

**CITY OF NEW YORK
DEPARTMENT OF HEALTH AND MENTAL HYGIENE
REQUEST FOR PROPOSALS
FOR THE PROVISION OF THE
MOBILE RESPONSE TEAMS (MRT) PROGRAM FOR NEW YORK CITY PUBLIC
SCHOOLS
PIN: 13AO001200R0X00**

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AUTHORIZED AGENCY CONTACT PERSON

Proposers are advised that the Authorized Agency Contact Person for all matters concerning this Request for Proposals is:

Name: Jonathan Jarrell
Title: Contract Manager
Mailing Address: Office of the Agency Chief Contracting Officer
New York City Department of Health and Mental Hygiene
42-09 28th Street, 17th floor, CN-30A Long Island City, NY 11101
Phone: 347-396-6636



SECTION I - TIMETABLE

A. Release Date of the Request for Proposals: **March 29, 2013**

B. Questions

Questions about this Request for Proposals (“RFP”) must be submitted in writing to the e-mail address listed below.

Question/Clarification Deadline:

Date: April 24, 2013

Time: 5:00PM

E-Mail Address: MRTRFP@health.nyc.gov

C. Department Website:

Any addenda or other information pertaining to this RFP (including answers to any questions) will be made available on the Department’s website at www.nyc.gov/health/contracting. Proposers must check the Department’s website regularly in order to be fully informed of any changes or additional information pertaining to this RFP.

D. Proposal Due Date and Time and Location:

- **Date:** **May 17, 2013**
- **Time:** 2:00 p.m.
- **Location:** **Office of the Agency Chief Contracting Officer**
NYC Department of Health and Mental Hygiene
42-09 28th Street, 17th floor, CN-30A
Long Island City, NY 11101
Attn: Jonathan Jarrell

DOHMH advises proposers to deliver proposals by hand. E-mailed or faxed proposals will not be accepted by the Department.

Proposals received at this Location after the Proposal Due Date and Time are late and shall not be accepted by the Agency, except as provided under New York City’s Procurement Policy Board Rules. The Department will consider requests made to the Authorized Department Contact Person to extend the Proposal Due Date and Time prescribed above. However, unless the Department issues a written addendum to the RFP that extends the Proposal Due Date and Time for all proposers, the Proposal Due Date and Time prescribed above shall remain in effect.

G. Anticipated Contract Start Date: July 1, 2014

SECTION II – SUMMARY OF THE REQUEST FOR PROPOSALS

A. Purpose of RFP

The Department of Health and Mental Hygiene (“Department” or “DOHMH”), Bureau of Children, Youth, and Families is seeking appropriately qualified vendors, preferably with three or more years of successful experience operating or maintaining a formalized partnership with an organization that operates an Article 31 licensed mental health clinic (Tier I or Tier II), to establish Mobile Response Teams (“MRT”) to serve middle/junior high schools in each borough of New York City. This program is a joint initiative by the Department and the New York City Department of Education (“DOE”), Office of School Health.

The Department’s aim is to provide New York City public schools with the capacity to respond to mental health problems through staff training and consultation, linkages to community-based resources, direct crisis intervention, and prevention activities. Ultimately, schools will have the increased capacity to identify and address the mental health needs of students so that MRT services are no longer needed.

Mental health problems affect children’s school attendance, behavior, academic performance, and graduation rates. Though a significant proportion of children and adolescents (approximately 13-20%) are affected by these challenges, less than 1 out of 5 receive needed specialized mental health services. Many New York City public schools lack enhanced mental health resources, such as onsite mental health services. Thus, there is a great need to build schools’ capacity to address mental health concerns.

Each proposed MRT will serve a cluster of 5 middle/junior high schools to meet the mental health needs of their students. The Department’s determination regarding the number of schools served represents what the Department believes will most likely achieve its goals and objectives. The MRT will conduct a school-wide assessment to identify the school’s strengths and challenges in addressing student mental health needs that will serve as a basis for the MRT to develop an implementation plan for building the school’s capacity. Through capacity building activities the MRT will increase the school’s awareness and knowledge of community-based mental health and social services, advise the school support staff on developing a mental health intervention protocol, and train teachers, other school personnel, and parents to identify mental health problems and make appropriate referrals to the team. When mental health referrals are made, the MRT will seek parental consent to conduct psychosocial assessments to evaluate students’ need for mental health and other services, and make appropriate referral and linkages to the services needed. When indicated, treatment for students will be provided at the family’s clinic of choice or the MRT’s licensed mental health clinic. The MRT will consult with student support teams on how to effectively manage the behavioral problems and/or mental health needs of individual students.

