator, calculated at the ZIP code level, to provide a single, multidimensional measure related to adolescent pregnancy and STDs. The ASHNI takes into consideration a variety of key factors related to these outcomes, including the size of adolescent population, actual burden (number) of adolescent pregnancies and STD cases, and a number of specific demographic and community factors (education, economic, and race/ethnicity indicators) that are significantly associated with adverse sexual health outcomes (Refer to Attachment 5 for selection of highest need ZIP codes for each county).

## **II. Who May Apply**

### **A. Minimum Eligibility Requirements**

Please note: Applications must meet all the following minimum eligibility requirements to be reviewed:

- Applications will be accepted from state and local government entities such as city and county health departments, school districts, and youth bureaus; and from not-for-profit 501(c)(3) organizations, including, but not limited to, Article 28 healthcare facilities, and community-based health and human service agencies.
- Applicants may propose to serve youth in one or two New York State counties. Within their identified focused county(ies), applicants need to define a more specific priority area for their proposed project, as defined by highest-risk ZIP codes within that county or counties based on the ASHNI. (Refer to Attachment 5 for selection of highest need ZIP codes for the county or counties selected).
- In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant **must** demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide

a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%.

- The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may **not** be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.

## **B. Preferred Eligibility Requirements**

Preference will be given to applicants that demonstrate the following:

- A minimum of five years' experience serving youth, including those in foster care, members of racial, ethnic, and/or cultural minority groups, individuals with disabilities and others as previously described.
- Board of Directors and staff, including senior management staff, who are representative of the racial, ethnic and/or cultural populations they plan to serve and intend to reach through the proposed project.
- Letters of commitment from all schools, service providers, institutions and community-or faith-based organizations, juvenile detention centers, residential care facilities or other venues where project services will take place.

## **C. Available Funding**

It is anticipated that between 20 – 25 awards will be made through this initiative (a total of approximately \$3,500,000 in awarded funds annually) for a five (5) year period contingent upon satisfactory performance and availability of funds.

- Applicants may request an annual award amount between \$100,000 to \$300,000. The requested amount represents the State Share of no more than 4/7th of the projects' total cost and the applicant must demonstrate the ability to fund at least 3/7th of the project's total cost (see below).

## **D. Resources for Matching Funds**

In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant **must** demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7th of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%.

The match may be made using local government dollars, private dollars (such as foundation dollars) or in-kind support. ***The match may not be comprised of other state or federal grant funds.***

Foundations are a legal category of nonprofit organizations that will typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes. STYA applicants are encouraged to seek foundation funds to assist with the matching

funds mandate. Below is a list of on-line resources that an applicant may use to help assist them with finding foundations. Applicants are encouraged to seek out and obtain funding from existing foundations that support youth development programs in accordance with the STYA initiative within their geographic catchment area. (Refer to Attachment 6).

## **E. Project Requirements**

**By signing the Statement of Assurances, Attachment 2, applicants are attesting to the following project requirements:**

- All educational materials that are presented as factual will be grounded in scientific research and medically accurate. All educational materials and curricula designed, mass produced and used for instructional and informational purposes will be medically accurate. *Note:* Medical accuracy means that medical information must be verified or supported by the weight of research conducted in compliance with accepted scientific methods and published in peer-reviewed journals, where applicable, or be comprised of information that leading professional organizations and agencies with relevant expertise in the field recognize as accurate, objective and complete.
- The New York State Department of Health (NYSDOH) will be informed of all materials proposed for use in the project for purposes of reviewing them for medical accuracy.
- Programming and materials to be used by the proposed project will not contradict Section 510(b)(2)(A-H) elements of the Social Security Act. (Refer to Attachment 1)
- Programming will be held in fully accessible spaces and program modifications and accommodations for participants with disabilities are ascertained and provided.
- A designated individual employed within the organization will be responsible for STYA administration, operation and oversight. This individual will be accessible to NYSDOH full-time (including by e-mail) and attend STYA provider meetings with other appropriate staff.
- Any changes in services, the designated contact person, staffing levels, space or project sites will be reported immediately in writing to the NYSDOH Adolescent Health Unit.
- Biannual project reports will be submitted to the NYSDOH within 30 days of the completion of the period.
- The applicant organization can demonstrate the ability to provide matching funds equal to 75% of the TOTAL PROJECT COST.

## **III. Project Narrative/Work Plan Outcomes**

The NYSDOH is committed to funding community-based programs that serve youth, ages 9-21, living in underserved, under-resourced communities. STYA community-based projects are a component of statewide primary prevention programs, which utilize a youth development framework and implement evidence-based or promising approaches to promote health and reduce risk in priority communities in NYS. Applicants are expected to develop and implement specific activities based on the developmental, socio-economic, racial, ethnic and cultural needs and perspectives of the population(s) to be served, and the resources and needs of the priority communities.

Award recipients will deliver an integrated model of mentoring, counseling or adult-supervised activities and provide adult-led group sessions to encourage discussion of topics of concern to preteen youth in focused communities through the strategies described in this section. Project components will promote such developmental assets as positive family communication; adult role models; creative activities; motivation to do well in school; healthy lifestyle; planning and decision making; resistance skills; a positive view of one's personal future; responsibility; self-esteem; and sense of purpose. Parents, guardians and caregivers of

preteen youth will also have the opportunity to attend parenting education classes to enhance their parenting skills.

Services will be delivered to individuals or groups in such venues as schools, community and faith-based organizations, other community settings, and congregate care settings. All funded projects, including those implemented directly or in partnership with faith-based organizations or programs, must adhere to the federal guidance prohibiting use of religious materials/programs (Refer to Attachment 4).

Services funded under this RFA should be provided during those times when children are not engaged in school, including after school hours on weekdays, school vacation breaks, weekend hours and the summer vacation period. Services provided should be sustained efforts rather than one-time or sporadic contacts. Mentored relationships should be at least one year in duration.<sup>2</sup> Youth who participate in other project components should be exposed to at least 14 hours of programming.

Community-based STYA projects are expected to work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for youth and their families. Since youth reached through this initiative may require additional supports and services that are outside the scope of the STYA program, projects are expected to implement mechanisms to refer them to other federal, state, county and local community service providers for physical, social, emotional, educational, and developmental services as necessary. Funded programs need to have a mechanism in place to refer youth, including youth who may be sexually active, to necessary health care services. It is anticipated that this process will foster a network of community service resources, which will facilitate referrals to, and utilization of, needed community services by young people and their families. Successful applicants will incorporate the input of a diverse group of stakeholders, including the young people they intend to serve, parents, caregivers, and representatives from relevant community organizations and institutions, including traditional and non-traditional partners and formal and informal community leaders to inform program planning and implementation and identify and address issues around disparities and health equity.

This initiative will **not** fund direct services such as child care, health care, or other services that are available through other resources. However, applicants should incorporate partnerships and strategies to identify needs for such services and make referrals to address the needs that have been identified.

Proposed projects need to describe the outreach and recruitment of adult mentors and other adult volunteers working with youth. It is the responsibility of funded grantee organizations to assure that the safety of youth participating in programs is protected at all times. All mentors working with youth must undergo a comprehensive and rigorous screening process. Screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records should also be used. Ongoing monitoring of the interaction between mentor and mentee is recommended at least monthly and more often in the beginning of the mentor relationship.<sup>3</sup> The purpose of the supervision is to ensure that the



match continues to make progress and to address any problems that may arise. Separate conversations should also be done with the mentor, mentee and the mentee's caregiver to assess any problems and assure continued mentee safety. Adult volunteers working with youth should complete an application, have a personal interview, and provide personal and professional reference checks. Criminal background checks should be done if adult volunteers will have any responsibilities that involve a one-to-one relationship with youth and ongoing supervision, as described above.

### **A. Performance Management**

Performance management is the practice of actively using performance data to improve the public's health. Performance management centers on a clear and focused approach to improving outcomes and the strategic use of performance standards to guide the development and implementation of improvement strategies. Performance standards are generally accepted, objective standards of

<sup>2</sup> Grossman, J.B. & Rhodes, J.E. (2002). The test of time: predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology*, 30, 199-219.

<sup>3</sup> Guide to Screening and Background Checks, U.S. Department of Education Mentoring Program  
<http://educationnorthwest.org/sites/default/files/resources/screening.pdf>

measurement against which a grantee's level of performance can be compared; the standards establish the level of performance expected. Collectively, these performance standards serve to describe specific, tangible processes and outcomes that need to be accomplished through this initiative. The STYA initiative performance management framework includes four performance standards. These performance standards contribute to the achievement of improving key population health outcomes including fostering the prevention of adolescent pregnancy and childbearing.

The goal of the STYA initiative is to support and enhance children's and adolescents' social-emotional development and relationships and to reduce racial, ethnic, economic and geographic disparities while promoting health equity across this population. The implementation of strategies for the STYA initiative will focus on youth and their parents, guardians and caregivers and address the following performance standards:

- Decrease the initiation of sexual activity among preteen youth through the support of community-based projects that incorporate mentoring, counseling or adult-supervised activities provided by adults for preteen youth ages 9-12 who reside in priority communities in NYS;
- Create and expand opportunities and provide support and alternatives to sexual activity for preteen youth to promote optimal transition into healthy young adulthood;
- Promote the development of positive long-term relationships between adults and youth;
- Provide education to the parents, guardians and caregivers of preteen youth to enhance their parenting skills.

### **B. Program Components**

Proposed projects should include all three of the components described below. Program Components (within Component 1, applicants should select A and/or B), designed and implemented as part of a well-articulated, integrated overall program. Utilizing the framework of the three components, applicants are to design and implement effective projects based on the needs and resources of the focused community and the developmental, socioeconomic, racial, ethnic, cultural needs and perspectives of the population(s) to be served. Applicants may propose to expand or enhance an established mentoring, counseling or adult supervision program that meets the requirements of this RFA, or may propose to establish a new program.

**Component 1: Provide individual, small group, and/or team mentoring and counseling AND/OR adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth.**

**A. Provide individual, small group, and/or team mentoring and counseling for preteen youth.** Mentoring is defined as “a structured and trusting relationship that brings young people together with caring individuals (adults) who offer guidance, support and encouragement aimed at developing the competence and character of the mentee.”<sup>4</sup> For purposes of this RFA, mentors will provide information, guidance and social support to 9-to 12-year old youth on a wide range of topics framed in a youth development philosophy, focusing on the needs of the mentored youth(s), and building on and nurturing the youth’s individual strengths and assets. Mentoring activities can take place in a variety of community settings including schools; school or agency-based after-school programs; community or faith-based organizations; juvenile detention centers; residential care settings; or at various community events or locations. Each mentoring relationship will be at least one year in duration as recommended by National Mentoring Partnership.

Several resources are provided as attachments to this RFA to assist applicants and funded grantees in designing and implementing effective mentoring projects (Refer to Attachments 7-8). Applicants should select one or more of the mentoring models and approaches described in Attachments 7 and 8 and should incorporate the six evidence-based operational standards for effective mentoring practice described in detail in the *Elements of Effective Practice for Mentoring* publication, developed by MENTOR at [http://www.mentoring.org/downloads/mentoring\\_1222.pdf](http://www.mentoring.org/downloads/mentoring_1222.pdf)

<sup>4</sup> National Mentoring Partnership (<http://mentor.org/>)

**B. Provide or expand adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth.** Youth benefit from exposure to a wide variety of activities framed in a youth development philosophy that introduce them to new situations, ideas and people, and challenge them to build or learn skills. These opportunities can offer youth first-hand experiences that build on their strengths and assets and shape their ideas about and aspirations for the future. Activities should stimulate cognitive, social, physical, and/or emotional growth and provide a context for productive relationship building between adults and youth and among youth. The activities provide alternatives to and demonstrate the advantages of postponing sexual activity and promote the development of a skill set that can support a successful transition into healthy young adulthood. Adult-supervised activities can occur within another after school or youth group program or as a stand-alone program.

Examples of appropriate activities would include but may not be limited to:

- Workplace visits, job shadowing, or career exploration
- Cultural events and facilities (e.g., concerts, plays, museums, art exhibits)
- Sports and other physical activity (e.g., individual and team, competitive and noncompetitive)
- Performing arts (e.g., live theatre and dance)
- Visual arts (e.g., carefully selected films which are appropriate for the age and developmental stage of the youth)
- Scientific exploration (e.g., robotics, computers, science centers, experiments, and field studies)
- Mentally stimulating games (i.e., games that challenge the mind and encourage deep interaction among participants, such as chess and selected computer games)
- Nature-focused outdoor activities (e.g., hiking, gardening, and bird-watching)
- Service-learning activities

All planned activities should be cost-effective and incorporate specific strategies that help build new skills and learning and stimulate youth development, consistent with the description above. Cost-effective is defined as the minimum amount of grant fund resources being used to achieve desired work plan goals and objectives. General recreational activities or one-time events without a clear rationale that is well-articulated as part of a larger program strategy will not be supported with this grant. Projects must ensure that youth involved in Component 1B activities will be exposed to at least 14 hours of programming annually.

**Component 2: Provide adult-led group sessions designed to encourage in-depth discussion of topics of concern among preteen youth.**

Young people should be provided with opportunities to talk with caring adults about situations and experiences, choices, challenges and opportunities. This RFA will fund adult-led small group youth sessions with approximately six to eight youth designed to allow for in-depth discussion of topics of concern to preteen youth and create an opportunity for youth to go through a problem-solving process where they discuss decision making around these issues. These discussions also provide the opportunity for them to practice behaviors to resist pressures to initiate sexual activity and other risk-taking behaviors. This can serve as a model for how to approach and resolve future problems.

(*Note:* Discussion of topics of concern to the preteen youth is also an important component of mentor/mentee relationships. To satisfy the requirements of Component 2, applicants are expected to design a discussion component, which is separate and distinct from similar activities, which occur as part of the mentoring program described under Component 1.) The range of topics that might be addressed in this component includes but may not be limited to:

- The development of healthy attitudes and values about adolescent growth and development, body image and positive self-esteem, respect and appreciation for human diversity and other related subjects.
- Healthy relationships, such as friendships, kindness and positive support for peers (including anti-bullying bystander intervention), gender roles, dating, relationship dynamics and power balances, romantic involvement, marriage, and family interactions.
- Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation. Development of good study habits and other practices focused on academic achievement.
- Healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills and stress management.

Funding provided under this RFA **cannot** be used to provide professional mental health services including mental health counseling, psychoanalysis or treatment for severe mental illness, crisis intervention, or case management services. Youth requiring these services should be referred to appropriate professionals in the community. As part of their training and supervision, mentors and other adults working with youth through this program should be instructed on when and to whom to refer youth who need these services. Projects must ensure that youth involved in Component 2 activities will be exposed to at least 14 hours of programming annually.

**Component 3: Provide parenting education to the parents, guardians, and other adult caregivers of preteen youth.**

Parents can play a key role in communicating to their children about values and responsible behaviors. The purpose of the parenting education component is to enhance and strengthen the communication and supervision skills of parents, guardians and other adult caregivers; these skills will help them guide their preteen youth through their adolescent years. Surveys and focus groups indicate that many adolescents view their parents as a primary source of information regarding sexual health behaviors, however many

parents are uncomfortable having sexual discussions and have the same misconceptions or fears about sexuality as their children. Parents often need and welcome assistance to begin an effective dialogue related to sexual matters with their children.

Effective parent/child communication results in positive emotional development and self-esteem. Projects are required to incorporate education for parents, caregivers, and other adults in the community to provide improved knowledge and communication skills related to adolescent sexual health and risky behaviors.

According to the National Resource Center for Community-Based Child Abuse Prevention (<http://friendsnrc.org>), “successful parent education programs help parents acquire and internalize parenting and problem-solving skills necessary to build a healthy family.” Projects funded through this RFA will provide information and education to parents at such venues as schools, the workplace and other community-based settings. Workshops can be conducted with parents alone or with parents together with children to improve communication skills. The range of topics to be addressed might include strategies for:

- Understanding pre-adolescent and adolescent development including the physical, cognitive, emotional, and social changes of adolescence, and nurturing children’s development of healthy attitudes and values about growth and development, body image and positive self-esteem, respect and appreciation for human diversity and other related subjects.
- Adapting to and communicating effectively with maturing children, discussing risk-taking behaviors with pre-adolescents and adolescents, identifying and addressing warning signs of risky or dangerous behavior, and keeping adolescents safe.
- Understanding the importance of non-parental adults in adolescents’ lives.
- Raising adolescents in a new/changing and diverse culture.
- Modeling and nurturing healthy relationships, including friendships, social peer relationships, romantic relationships and family relationships, and positively addressing dynamics such as gender roles, peer pressure, bullying and power balances in relationships.
- Educational and career success, such as maximizing school success, exploring career alternatives and goals and developing skills for employment preparation.
- Supporting the development of good study habits, school attachment and achievement, educational and career aspirations.
- Nurturing the development of healthy life skills such as health behaviors, goal setting, decision making, negotiation, communication and interpersonal skills, use of available resources and stress management

### **General Program Information**

- Food and beverages that are served during STYA activities must follow the Guidelines for Healthy Food and Beverages for Adolescent Health Programs, developed by the ACT COE. The Guidelines have been updated and can be found at: [http://www.actforyouth.net/resources/n/n\\_adolescent\\_food\\_guidelines.pdf](http://www.actforyouth.net/resources/n/n_adolescent_food_guidelines.pdf)
- All planned activities should be cost-effective and incorporate specific strategies that help build new skills and learning and stimulate youth development, consistent with the description above. Cost-effective is defined as the minimum amount of grant fund resources being used to achieve desired work plan goals and objectives. Activities need to have a clear rationale that is well-articulated as part of a larger program strategy.
- Applicants may subcontract components of the scope of work, however the applicant is responsible to retain a minimum of 51% of total contract activities. For those applicants that propose subcontracting, it is preferable to identify subcontracting agencies during the application process. Applicants that plan to subcontract are expected to state in the application the specific components of the scope of work to be performed through subcontracts.

Applicants should note that the lead organization (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 should be approved by the NYSDOH.

## IV. Administrative Requirements

### A. Issuing Agency

This RFA is issued by the New York State Department of Health / Division of Family Health / Bureau of Women, Infant and Adolescent Health. 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 or via email to:

Karen Barrett at [styarfa@health.ny.gov](mailto:styarfa@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 can be addressed in writing via email directed to the attention of Karen Barrett at [styarfa@health.ny.gov](mailto:styarfa@health.ny.gov). **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.**

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/IntelliGrants\\_NYSGG/module/nysgg/goportal.aspx](https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportal.aspx) and a link provided on the Department's public website at: <http://www.health.ny.gov/funding/>. Questions and answers, as well as any updates and/or modifications, will be posted on the Grants Gateway. All such updates will be posted by the date identified on the cover of this RFA.

### C. Applicant Conference

An applicant conference call **will** be held for this project, on November 14, 2017 at 10:30 AM. Applicants are directed to call: 1-844-633-8697, then press the Participant code: 319 155 987, then # to participate in this call. The Department requests that potential applicants register for this conference by sending an e-mail to [styarfa@health.ny.gov](mailto:styarfa@health.ny.gov) with the subject line of STYA Applicant Conference, to ensure that adequate accommodations be made for the number of prospective attendees. A maximum number of two representatives from each prospective applicant will be permitted to participate in the applicant conference if calling from different phones. Failure to participate in the applicant conference call will not preclude the submission of an application. Deadline for reservations is posted on the cover page of this RFA.

### D. How to 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 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://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 word “adolescence” and select the Department of Health as the Funding Agency.
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, prospective grantees are **strongly encouraged** to submit their applications at least 48 hours prior to the due date and time. 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 DOH 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. of this RFA.

**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 attend to 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 global errors that may arise. You can also run the global error check at 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 uploading 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		
Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
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.**

#### **E. 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. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.
18. Award grants based on geographic or regional considerations to serve the best interests of the state.

#### **F. 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: October 1, 2018 –September 30, 2023. Continued funding throughout this five-year period is contingent upon availability of funding and state budget appropriations. DOH 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.

#### **G. Payment & Reporting Requirements of Grant Awardees**

1. The Department may, at its discretion, make an advance payment to not for profit grant contractors in an amount not to exceed 25%
2. The grant contractor will be required to submit quarterly invoices and required reports of expenditures to the State's designated payment office (below) or, in the future, through the Grants Gateway: Via email to [dfh.boa@health.ny.gov](mailto:dfh.boa@health.ny.gov)

Grant contractors must provide complete and accurate billing invoices 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 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 check 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.

3. The grant contractor will be required to submit the following reports to the Department of Health at the address above and, in the future, through the Grants Gateway:

Biannual reports are due 30 days after the end of the six-month report period and submitted electronically.

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

## **H. 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 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 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 **Attachment 12** of this RFA. 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.

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

On 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>.

#### **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 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/vendor\\_management/index.htm](http://www.osc.state.ny.us/vendor_management/index.htm), or by contacting the SFS Help Desk at 855-233-8363 or by emailing at [helpdesk@sfs.ny.gov](mailto:helpdesk@sfs.ny.gov).

#### **K. 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/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 (Attachment 11).

## L. 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.**

### M. 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 (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 judgement 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 judgement 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

### A. Application Format/Content

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>

#### Program Specific Questions

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. Therefore, answers should be specific, succinct and responsive to the statements and questions as outlined.

#### ***Application Cover Page (Not Scored):***

Attachment 13 is provided to serve as the Grant Application Cover Page for the application. All requested information should be supplied on this form. Once completed, applicants are instructed to upload their Grant Application Cover Page as Attachment 13 in the Pre-Submission section of the Grants Gateway online application. Please refer to Attachment 13.

#### ***Statement of Assurances (Not Scored):***

To be eligible for approval to operate a Successfully Transitioning Youth to Adolescence (STYA) project, the applicant organization's Chief Executive Officer or Executive Director must attest to compliance with all of the statements listed on Attachment 2. The applicant should complete and sign the Statement of Assurances. The statement should be signed by the Chief Executive Officer of the applicant organization or the CEO's designee. Once signed, applicants are instructed to upload their Statement of Assurances as Attachment 2 in the Pre-Submission section of the Grants Gateway online application. Please refer to Attachment 2.

#### **1. Program Summary (Maximum Score: 10 points)**

*The purpose of this section is for the applicant to summarize the entire proposed program.*

101. Describe the county and geographic service area, include ZIP codes, with associated ASHNI scores for the proposed community. Applicants may choose to serve up to two counties selecting the highest scoring ASHNI ZIP codes within the selected counties, however, each community chosen is to be clearly identified.

102. Identify health inequities for the selected priority population(s) and proposed communities. Describe the strategies implemented or to be implemented to promote health equity.

103. Describe the priority populations to be served including age range, gender and cultural, racial and ethnic composition.

104. Include strengths, opportunities and needs of proposed communities.

105. Briefly describe the program design which is consistent with the core components described in Section III B. Program Components.

## **2. Organizational Experience and Capacity (Maximum Score: 20 points)**

201. *The purpose of this section is for the applicant to describe the current services of the applicant organization and proposed subcontractors, if applicable, and their capacity to implement and administer the proposed project; and to provide evidence of prior success with similar initiatives that have included serving communities that lack multiple resources for youth.* Describe the applicant organization, its mission, the range of services it provides, and communities where these services are provided.

202. Describe the populations currently served by this organization including such factors as age, gender, race, ethnicity, socioeconomic status and other significant characteristics as appropriate.

203. Describe the applicant organization's experience in providing youth programming and services to youth from priority communities, including those in foster care, those who are members of racial, ethnic and/or cultural minorities, and individuals with disabilities. Describe evidence of prior success with similar initiatives that have included serving communities that lack multiple resources for youth.

204. Discuss the applicant organization's relationships with schools, institutional settings, and/or community organizations, which serve youth in the priority communities. Discuss mechanisms to refer youth to other community-based service providers for physical, social, emotional, educational, and developmental support and services as necessary.

205. Describe how the applicant organization will work with other service providers and individuals in their respective communities to identify and provide or expand a range of positive opportunities for the youth and their families.

206. Confirm that the applicant organization will employ a STYA project director/coordinator who will be accessible full-time to the NYSDOH (including by e-mail); perform the essential tasks required to administer the project; be the lead in programmatic activities; and ultimately be responsible for the successful completion of the project/contract.

207. Indicate the agency's length of experience with administrative, fiscal, and programmatic oversight of government contracts, including timely and accurate submission of fiscal and project reports. Indicate any present/prior collaborations with the NYSDOH.

## **3. Community Needs and Resources Assessment (Maximum Score: 20 points)**

*The purpose of this section is to determine local health and human services needs and available resources affecting adolescent pregnancy and childbearing in the priority communities.*

*Applicants may choose to serve up to two counties selecting the highest scoring ASHNI ZIP codes within the selected counties; however, each separate and distinct priority community is to be clearly reflected in this section. Relevant data can be found at:*

[http://www.health.ny.gov/statistics/vital\\_statistics/](http://www.health.ny.gov/statistics/vital_statistics/)

<http://www.health.ny.gov/statistics/chac/perinatal/>

<http://www.health.ny.gov/statistics/chac/indicators/index.htm#chai>

- 301. Identify the proposed ASHNI ZIP code(s) selected as the focused area(s).
- 302. Discuss the identified needs in the priority community for the proposed project that pose an increased risk for early adolescent sexual activity.
- 303. Discuss the identified community resources currently available to serve preteen youth in the proposed priority community and how this project fills in gaps in those resources.
- 304. Describe how the overall project incorporates the input of a diverse group of stakeholders, including youth, parents/caregivers, racial, ethnic and/or cultural minority groups and persons with disabilities.

**4. Description of Project Narrative with Proposed Activities (Maximum Score: 30 points)** *The purpose of this section is to describe the design and structure of the proposed project, including the activities that will be developed and implemented and how the components will complement each other. Note: Additional information on these components can be found in Section III B. Program Components. The responses for 401-405 should incorporate an overview for the proposed project in support of the three components. Specific responses on each component should be addressed in the responses to 406-414.*

- 401. Describe the design and structure of the proposed project.
- 402. Describe how the proposed program design addresses the needs and draws on the resources identified in Section V. 5. Community Needs and Resources Assessment.
- 403. Identify the priority population to be served and how the proposed services are relevant to this population.
- 404. Describe how your agency will work with other local service providers to foster a network of community resources for referrals, if needed.
- 405. Identify the locations where project services will be provided and confirm that they are appropriate and accessible for the priority population.

Provide the component-specific information listed below:

**Component 1: Provide individual, small group, and/or team mentoring, counseling AND/OR adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth. Applicants may choose either Component 1A AND/OR 1B**

- 406. Clearly identify which Component 1 activities are chosen: Component 1A and/or Component 1B.
- 407. Specify and describe the mentoring models to be implemented (traditional, small group and/or team mentoring) and/or the specific adult-supervised activities to be conducted. For applicants choosing a mentoring model, discuss how you will address each of the six elements of an effective mentoring program.
- 408. Specify the expected duration of mentoring services and describe the plan to ensure mentored relationships will be at least one year in duration and/or describe plans to ensure that youth involved in adult-supervised activities will be exposed to at least 14 hours of programming annually.
- 409. Describe the orientation and training that mentors working with youth will receive and/or indicate the number of adult volunteers who will provide adult-supervised activities and how they will be selected as well as the orientation and training that volunteers working with youth will receive.

**Component 2: Provide adult-led group sessions designed to allow for in-depth discussion of topics of concern among preteen youth.**

- 410. Describe the plan to ensure discussion groups consist of no more than six to eight youth per group.



411. Indicate the number of adult volunteers who will provide adult-led group sessions and how they will be selected.
412. Describe the orientation and training that volunteers working with youth will receive.
413. Describe plans to ensure that youth involved in activities will be exposed to at least 14 hours of programming annually.

**Component 3: Provide parenting education to the parents, guardians, and other adult caregivers of preteen youth.**

414. Provide an overview of the topics to be covered under this component, the number of participants and number of sessions for each topic area.

**5. Work Plan (Not Scored)**

501. In the Work Plan Section of the Grants Gateway on-line application, applicants are instructed to enter the required performance measures for each work plan objective as they are listed in Attachment 9. Applicants should follow the instructions provided on page 1 of Attachment 9 when completing the Work Plan.

For the Grant Gateway Work Plan Project Summary, applicants are instructed to insert the Project Summary as listed on page 1 of Attachment 9. 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 into these areas will not be considered or scored by reviewers of your application.

**Note:** The NYSDOH-funded ACT for Youth Center of Excellence (COE) will work with each individual funded project and NYSDOH to develop and conduct an evaluation for both community-based project activities as well as the overall STYA initiative in NYS. All awardees will be required to participate in the evaluation process. Please note all proposed programming will be subject to initial and ongoing review by the NYSDOH and COE for appropriateness.

**6. Budget and Staffing Plan (Maximum Score: 20 points)**

Applicants are instructed to complete the budget template in the NYS Grants Gateway. Refer to the Grants Gateway Budget Instructions and STYA Budget Data Entry Guidelines provided in Attachment 10.

*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. ALLOCATION OF PERSONNEL COSTS TO GRANT FUNDS MUST BE PROPORTIONATE ACROSS REVENUE STREAMS.*

The proposed budget should reflect the matching funds requirements. In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant **must** demonstrate the ability to fund at least 3/7<sup>th</sup> of the project’s total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project’s total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%.

The match may be made using local government dollars, private dollars (such as foundation dollars),

or in-kind support. The match may not be comprised of other state or federal grant funds. **This match cannot come from state or federal sources and may not be used as a match on any other grant.** The source(s) of the proposed match must be shown on the Match Worksheet in the Grants Gateway This match must clearly be related to proposed STYA activities. Match dollars may include, but are not limited to the following:

- Personnel costs
- Volunteer and/or staff donated time
- Facility space/estimated and/or actual room rental
- Travel
- Audio visual equipment use
- Other equipment purchased and used to support the project
- Office supplies
- Donated items/incentives from local businesses, organizations or individuals
- Cash match

Complete Year 1 of the budget in the Grants Gateway (Refer to Attachment 10 for Grants Gateway Budget Instructions for completing the online budget) assuming a start date of October 1, 2018.

All costs must be related to the provision of STYA and consistent with the scope of services, reasonable and cost effective. Justification for each cost should be submitted in narrative form. For all existing staff, the Budget Justification must delineate how the percentage of time devoted to this initiative has been determined. Final budgets will be negotiated with successful applicants and are dependent upon the availability of funds.

- List all personal services from the applicant organization/agency, including a Project Director/Coordinator accessible for communications, including by e-mail, who will perform the essential tasks required to administer the project, be the lead in programmatic activities and ultimately responsible for successful completion of the project/contract; and non- personal services related to this project, regardless of funding source. Indicate the funding source for each line item as indicated on the budget forms.
- Include travel expenses for up to two staff to attend an annual two-day provider meeting in Albany, N.Y.
- Expenditures will **not** be allowed for the purchase of major pieces of depreciable equipment (although limited computer/printing equipment may be considered) or for remodeling or modification of structure.
- Non-profit agencies receiving federal funds are eligible to charge their federally approved indirect cost rate (ICR; also known as Facilities & Administrative rate). If utilizing a federal ICR rate, complete Certification of Indirect Costs Certification of Indirect Costs) and upload it to the appropriate Program Specific Question and upload a copy of the current federal rate agreement with it (you must combine all pages into one pdf file for uploading) organizations without a federally-approved indirect cost rate will be limited to no more than 10% of total direct costs. Calculated indirect cost rates will be subject to NYSDOH review and approval. Direct costs may include Personal Service, Fringe Benefits, Space, Program Operations, Travel, Equipment and Other budget costs.
- Funds may be used to ensure cultural sensitivity, for instance, to translate materials to appropriate languages, provide formats that are accessible to those who are visually or

hearing impaired, hiring of bi-lingual staff, and/or as needed to provide wheelchair accessible transportation or interpreters (including sign language).

- Funds may be used to include costs for background checks.
- The initiative will **not** provide funding for other direct clinical/medical services and supplies, including, but not limited to: case management, mental health counseling, health care, crisis intervention, child care or services that are available through other resources. Funds may be used to increase access to these or other community services or supports through referrals.

Applicants' budget requests will be evaluated on: the alignment of the proposed budget with the scope of activities to be conducted (including an appropriate overall staffing pattern); how matching funds and in-kind services indicate an organizational commitment to this project; and a clear and appropriate budget justification for each line item. It is the applicant's responsibility to ensure that all materials 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. The value assigned to each section is an indication of the relative weight that will be given when scoring your application.

Additionally, a budget for Year 1 needs to be completed in the Grants Gateway. This budget must show how the applicant will meet the 75% required match on the total project costs if selected for an award.

Budget Year 1 –October 1, 2018 – September 30, 2019

## **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 & Award Process**

Applications meeting the guidelines set forth above will be reviewed and evaluated competitively by the NYSDOH Division of Family Health, Bureau of Women, Infant and Adolescent Health.

In the event of a tie score, a higher score in Section 4. Description of Project Narrative with Proposed Activities, will break the tie.

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.

Applications failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

It is anticipated that between 20 – 25 awards will be made through this initiative (a total of approximately \$3,500,000 in awarded funds annually) for a five (5) year period contingent upon satisfactory performance and availability of funds.

- Applicants may request an annual award amount between \$100,000 to \$300,000. The requested amount represents the State Share of no more than 4/7th of the projects' total cost and the applicant must demonstrate the ability to fund at least 3/7th of the project's total cost (see RFA Section II. D.)
- The requested funding needs to be consistent with the proposed scope of services, reasonable, and cost effective.
- All applications will be pre-screened to ensure the minimum eligibility requirements are met. Minimum eligibility requirements are listed in Section II.A. Applications that do not meet these minimum requirements will not be reviewed for funding.
- Applications meeting the minimum eligibility criteria will be reviewed and scored by a NYSDOH team of trained reviewers using a standardized review tool developed specifically for this RFA.
- An application **must** have a minimum score of 70 to be considered for funding.
- An applicant **must** propose to provide services in no more than two New York State counties.
- An applicant **must** propose to provide programming to neighborhoods with the highest ASHNI score (Attachment 5) within their proposed county(ies).
- Applications will be ranked per their review score.
- Awards will be made to the highest scoring passing applicants within the limits of the total amount available to support this RFA.
- In the event of a tie, the applicant who scores higher for section 4. Project Narrative, will break the tie.
- The requested funding needs to be consistent with the scope of services proposed and be reasonable and cost effective.
- Applicants will be deemed to fall into one of three categories: (1) not approved (not receiving a passing score), (2) approved but not funded due to resources, and (3) approved and funded. Approved but not funded applications may be funded should additional funds become available.
- 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.

Once an award has been made, applicants 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 Karen Barrett at [styarfa@health.ny.gov](mailto:styarfa@health.ny.gov). In the subject line, please write: *Debriefing request STYA 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>.

## **VI. Attachments**

Please note that certain attachments are 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: Social Security Act Section 510(b)(1) and (b)(2): Definition of Abstinence
- Attachment 2: Statement of Assurances\*
- Attachment 3: The Search Institute Developmental Assets for Children, Ages 8-12
- Attachment 4: Federal Guidance for Religious Programs
- Attachment 5: New York State Adolescent Sexual Health Needs Index (ASHNI)
- Attachment 6: Foundation Resources
- Attachment 7: Mentoring Models and Design Considerations (MENTOR)
- Attachment 8: Types of Mentoring Programs (MENTOR)
- Attachment 9: Workplan Instructions
- Attachment 10: Grants Gateway Budget Instructions & STYA Budget Data Entry Guidelines
- Attachment 11: Vendor Responsibility Attestation\*
- Attachment 12: Minority & Women-Owned Business Enterprise Requirement Forms\*
- Attachment 13: Application Cover Page\*

\*These attachments are located/included in the Pre Submission Upload section of the Grants Gateway on line application.

**Social Security Act Section 510(b)(1) and (b)(2)  
A-H Definition of Abstinence Education**

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(b) (1) The purpose of an allotment under subsection (a) to a State is to enable the State to provide abstinence education, and at the option of the State, where appropriate, mentoring, counseling and adult supervision to promote abstinence from sexual activity, with a focus on those groups which are most likely to bear children out-of-wedlock.

(b) (2) For purposes of this section, the term “abstinence education” means an educational or motivational program which-

- A. Have as its exclusive purpose teaching the social, psychological, and health gains to be realized by abstaining from sexual activity
- B. Teach abstinence from sexual activity outside marriage as the expected standard for all school-age children
- C. Teach that abstinence from sexual activity is the only certain way to avoid out-of-wedlock pregnancy, sexually transmitted diseases, and other associated health problems
- D. Teach that a mutually faithful, monogamous relationship in the context of marriage is the expected standard of sexual activity
- E. Teach that sexual activity outside the context of marriage is likely to have harmful psychological and physical effects
- F. Teach that bearing children out of wedlock is likely to have harmful consequences for the child, the child's parents, and society
- G. Teach young people how to reject sexual advances and how alcohol and drug use increases vulnerability to sexual advances
- H. Teach the importance of attaining self-sufficiency before engaging in sexual activity

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**Source:** Title V, Section 510 (b)(1) and (b)(2)(A-H) of the Social Security Act (P.L. 104-193).

## 40 Developmental Assets® for Middle Childhood (ages 8-12)

Search Institute™ has identified the following building blocks of healthy development—known as **Developmental Assets**®—that help young people grow up healthy, caring, and responsible.



External Assets	Support	<ol style="list-style-type: none"> <li>1. <b>Family support</b>—Family life provides high levels of love and support.</li> <li>2. <b>Positive family communication</b>—Parent(s) and child communicate positively. Child feels comfortable seeking advice and counsel from parent(s).</li> <li>3. <b>Other adult relationships</b>—Child receives support from adults other than her or his parent(s).</li> <li>4. <b>Caring neighborhood</b>—Child experiences caring neighbors.</li> <li>5. <b>Caring school climate</b>—Relationships with teachers and peers provide a caring, encouraging environment.</li> <li>6. <b>Parent involvement in schooling</b>—Parent(s) are actively involved in helping the child succeed in school.</li> </ol>	
	Empowerment	<ol style="list-style-type: none"> <li>7. <b>Community values youth</b>—Child feels valued and appreciated by adults in the community.</li> <li>8. <b>Children as resources</b>—Child is included in decisions at home and in the community.</li> <li>9. <b>Service to others</b>—Child has opportunities to help others in the community.</li> <li>10. <b>Safety</b>—Child feels safe at home, at school, and in his or her neighborhood.</li> </ol>	
	Boundaries & Expectations	<ol style="list-style-type: none"> <li>11. <b>Family boundaries</b>—Family has clear and consistent rules and consequences and monitors the child's whereabouts.</li> <li>12. <b>School boundaries</b>—School provides clear rules and consequences.</li> <li>13. <b>Neighborhood boundaries</b>—Neighbors take responsibility for monitoring the child's behavior.</li> <li>14. <b>Adult role models</b>—Parent(s) and other adults in the child's family, as well as nonfamily adults, model positive, responsible behavior.</li> <li>15. <b>Positive peer influence</b>—Child's closest friends model positive, responsible behavior.</li> <li>16. <b>High expectations</b>—Parent(s) and teachers expect the child to do her or his best at school and in other activities.</li> </ol>	
	Constructive Use of Time	<ol style="list-style-type: none"> <li>17. <b>Creative activities</b>—Child participates in music, art, drama, or creative writing two or more times per week.</li> <li>18. <b>Child programs</b>—Child participates two or more times per week in cocurricular school activities or structured community programs for children.</li> <li>19. <b>Religious community</b>—Child attends religious programs or services one or more times per week.</li> <li>20. <b>Time at home</b>—Child spends some time most days both in high-quality interaction with parents and doing things at home other than watching TV or playing video games.</li> </ol>	
	Internal Assets	Commitment to Learning	<ol style="list-style-type: none"> <li>21. <b>Achievement Motivation</b>—Child is motivated and strives to do well in school.</li> <li>22. <b>Learning Engagement</b>—Child is responsive, attentive, and actively engaged in learning at school and enjoys participating in learning activities outside of school.</li> <li>23. <b>Homework</b>—Child usually hands in homework on time.</li> <li>24. <b>Bonding to school</b>—Child cares about teachers and other adults at school.</li> <li>25. <b>Reading for Pleasure</b>—Child enjoys and engages in reading for fun most days of the week.</li> </ol>
		Positive Values	<ol style="list-style-type: none"> <li>26. <b>Caring</b>—Parent(s) tell the child it is important to help other people.</li> <li>27. <b>Equality and social justice</b>—Parent(s) tell the child it is important to speak up for equal rights for all people.</li> <li>28. <b>Integrity</b>—Parent(s) tell the child it is important to stand up for one's beliefs.</li> <li>29. <b>Honesty</b>—Parent(s) tell the child it is important to tell the truth.</li> <li>30. <b>Responsibility</b>—Parent(s) tell the child it is important to accept personal responsibility for behavior.</li> <li>31. <b>Healthy Lifestyle</b>—Parent(s) tell the child it is important to have good health habits and an understanding of healthy sexuality.</li> </ol>
		Social Competencies	<ol style="list-style-type: none"> <li>32. <b>Planning and decision making</b>—Child thinks about decisions and is usually happy with results of her or his decisions.</li> <li>33. <b>Interpersonal Competence</b>—Child cares about and is affected by other people's feelings, enjoys making friends, and, when frustrated or angry, tries to calm her- or himself.</li> <li>34. <b>Cultural Competence</b>—Child knows and is comfortable with people of different racial, ethnic, and cultural backgrounds and with her or his own cultural identity.</li> <li>35. <b>Resistance skills</b>—Child can stay away from people who are likely to get her or him in trouble and is able to say no to doing wrong or dangerous things.</li> <li>36. <b>Peaceful conflict resolution</b>—Child seeks to resolve conflict nonviolently.</li> </ol>
		Positive Identity	<ol style="list-style-type: none"> <li>37. <b>Personal power</b>—Child feels he or she has some influence over things that happen in her or his life.</li> <li>38. <b>Self-esteem</b>—Child likes and is proud to be the person that he or she is.</li> <li>39. <b>Sense of purpose</b>—Child sometimes thinks about what life means and whether there is a purpose for her or his life.</li> <li>40. <b>Positive view of personal future</b>—Child is optimistic about her or his personal future.</li> </ol>

## GUIDANCE FOR ABSTINENCE PROGRAM GRANTEES THAT IMPLEMENT RELIGIOUS PROGRAMS

### 1. Religious Materials

Eliminate all materials from the presentation of Federally funded program.

This includes:

- Bibles or other books of worship;
- Registration materials that include religious inquiries or references;
- Follow up activities that include or lead to religious outreach; and
- Religious content in materials.

45 CFR 87.2 © ( “If an organization conducts [inherently religious ] activities, the activities must be offered separately, in time or location, from the programs or services funded with direct financial assistance from the Department ... “). 69 Fed. Reg 42586, 42593 (2004).

### 2. Separate and Distinct Programs

Any program with religious content must be a separate and distinct program from the Federally funded program, and the distinction must be completely clear to the consumer. Some of the ways in which this may be accomplished include, but are not limited to, the following examples:

- Creating separate and distinct names for programs;
- Creating separate and distinct looks for the promotional materials used to promote each program; and
- Promoting *only* the Federally funded program in materials, websites, or commercials purchased with *any portion* of the Federal funds.

Note: If an organization offers both a Federally funded program and a religious program that provide the same social service, or the clients served are children, it is important that the separation between the programs be accentuated.

45 CFR 87.2 ©. (“Organizations that receive direct financial assistance from the Department under any Department program may not engage in inherently religious activities, such as a worship, religious instruction, or proselytization, as part of the programs or services funded with direct financial assistance from the Department.”) 69 Fed. Reg. 42586, 42593 (2004).

### 3. Separate Presentations

Completely separate the presentation of any program with religious content from the presentation of the Federally funded program by time or location in *such a way that it is clear that the two programs are separate and distinct*. If separating the two programs by time but presenting them in the same location, one program must *completely* end before the other program begins. Some of the ways in which separation of presentations may be accomplished include, but are not limited to, the following examples:



Adolescent Sexual Health Needs Index (ASHNI)

ZIP Code	ASHNI	ZIP Code	ASHNI	ZIP Code	ASHNI	ZIP Code	ASHNI	ZIP Code	ASHNI	ZIP Code	ASHNI	ZIP Code	ASHNI
ALBANY		ALLEGANY		BRONX		BROOME		CAYUGA		CHAUTAUQUA		CHENANGO	
12007	0	14060	0	10458	562	13862	8	13021	83	14767	4	13780	2
12009	9	14708	0	10459	412	13865	12	13026	6	14769	2	13801	2
12023	3	14709	2	10460	482	13901	94	13033	6	14775	5	13809	3
12041	1	14711	3	10461	79	13903	39	13034	3	14781	5	13815	32
12046	1	14714	1	10462	231	13904	21	13071	2	14782	6	13830	9
12047	41	14715	4	10463	134	13905	81	13081	2	14784	2	13832	1
12054	15	14717	0	10464	3	CATTARAUGUS		13092	4	14787	10	13841	1
12059	2	14721	0	10465	77	14041	1	13111	4	CHEMUNG		13844	1
12067	2	14727	5	10466	462	14042	7	13118	9	14814	3	CLINTON	
12077	10	14735	5	10467	475	14065	3	13140	11	14816	1	12901	68
12084	3	14739	6	10468	446	14070	7	13147	2	14825	3	12903	1
12110	42	14744	5	10469	266	14101	2	13156	3	14838	4	12910	3
12120	1	14754	1	10470	32	14129	2	13160	4	14845	34	12912	3
12143	12	14770	3	10471	25	14138	5	13166	12	14861	3	12918	3
12147	1	14777	1	10472	403	14171	4	CHAUTAUQUA		14864	4	12919	5
12158	6	14802	12	10473	414	14706	19	14048	57	14871	11	12921	4
12159	7	14803	1	10474	100	14719	7	14062	6	14872	4	12923	1
12183	3	14804	2	10475	143	14726	5	14063	49	14889	4	12924	1
12186	7	14806	3	BROOME		14729	2	14136	10	14894	4	12934	2
12189	34	14813	4	13744	1	14731	2	14701	136	14901	113	12935	3
12193	2	14822	2	13746	4	14737	9	14710	6	14903	18	12952	1
12202	73	14880	2	13748	6	14738	5	14712	4	14904	73	12955	1
12203	60	14884	0	13754	6	14741	2	14716	9	14905	22	12958	3
12204	19	14895	16	13760	80	14743	3	14718	6	CHENANGO		12959	2
12205	41	14897	2	13777	2	14748	3	14723	4	13124	0	12962	6
12206	305	BRONX		13787	7	14753	2	14724	5	13136	2	12972	8
12207	21	10451	373	13790	38	14755	5	14728	1	13155	1	12978	0
12208	30	10452	564	13795	6	14760	41	14733	10	13411	5	12979	3
12209	32	10453	657	13797	3	14772	9	14736	1	13460	7	12981	8
12210	46	10454	326	13802	1	14779	20	14740	2	13464	2	12985	1
12211	12	10455	328	13813	2			14747	5	13730	5	12992	9
12303	78	10456	774	13833	6			14750	7	13733	8		
12469	1	10457	599	13850	20			14757	6	13778	9		













Adolescent Sexual Health Needs Index (ASHNI)

ZIP Code	ASHNI	ZIP Code	ASHNI
WESTCHESTER		WYOMING	
10605	13	14569	8
10606	31	14591	3
10607	7	YATES	
10701	276	14415	0
10703	49	14418	2
10704	31	14441	1
10705	140	14478	6
10706	7	14507	2
10707	6	14527	17
10708	16	14544	3
10709	5	14837	11
10710	21	14842	1
10801	129		
10803	10		
10804	8		
10805	33		
WYOMING			
14009	8		
14011	11		
14024	3		
14037	1		
14039	0		
14066	3		
14082	1		
14113	1		
14145	2		
14167	2		
14427	3		
14530	9		
14536	1		
14550	2		



### **Resources for Matching Funds**

For the STYA initiative, the applicant must demonstrate the ability to fund at least 75% of the project's total cost. The match may be made using local government dollars, private dollars (such as foundation dollars) or in-kind support. The match may not be comprised of other state or federal grant funds.

Foundations are a legal category of nonprofit organizations that will typically either donate funds and support to other organizations, or provide the source of funding for its own charitable purposes. STYA applicants are encouraged to seek foundation funds to assist with the matching funds mandate. Below is a list of on-line resources that an applicant may use to help assist them with finding foundations. Applicants are encouraged to seek out and obtain funding from existing foundations that support youth development programs in accordance with the STYA initiative within their geographic catchment area.

**Community Foundation Locator**, Council on Foundations (<http://www.cof.org/Locator/index.cfm?crumb=2>)  
Community foundations have special interest in funding local and community projects.

**Grants Resources by State**, Grantsmanship Center (<http://www.tgci.com/>) Click on state map to find links to information about a state's foundations, community foundations, corporate giving programs and the state's home page. Full access requires subscription.

**The Foundation Center** ([http://search.foundationcenter.org/#/search/youth programs/3/0/Geography/New York](http://search.foundationcenter.org/#/search/youth%20programs/3/0/Geography/New%20York))  
The Foundation Center maintains a comprehensive database on foundations; produces print and electronic directories and guides; conducts research and publishes studies in the field; and offers a variety of training and educational seminars. Subscription Required.

**New York City Youth Funders** <http://www.nycyouthfunders.org> New York City Youth Funders (NYCYF) is a coalition of philanthropic organizations seeking to improve the quality of life for young people living in New York City.

**The Western New York Foundation** (<http://www.wnyfoundation.org>) The Western New York Foundation, incorporated in 1951, makes grants in the seven counties of Western New York State: Erie, Niagara, Genesee, Wyoming, Allegany, Cattaraugus, and Chautauqua.

## Mentoring Models and Design Considerations

### **Traditional Mentoring Model**

The traditional mentoring model pairs one adult with one young person. Mentors serve as role models, providing their mentees with an experienced friend who provides guidance to and teaches the child while expanding the child's viewpoint. The goal of this relationship is for the adult to help shape the youth's future for the better by empowering the child to achieve. Several different approaches can be used to facilitate the creation of traditional mentoring relationships:

#### Agency-facilitated Mentors

Under this model, a community-based organization assumes responsibility for recruiting, matching, orienting and supporting youth and adults who will participate in the mentoring program.

#### School-based Teacher Mentors

Teachers may become nurturing, informal mentors by virtue of the nature of their positions and interactions with youth within the school environment (e.g., athletic coaches, drama teachers, etc.). This mentoring model formalizes this approach by matching youth with teachers and other adult school-based personnel with skills and experience working with youth who work in the schools they attend. The model promotes the pairing of these professional adults as mentors to youth in the school setting, the environment where youth spend much of their time. The mentoring can occur before, during and after the school day.

#### Neighborhood (or Natural) Mentors

This program model, also called "natural mentors," enables youth to self-select and negotiate a mentoring relationship from among adults who they admire in their daily lives. The National Guard Youth Challenge Program web site provides guidance to youth for self-selecting an adult mentor from among family members, family friends, neighbors, sports team personnel, community leaders, or personnel from school, church or faith communities, local recreation and youth programs and police and fire departments.

#### Service-Learning Mentors

The service-learning model enables youth to participate in a sustained community-based activity designed to bring them into contact with caring adults. The community service activities combine specific educational purposes with the aim of benefiting others. According to the National Service-Learning Clearinghouse, service learning is a "teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility and strengthen communities." Optimally, service-learning programs create mentor-rich environments where adults connected with a service organization or service activities interact with youth on a regular basis. Mentoring often occurs naturally, as adults work closely with and provide guidance to youth. Program staff encourages and supports both adults and youth to form mentoring relationships.

#### Small Group and Team Mentoring

Small group mentoring pairs one adult with as many as four young people. Team mentoring involves several adults working with small groups of young people where the adult-to-youth ratio is not greater than one to four. Group mentoring is more complex than one-to-one mentoring because it entails the multiple interactions. When skillfully managed, the group interactions are a productive part of the mentoring experience. Team mentoring can make it possible for adults who are unable to commit to a fixed schedule to serve as mentors. However,

## **Mentoring Models and Design Considerations**

care must be taken to avoid superficial relationships when mentors are not regularly present.

**Note:** On-line or e-mentoring and peer mentoring are not allowable options for this initiative.

### **Mentoring Program Design**

The publication “How to Build A Successful Mentoring Program Using the *Elements of Effective Practice for Mentoring*” developed by MENTOR (see

[http://www.mentoring.org/downloads/mentoring\\_413.pdf](http://www.mentoring.org/downloads/mentoring_413.pdf)) presents an informational overview of traditional one-on-one, group and team mentoring. This document also includes comprehensive guidelines for designing and planning, managing, operating and evaluating mentoring programs.

Note: E-mentoring and peer monitoring models, which are included in this summary, are not eligible for funding through this RFA.

The *Elements of Effective Practice for Mentoring*, describes six components, based on quality mentoring research policies and practices that should be included when planning and designing an effective mentoring program. These elements include mentor and mentee recruitment, mentor screening, mentor training, matching, monitoring and support, and closure (see [http://www.mentoring.org/downloads/mentoring\\_1222.pdf](http://www.mentoring.org/downloads/mentoring_1222.pdf)).

### **Longevity of Mentoring Relationships**

Longer term mentoring relationships of a year or more are associated with higher benefits to youth than shorter-term relationships; therefore, mentors recruited through this program should be asked to make at least a year-long commitment. Consequently, it is critical that caution be exercised when selecting, screening, training, and monitoring mentors. Studies have shown that youth who are left by their mentor within a short period fare worse than those who were never matched with mentors (Grossman, J. B., & Rhodes, J. E. (2002). The test of time: Predictors and effects of duration in youth mentoring relationships. *American Journal of Community Psychology*, 30(2), 199–219.).

College students may present a challenge as potential long-term mentors because their ability to commit to a consistent mentoring relationship may be adversely affected by such factors as academic and vacation schedules, lack of availability, and their own developmental stages. However, they can play an important supporting role in a mentoring program by providing mentored youth with a first-hand view of the college experience, academic assistance and/or service opportunities.

### **Mentor Stipends or Vendor Discounts**

Many mentoring programs rely on volunteer mentors who assume all the costs associated with this role. Assisting with these costs may be a helpful incentive in recruiting and maintaining mentors. Therefore, projects have the option of reimbursing mentors for reasonable receipted costs incurred for the mentored youth during mentoring activities. Projects, which opt for this alternative, should develop guidelines and reimbursement policies and limits for selected activities. In addition, as part of community engagement activities, the sponsoring organization can request free or discounted passes or tickets to a variety of activities including athletic or cultural events, movie theatres, youth sports facilities, or restaurants for use by mentors.

## INFORMATIONAL OVERVIEW OF TYPES OF MENTORING PROGRAMS

Source: Adapted from *Mentoring School Age Children* (1999) by Public/Private Ventures and MENTOR/National Mentoring Partnership, *Understanding Mentoring Relationships* (1992) by the Search Institute, *Elements of Effective Practice*, second edition (2003), MENTOR/National Mentoring Partnership, and The Connecticut Mentoring Partnership, *Business Guide to Youth Mentoring*

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
<b>DESCRIPTION</b>	One adult to one young person.	Several adults working with small groups of young people, in which the adult-to-youth ratio is not greater than 1:4.	One adult to up to four young people.
<b>WHERE MENTORING TAKES PLACE</b>	<p><b>Agency-based:</b> At a community agency, typically an after-school program, Boys and Girls Club, etc.</p> <p><b>Community-based:</b> The mentor and mentee can meet anywhere, including attending events, going to museums, etc. This is typical of the Big Brothers Big Sisters model.</p> <p><b>Faith-based:</b> Mentoring pairs usually meet in a house of worship or adjoining building. (Please see Attachment 8.)</p> <p><b>Online:</b> E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet.</p> <p><b>School-based:</b> At the mentee’s school (elementary, middle, high school), on school grounds, in full view of school officials. Mentors and mentees should have a designated meeting place within the building and/or use of school facilities (open classroom, computer lab, gym, art room, library) if available.</p> <p><b>Workplace-based:</b> At the mentor’s workplace. Students are typically bussed to the site. Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place</p>	<p><b>Agency-based:</b> At a community agency, typically an after-school program, Boys and Girls Club, etc.</p> <p><b>Community-based:</b> The mentors and mentees can meet anywhere, attend events, go to museums, etc. This is typical of the Big Brothers Big Sisters model.</p> <p><b>Faith-based:</b> Mentoring teams usually meet in a house of worship or adjoining building.</p> <p><b>Online:</b> E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet.</p> <p><b>School-based:</b> At the mentees’ school (elementary, middle, high school), on school grounds, in full view of school officials. Mentors and mentees should have a designated meeting place within the building and/or use of school facilities (open classroom, computer lab, gym, art room, library) if available.</p> <p><b>Workplace-based:</b> At the mentors’ workplace. Students are typically bussed to the site.</p>	<p><b>Agency-based:</b> At a community agency, typically an after-school program, Boys and Girls Club, etc.</p> <p><b>Community-based:</b> The mentor and mentees can meet anywhere, attend events, go to museums, etc.</p> <p><b>Faith-based:</b> Mentoring groups usually meet in a house of worship or adjoining building.</p> <p><b>Online:</b> E-mentoring—also known as online mentoring, telementoring, or teletutoring—is a mentoring relationship that is conducted via the Internet.</p> <p><b>School-based:</b> At the mentees’ school (elementary, middle, high school), on school grounds, in full view of school officials. Mentor and mentees should have a designated meeting place within the building and/or use of school facilities</p>

	<b>TRADITIONAL ONE-TO-ONE</b>	<b>TEAM MENTORING</b>	<b>GROUP MENTORING</b>
	at the workplace.		
<b>WHERE MENTORING TAKES PLACE (CONT.)</b>		Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place at the workplace.	(open classroom, computer lab, gym, art room, library) if available.  <b>Workplace-based:</b> At the mentors' workplace. Students are typically bussed to the site. Either the school district or the company may pay for the bus. Mentors and mentees should have a designated meeting place at the workplace.
<b>SELECTION OF MENTEES</b>	<p>School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program.</p> <p>Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties).</p> <p>However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program.</p> <p>Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.</p>	<p>School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program.</p> <p>Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties).</p> <p>However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program.</p> <p>Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.</p>	<p>School/agency or mentoring program personnel determine criteria for selecting youth to participate in the program.</p> <p>Criteria should be aligned with goals of the program (e.g., if a goal is to improve academics, selected students would have reading or other academic difficulties).</p> <p>However, it is important to select a cross-section of youth so the program can reach a wide range of students while also reducing any perceived stigma attached to participation in the program.</p> <p>Referrals for youth participation should be solicited from teachers, guidance counselors, student assistance team members, youth workers, parents/guardians, etc.</p>
<b>PARENT/GUARDIAN PERMISSION</b>	Parent/Guardian permission is required for participation in the program.	Parent/Guardian permission is required for participation in the program.	Parent/Guardian permission is required for participation in the program.

	<b>TRADITIONAL ONE-TO-ONE</b>	<b>TEAM MENTORING</b>	<b>GROUP MENTORING</b>
<b>RECRUITMENT OF MENTORS</b>	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.	Promote the program via a marketing campaign, posters, community presentations, intranet, etc. A recruitment session is held to provide more information. Application forms and a training schedule are available at this session.
<b>MENTOR SCREENING</b>	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records, may also be used.	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as child abuse and sexual offender registries and motor vehicle records, may also be used.	All mentors must undergo a comprehensive screening process. The screening should include completion of an application, personal interview, personal and professional reference checks and criminal background checks. Other checks, such as of child abuse and sexual offender registries and motor vehicle records, may also be used.
<b>MENTOR TRAINING AND SUPPORT</b>	All mentors must complete training to prepare them to work with their mentees. Ongoing training of mentors should be provided throughout the year to assist mentors with issues and concerns that may come up throughout the course of their relationship.  Supervision should occur at least monthly and support sessions should be offered every 8–10 weeks.	All mentors must complete training to prepare them to work with their mentees. Ongoing training of mentors should be provided throughout the year to assist mentors with issues and concerns that may come up throughout the course of their relationship.  Supervision should occur at least monthly and support sessions should be offered every 8–10 weeks.	Same as One-to-One. Group mentors may also receive additional training related to working with students in a group and specific career-oriented content.
<b>OVERVIEW OF PROGRAM PROCESSES</b>	The application, screening and matching are extensive and comprehensive.  Training is essential.  Matching, support and supervision are essential.	The application, screening and matching are extensive and comprehensive.  Training is essential.	The application, screening and matching are extensive and comprehensive.  Training is essential.
<b>Program Processes to include screening, training and ongoing support</b>	All	All	All
<b>MENTOR</b>	At a minimum, mentors and mentees should meet regularly at	The relationship is long term and involves frequent contact (at	Mentor makes a long-term commitment to meet regularly

	<b>TRADITIONAL ONE-TO-ONE</b>	<b>TEAM MENTORING</b>	<b>GROUP MENTORING</b>
<b>COMMITMENT</b>	<p>least four hours per month for at least a year. There are exceptions, such as school-based mentoring, which coincide with the school year, and other types of special mentoring initiatives. In such special circumstances, mentees need to know from the outset how long they can expect the relationship to last so they can adjust their expectations accordingly.</p> <p>In school programs, the mentor commits to one school year (ideally October through May). Mentors should be asked at the end of the school year if they would like to continue mentoring during the next school year. Continuity from year to year is desirable wherever possible.</p>	least two to four hours every week).	with the group as a leader or co-leader.
<b>NATURE OF RELATIONSHIP</b>	Focus can be social, career, employability skills and/or academic.	Most of the interaction is guided by the session structure, which includes time for personal sharing and team activities.	Most of the interaction is guided by the session structure, which includes time for personal sharing and group activities.
<b>MEETING TIMES</b>	<b><u>School-based, Agency-based:</u></b> Mentors meet with mentees for one hour per week throughout the school year. Time may be set by the school/agency or be variable.	Mentors and mentees meet at a set time each week.	Mentor and mentees meet at a set time each week.

	TRADITIONAL ONE-TO-ONE	TEAM MENTORING	GROUP MENTORING
MEETING TIMES (CONT.)	<p><b>Workplace-based:</b> Because of bussing and other logistics, mentees will usually come all at once at a specific day and time each week. The actual mentoring period is 45 minutes to an hour.</p> <p><i>Note: Meeting times vary according to program; some meet weekly or bi-weekly.</i></p>		
ACTIVITIES	<p>Activities vary. Pairs do everyday things and just hang out together.</p> <p><b><i>Elementary School:</i></b> Mentoring typically focuses on activities that promote character development, academic success and reading ability.</p> <p><b><i>Middle School:</i></b> Mentoring activities continue to promote character development and academic success and begin to introduce a career development focus.</p> <p><b><i>High School:</i></b> Mentoring activities continue to focus on character development and academic success and emphasize school-to-career preparation.</p> <p><i>Note: Activity books for mentors at all grade levels are available through the Mentor Consulting Group at <a href="http://www.mentorconsultinggroup.com">www.mentorconsultinggroup.com</a>.</i></p>	Mentors are encouraged to do everyday things with mentees.	<p>Specific activities may or may not be outlined by the program.</p> <p>Group activities work well under this format to build a sense of community and supervise mentoring relationships.</p> <p>Group mentoring tends to be more formal and often involves predetermined activities in which the group participates.</p> <p>These activities often have a specific focus such as community service or career development.</p>
EFFECT ON MENTOR	Mentors feel satisfaction in doing something worthwhile, having fun, and building a good friendship.	Time with children, team structure, and training are all seen as beneficial and meaningful.	Time with children, group structure, and training are all seen as beneficial and meaningful.
SITE OR COMMUNITY BASED	Both	Both	Both
STAFFING	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she	Each program should have an assigned coordinator who conducts mentor recruitment, screening and training. He or she



	<b>TRADITIONAL ONE-TO-ONE</b>	<b>TEAM MENTORING</b>	<b>GROUP MENTORING</b>
<b>STAFFING (CONT.)</b>	<p>provides ongoing support and supervision to mentors and mentees.</p> <p>Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.</p>	<p>provides ongoing support and supervision to mentors and mentees.</p> <p>Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.</p>	<p>provides ongoing support and supervision to mentors and mentees.</p> <p>Each participating school or business should have a coordinator to serve as the liaison between the school/agency and the mentors from the business. He or she also conducts the program evaluation and supports and recognizes mentors.</p>

\* Long-term mentor commitment = requires at least one year of commitment; Short-term mentor commitment = requires less than one year of commitment

**Note: On-line e-mentoring and peer mentoring are not allowable options under this initiative.**

## ATTACHMENT 9 – WORK PLAN STANDARDS AND INSTRUCTIONS FOR PERFORMANCE MEASURES

**PROJECT NAME:** Successfully Transitioning Youth to Adolescence

**CONTRACTOR SFS PAYEE NAME:**

**CONTRACT PERIOD:** From: November 1, 2018

To: October 31, 2023

### Project Summary:

**Insert the following Project Summary in the Grants Gateway:**

The Successfully Transitioning Youth to Adolescence (STYA) Initiative, will develop, enhance and/or expand prevention programs aimed at delaying the onset of adolescent sexual activity and decreasing the incidence of adolescent pregnancy and childbearing through the implementation of strategies that build protective factors to promote the optimal transition of youth ages 9-12 living in priority communities, from middle childhood to adolescence fostering a transition to a healthy, productive, connected young adulthood. The STYA initiative will support and enhance children and adolescents’ social-emotional development and relationships, reduce racial, ethnic, economic and geographic disparities while promoting health equity within the selected populations and communities.

### Instructions:

This RFA has a Grant Opportunity Defined Work Plan set in the Grants Gateway. The Objectives and Tasks cannot be removed from the Work Plan. The applicant will adhere to the implementation of Work Plan activities per the standardized Work Plan.

Applicants are instructed to insert **only** the performance measures as they are listed for each objective and task(s) in the attached work plan. If the applicant is only choosing one Component 1 activity (Component 1A or Component 1B), they may enter in “N/A” for the performance measures for the corresponding task/activity.

For the Grants Gateway Work Plan Project Summary, applicants are instructed to insert the Project Summary as it is listed in the text box above. 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 into these areas will not be considered. The standardized Work Plan will not be scored by reviewers of your application.

**ATTACHMENT 9 – WORK PLAN STANDARDS AND INSTRUCTIONS FOR PERFORMANCE MEASURES**

<b>Successfully Transitioning Youth to Adolescence</b>			
<b>Objective</b>	<b>Budget Category</b>	<b>Tasks (Activities)</b>	<b>Performance Measures</b>
<b>Component 1(A)</b> Provide individual, small group and/or team mentoring and counseling for preteen youth.	N/A	1. Applicant will select a specific mentoring model (traditional, small groups and/or team mentoring) whereby caring adult individuals offer guidance, support and encouragement aimed at developing competence and character of the mentee.	1a. A justified rationale for the model selected is provided 1b. The six elements of an effective mentoring program: Recruitment; Screening; Training; Matching; Monitoring and Support; and Closure will be utilized. 1c. Mentoring relationship will be at least one year in duration. 1d. Evaluation tools and reports requested by DOH are complete and submitted in a timely manner.

**ATTACHMENT 9 – WORK PLAN STANDARDS AND INSTRUCTIONS FOR PERFORMANCE MEASURES**

<b>Successfully Transitioning Youth to Adolescence</b>			
<b>Objective</b>	<b>Budget Category</b>	<b>Tasks (Activities)</b>	<b>Performance Measures</b>
<p><b>Component 1(B)</b> Provide adult-supervised activities that create educational, recreational, or vocational opportunities for preteen youth.</p>		<p>1. Implement activities framed in a youth-development philosophy that stimulate cognitive, social, physical and/or emotional growth and provide a context for productive relationship building between adults and youth and among youth.</p>	<p>1a. Youth will be exposed to at least 14 hours of programming, annually                      1b. Activities are framed in a youth-development                      1c. Youth build on their strengths and assets and shape their ideas about and aspirations for the future.                      1d. Activities provide alternatives to and demonstrate the advantages of postponing sexual activity and promote the development of a skill that can support a successful transition into healthy young adulthood.                      1e. Orientation and training for volunteers working with youth is developed and implemented.                      1f. Evaluation tools and reports requested by DOH are complete and submitted in a timely manner.</p>

**ATTACHMENT 9 – WORK PLAN STANDARDS AND INSTRUCTIONS FOR PERFORMANCE MEASURES**

<b>Successfully Transitioning Youth to Adolescence</b>			
<b>Objective</b>	<b>Budget Category</b>	<b>Tasks (Activities)</b>	<b>Performance Measures</b>
<p><b>Component 2:</b> Provide adult-led group sessions designed to encourage in-depth discussion of topics of concern among preteen youth.</p>	N/A	<p>1. Provide young people with opportunities to talk with caring adults about situations and experiences, choices, challenges and opportunities and ensure that the discussions create an opportunity for youth to go through a problem-solving process where they discuss decision-making around topics of concern</p>	<p>1a. Adult led discussion groups have approximately 6-8 youth.                      1b. Discussion activities are separate and distinct from Component 1A mentoring discussion activities.                      1c. Orientation and training for volunteers working with youth are developed and implemented.                      1d. Youth involved in activities will be exposed to at least 14 hours of programming, annually.                      1e. Evaluation tools and reports requested by DOH are complete and submitted in a timely manner.</p>

**ATTACHMENT 9 – WORK PLAN STANDARDS AND INSTRUCTIONS FOR PERFORMANCE MEASURES**

<b>Successfully Transitioning Youth to Adolescence</b>			
<b>Objective</b>	<b>Budget Category</b>	<b>Tasks (Activities)</b>	<b>Performance Measures</b>
<b>Component 3</b> Provide parenting education to parents, guardians and other adult caregivers of preteen youth.	N/A	1. Incorporate education for parents, caregivers, and other adults in the community in order to provide improved knowledge and communication skills related to adolescent sexual health and risky behaviors	1a. Venues are to enhance and strengthen the communication and supervision skills of parents, guardians and other caregivers in locations such as schools, the workplace and other community-based settings. 1b. Number of workshops conducted with parents alone and/or with parents together with children. 1c. Evaluation tools and reports requested by DOH are complete and submitted in a timely manner.

**ATTACHMENT 10**  
**Grants Gateway Budget Instructions**  
***Applications OR New Budget Periods***

**Data Entry of the Expenditure Budget** - A step by step data entry document titled “**Grants Gateway Budget Data Entry Guidelines**” has been provided in Pre-Submission Uploads located in the Forms Menu.

- It may be beneficial to use this document as a guide for drafting the budget off-line prior to completing the Expenditure Budget in the Grants Gateway.
- The data entry document highlights the character limits for each field of the Expenditure Budget. Character limits are based on all characters including spaces.

**Funding Opportunity Specification** – The following specifications should be adhered to when completing the expenditure based budget. 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 budget entered online in Grants Gateway under the Narrative section 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, reasonable, and cost effective.
- Contracted organizations must have on file documentation 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 required fields must be completed. Failure to complete required fields will result in a global error message which must be resolved prior to submission.
- Failure to provide complete, clear, and concise information may result in a reduced score.
- 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.
- Expenditures will not be allowed for the purchase of major pieces of depreciable equipment (although limited computer/printing equipment may be considered) or for remodeling or modification of structure.
- 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 negatively impact the application score and/or 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.
- A “match” contribution is required for this grant award. Please enter the Match information in the Grants Gateway budget section. Please note the applicant must demonstrate the ability to fund at least 3/7th of the project’s total cost. In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant **must** demonstrate the ability to fund at least 3/7th of the project’s total cost while the NYSDOH will fund no more than 4/7th of the project’s total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%.
- The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.
- For fields titled “Other Funds” always leave blank.
- For Grantees receiving an award - Upon execution of the contract a full agency budget including other funds that support the program will be required within 30 days of execution. Failure to complete any required budget forms will result in a delay in processing payments.
- **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.
  - OCS 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 Suppart E - Basic Considerations: [http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rtn=div5#sg2.1.200\\_1401.sg12](http://www.ecfr.gov/cgi-bin/text-idx?SID=1728c16d0aca3b9aabb3c25d38d5483&mc=true&node=pt2.1.200&rtn=div5#sg2.1.200_1401.sg12)



**Grants Gateway Budget Data Entry  
Guidelines**

\* An asterisk has been placed next to specific budget categories which require that additional information be provided. Refer to "Grants Gateway Budget Instructions" under the section Required Uploads.

<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
Personal Services - Salary		<b>* Refer to Grants Gateway Budget Instructions document for additional information. In the Salary section only include staff positions related to the implementation and administration of the project. ONLY staff that are employees of the applicant organization are to be included here. All other staff should be listed under Contractual Services. If Salary is not applicable, leave this section blank.</b>
Position/Title	55	Provide the position title and employee name , if known. TBH should be entered in place of the employee name if the position is vacant at the time of budget submission.
Role/Responsibility	500	Provide a brief narrative of how the position will contribute directly to this project, Include the percent of time the incumbent will work on the program on a full-time basis. One (1.0) FTE is based on the number of hours worked in one week (e.g. 40-hour workweek). To determine a % FTE, divide the hours per week spent on the project, by the number of hours in the workweek. For example: given a 40-hour workweek, an individual working 10 hours per week on the project spends 25 percent of his/her time on the project (i.e. 10/40 = .25) Please show in percentage form - 25%. If TBH, also provide the anticipated start date for this position.
# in Title	N/A	Always enter the number 1. A separate position should be added for "each" position on the contract.
Annualized Salary Per Position	N/A	Enter the annual salary the organization will pay this employee. This figure should NOT be adjusted if a portion of the salary will be paid with other funds. Percentage of time supported with "other funds" should be entered in the PS narrative.
STD Work Week (hrs.)	N/A	Enter the standard (STD) hours worked each week by the employee. This figure should NOT be adjusted for hours paid with other funds.
% Funded	N/A	Enter only the percent of time this position is supported with grant funds.Do NOT include any percentage of time supported by other fund sources. Total grant funding requested divided by annual salary.
# Months Funded	N/A	Enter the estimated number of months this position will work on this grant. If TBH, enter the number of months based upon the anticipated start date.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this position on the project. (Annual Salary / 12 Months x # Months Funded x % Funded).
Total Match Funds	N/A	Enter Match funds if any
Match %	N/A	Enter percentage of match funds
Total Other Funds		Always leave blank.
> Personal Services - Salary Narrative	<b>4000</b>	<b>Program Specific Instructions / Requirements</b>  In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7 <sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7 <sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b>
Personal Services - Fringe*		<b>Fringe Benefits should be budgeted in line with your organization's Standard Fringe Benefit Policy and/or Negotiated Bargaining Agreements. If Fringe is not applicable, leave this section blank.</b>
Type/Description	125	Provide the requested fringe rate.
Justification	1000	Provide all fringe benefit components included in the calculation of the fringe benefit rate. Show breakdown of fringe benefit rate into component percentages. If additional space is needed enter details in the PS - Fringe Narrative
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any
Total Other Funds	N/A	Enter percentage of match funds.

**Grants Gateway Budget Data Entry  
Guidelines**

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<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
> Personal Services - Fringe Narrative	4000	<p><b>Program Specific Instructions / Requirements</b>            If additional space is needed from the justification section, specify here, the components (FICA, Health and Life Insurance, Unemployment Insurance, Disability Insurance, Worker's Compensation, and Retirement) and their percentages comprising the fringe benefit rate. If different rates are used for different positions, provide details for each rate in the space provided and specify which positions are subject to that rate.</p> <p>In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
Non Personal Services		Non Personal Service expenses. For each Non Personal Service expense not supported by grant funds, the applicant should include a description in the appropriate NPS Narrative section. For example if you contract with a Pharmacist using other funds you would list under the Contractual Narrative - Pharmacist \$25/hour for 20/hours total cost \$500.00.
Contractual*		<p>* Refer to Grants Gateway Budget Instructions document for additional information.</p> <p>This category should be used to budget for specific services which cannot be accomplished by existing staff as well as for any services/expenses which will be provided by a subcontractor. Include expenses such as contracted staff, per diem staff, bookkeeping, payroll and audit services. Include the time frame for the delivery of services. Contractors may be required to submit subcontracts to the Department for review and approval prior to execution of the subcontract. The contractor remains fully responsible for all work performed by the subcontractor. ALL related expenses are to be budgeted under this section (any non-personal service costs to include travel) associated with the staff/organizations allocated to CS. If Contractual Services are not applicable, leave this section blank.</p>
Type/Description	125	Provide the name of the organization, company or individual and the type of service being provided. If not known, enter TBH in place of the name of the organization, company or individual. (i.e. Pharmacist - TBH)
Justification	1000	Describe how this expense supports the work plan objectives of the project. Include the timeframe for delivery of services.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.
> Contractual Narrative	4000	<p>In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>

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Guidelines**

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<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
Travel*		* Refer to funding opportunity and/or Grants Gateway Budget Instructions document for additional information. Itemized travel estimates should be based on the lesser of the written policy of the organization, the Office of State Comptroller (OSC) guidelines, or the United States General Services Administration (USGSA) rates. Out-of-State travel requires <u>prior</u> approval by the State. Travel expenses associated with any Subcontractor, Consultant, or Vendor, must be included in the Contractual Services budget line. If Travel is not applicable, leave this section blank.
Type/Description	125	Provide the type of travel. A separate entry should be completed for each category of travel (i.e. Client, Staff Travel, In-State, or Out-of-State).
Justification	1000	Describe how this expense supports the work plan objectives of the project, include the title of the position(s) traveling.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.
> Travel Narrative	4000	<b>Program Specific Instructions / Requirements</b> In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7 <sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7 <sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b>
Equipment		* Refer to funding opportunity and/or Grants Gateway Budget Instructions document for additional information. This section is used to itemize both purchased and rental equipment costs. Equipment is defined as items such as computers, printers, phones, apparatus or fixed asset (other than land or a building) that are tangible personal property having a useful life of more than one year and a purchase price equal or exceeding \$5,000. These items must be inventoried (tagged) and included on the annual equipment inventory form. This also includes a grouping of like items which equals or exceeds \$5,000. Item(s) not falling under this definition should be included under Operating Expenses. If Equipment is not applicable, leave this section blank.
Type/Description	125	Provide the type of equipment and the quantity to be purchased or rented. (i.e. 3 Desk Top PCs)
Justification	1000	Provide the names of the staff that will be using the equipment and provide the calculation used to determine the allocation of this expense to the project. Reminder: staff % Funded (time and effort) must be taken into consideration when determining the appropriate allocation of the expense to the project.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.

**Grants Gateway Budget Data Entry**  
**Guidelines**

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<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
> Equipment Narrative	4000	<p><b>Program Specific Instructions / Requirements</b>            In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>. The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
Space/Property: Rent		This section is used to itemize costs associated with Space/Property: Rent. A separate entry will be required if more than one instance of rental property is needed. If Space/Property: Rent is not applicable, leave this section blank. The expenses included are rent, maintenance, and insurance (property and liability). Occupancy costs must include square foot value of space and total square footage along with methodology used to determine expense.
Type/Description	125	Provide the physical address of the rental property.
Justification	1000	Provide details such as which project(s) operate(s) out of the space, and provide the calculation used to determine the allocation of this expense to the project.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.
> Space/Property: Rent Narrative	4000	<p><b>Program Specific Instructions / Requirements</b>            In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. <b>. The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
Space/Property: Own		This section is used to itemize costs associated with Space/Property: . If Space/Property: Own is not applicable, leave this section blank. The expenses included are, maintenance, insurance (property and liability). Demonstrate how the total expense being allocated to this program is calculated. Provide the allocation methodology and percent. Occupancy costs must include square foot value of space and total square footage along with methodology used to determine expense.
Type/Description	125	Provide the physical address of the property that is owned.
Justification	1000	Provide details such as which project(s) operate(s) out of the space, and provide the calculation used to determine the allocation of this expense to the project.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.

**Grants Gateway Budget Data Entry**  
**Guidelines**

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<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
> Space/Property: Own Narrative	4000	<p><b>Program Specific Instructions / Requirements</b>            In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. . <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
<b>Utilities</b>	<p><b>This section is used to itemize costs associated with Utilities. A separate entry is needed for each category of expense relating to utilities (i.e., utilities, telephone, mobile, etc.)using other funds. If Utilities are is not applicable, leave this section blank.</b></p>	
Type/Description	125	Provide the type of expense and include the property address. (i.e. Telephone - 123 Cherry Lane)
Justification	1000	Provide details such as which project(s) share this expense, and provide the calculation used to determine the allocation of this expense to the project.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.
> Utilities Narrative	4000	<p><b>Program Specific Instructions / Requirements</b>            In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. . <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
<b>Operating Expenses</b>	<p><b>* Refer to funding opportunity and/or Grants Gateway Budget Instructions document for additional information.</b>  <b>This section is used to itemize costs associated with the operation of the project, including but not limited to insurance/bonding, photocopying, advertising, office supplies, direct medical service supplies, program supplies/materials. A separate entry for each type of expense is needed. Expenses for any costs shared across multiple projects must be appropriately cost-allocated in accordance with the benefit received or effort provided to the project. If Operating Expenses are not applicable, leave this section blank.</b></p>	
Type/Description	125	Provide the type of expense
Justification	1000	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.
Total Grant Funds	N/A	Enter the total amount of grant funds requested to support this budget category.
Total Match Funds	N/A	Enter Match Funds if any.
Total Other Funds	N/A	Always leave blank.

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Guidelines**

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<u>Grants Gateway Field</u>	<u>Character Limits</u>	<u>Enter Required Information as Instructed Below</u>
> Operating Expenses Narrative	4000	<p><b>Program Specific Instructions / Requirements</b></p> <p>In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. . <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>
Other Expenses Detail*		<p><b>Only indirect costs are to be budgeted under this section (also referred to as Administrative costs), unless determined not to be allowed by the award. Non-profit agencies receiving federal funds are eligible to charge their federally approved indirect cost rate. A copy of the current federal ICR agreement must be uploaded to the Grantee Document Folder section of the application. For organizations without a federally-approved indirect cost rate, indirect costs will be limited to no more than 10% of total direct costs. Direct costs may include Personal Service, Fringe Benefits, Space, Program Operations, Travel, Equipment, and Other budget costs. Applicants must provide a description of costs included in the indirect cost calculation in the Other Expenses budget narrative section of the application. Calculated indirect cost rates will be subject to DOH review and approval.</b></p>
Type/Description	125	Provide the requested indirect costs rate, indicating whether it is based on a Federally Approved Rate Agreement.
Justification	1000	Indicate specifically that the document was uploaded to the Grants Gateway (Federally Approved Rate Agreement)
Total Grant Funds	N/A	Provide the requested value using the formulary provided.
Total Match Funds	N/A	Enter match funds if any
Total Other Funds	N/A	Always leave blank.
> Other Narrative	4000	<p><b>Program Specific Instructions / Requirements</b></p> <p>In accordance with Section 503(a) of the Social Security Act (42 U.S.C. Section 703(a)), the applicant <b>must</b> demonstrate the ability to fund at least 3/7<sup>th</sup> of the project's total cost while the NYSDOH will fund no more than 4/7<sup>th</sup> of the project's total cost. Therefore, for every \$1.00 of requested funds, applicants need to match it with 75 cents to get to the total program costs. For example, if an applicant requests \$100,000 in Grant Funds, the applicant needs to provide a \$75,000 in match. That is 3/7 of the total project cost. The Grants Gateway system calculates match percentage on the Grants Funds requested amount. As a result, you will see that the Grants Gateway match requirement percentage is displayed as 75%. . <b>The match may be made using local government dollars, private dollars (such as foundation dollars), or in-kind support. The match may not be comprised of other state or federal grant funds. Please note: Anticipated sources of matching funds will be acceptable during the application process but must be finalized prior to contract execution.</b></p>

**Grants Gateway Budget Data Entry**  
**Where to Budget**

**Budget Category Side-by-Side** – use this chart to assist with aligning cost categories with the (8) defined budget categories, labeled a through f on the budget summary. This is a sample listing of those most commonly used.

<i>Master Grant Contract Budget Categories</i>	<i>Sample of Budget Categories</i>
Personal Services	ALL employees on payroll
Fringe	Payroll Taxes, Health Insurance, Pension, Worker's Compensation, etc.
Contractual Services*	Vendors*
Contractual Services**	Subcontractors / Consultants / Affiliate Staff
Travel	Travel (ALL - for client, staff, and volunteers). Travel for individuals funded under the Contractual Service budget category must be included under CS.
Equipment Expense	> article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds \$5,000, or a grouping of like items which equals or exceeds \$5,000. < \$5,000 budget under Operating Expenses
Space/Property & Utility Expenses	Rent, Depreciation, Maintenance & Repairs, Utilities (including electric, heat, cell phone, internet, telephone)
Operating Expense	Equipment, Office Technology purchases < \$5,000
Operating Expense	Beverages, Food, Meeting Costs. Adherence to Guidelines for Healthy Meetings as adopted from National Alliance for Nutrition and Activity (NANA) Healthy Meeting Guidelines is required: <a href="https://www.health.ny.gov/prevention/healthy_lifestyles/guidelines.htm">https://www.health.ny.gov/prevention/healthy_lifestyles/guidelines.htm</a> .
Operating Expense	Office Supplies, Program Supplies/Materials
Operating Expenses	Conference Costs/Registration Fees. IF these costs are associated with other reimbursable travel (lodging, mileage, etc.), these costs should be budgeted under travel.
Operating Expenses	Staff Training/Professional Development (for costs such as conference fee - NOT travel)
Operating Expenses	Vehicle Operating Expenses
Operating Expenses	Client Services (medical supplies, translation services, etc.)
Operating Expenses	Direct Medical Supplies
Operating Expense unless fringe benefit related, then it is Personal Services	Insurance (e.g. general liability)
Operating Expense unless it is contracted out, then it is Contractual Services	Database Management, Computer/Network Maintenance
Operating Expense unless it is contracted out, then it is Contractual Services	Media Placement, Advertising (e.g. recruitment ads, program promotion). ALL purchased media placement or advertising requires prior approval.
Operating Expense unless it is contracted out, then it is Contractual Services	Educational Materials, Printing, Postage
Operating Expenses any associated travel must go under travel	Special Events, Workshops
Other	Indirect

\*Contractual Services - Vendors: include those persons or organizations that provide the same or similar services to any customer without altering its product. Examples of vendors include audit services, payroll services, bookkeepers, laboratory services, and IT consultants.

\*\*Contractual Services – Subcontractors / Consultants / Affiliate Staff: performs a portion of the scope of work from the lead contractor’s project, often off-site and under the direction of a third party. The subcontractor has its performance measured against the objectives of its portion of the scope of work of the lead program.