The main objectives of the MRT include: (1) increasing schools' awareness and knowledge of community-based mental health and social services (2) helping schools to develop a comprehensive mental health service intervention protocol, (3) consulting to the Pupil Personnel Teams ("PPT") and School-Based Support Teams ("SBST") on how to effectively manage the behavioral problems and/or mental health needs of individual students, (4) training teachers and other school personnel to identify mental health problems and make appropriate referrals to the mobile response team, (5) conducting psychosocial assessments to evaluate students' need for mental health and other services, (6) referring students in need of treatment to the family's community-based mental health clinic of choice and/or other social services and following up to ensure that they are connected to services, (7) preventing and responding to mental health related crises. When necessary the MRT will also provide interventions and follow-up services in the family's home.

B. Service Areas

The program/service area options for which proposals are being sought through this RFP are middle schools the New York City Public Schools system in partnership with DOE Office of School Health; within the following Community Districts. The Service Areas are:

1. Service Area #1: Bronx Community Districts 1, 3, 4, 6, 7, 8, 9 and 11;
2. Service Area #2: Brooklyn Community Districts 1, 3, 4, 5, 8, 9 and 16;
3. Service Area #3: Manhattan Community Districts 7, 10, 11 and 12;
4. Service Area #4: Queens Community Districts 3, 4, 5, 12 and 14;
5. Service Area #5: Staten Island Community Districts 1 and 3.

A proposer may propose to serve one or more Service Areas. However, a complete and separate proposal must be submitted for each Service Area proposed. The Department will match vendors with the identified schools to be served within the proposed Service Area(s).

Proposer's that currently have existing partnerships with New York City Public Schools that they would like to serve through this RFP within the Service Areas outlined above, must submit a copy of the executed Memorandum of Understanding ("MOU") for each school (middle schools preferred) with the proposal. Should proposers wish to serve middle schools situated on multi-school campuses, the MOU must specify the total enrollment for each school. Please note that this RFP is not intended to support schools with onsite School-Based Mental Health Programs or School-Based Health Centers. The Department reserves the right to determine, based on the proposer's demonstrated organizational capability and the best interests of the City, respectively, how many teams and for which Service Areas the proposer will be awarded a contract.

Additional information about DOE schools, campuses and the Office of School Health is available on the DOE website: www.schools.nyc.gov.

C. Anticipated Contract Term

It is anticipated that the term of the contract(s) awarded from this RFP will be for an initial period of three years, from July 1, 2014 through June 30, 2017. The contract(s) may include two (2) three-year options to renew, for a maximum of nine (9) years, contingent upon the availability of additional funding. The Department reserves the right, prior to contract award, to determine the length of the initial contract term and each option to renew, if any.

If additional funding should become available, contractor(s) may be given the opportunity to increase the level of service.

D. Anticipated Available Annual Funding

It is anticipated that the maximum available **annual** funding for each contract awarded from this RFP will be \$235,000 for up to six (6) vendors. The Department reserves the right to distribute the number of awards per Service Area depending on the proposers' organizational capability and to adjust the contract amount based on available funding. Greater consideration will be given to proposers that propose more competitive prices in combination with a high quality program.

E. Anticipated Payment Structure

It is anticipated that the payment structure of the contract(s) awarded from this RFP will be based on a combination of *3+line-item budget reimbursement, tied to specific performance outcome measures and related financial incentives and/or disincentives; *4+milestone payments tied to outcomes; and *5+liquidated damages tied to outcomes. In Year 1, the contract will include an annual operating budget with 20 percent of the budget linked to the successful accomplishment of deliverables outlined in Section III – Scope of Services of this RFP. From year 2 onward, up to 100 percent of the annual operating budget will be tied to the successful achievement of performance based outcomes determined by the Department. However, the Department will consider proposals to structure payments in a different manner and reserves the right to select any payment structure that is in the City's best interest. The Department reserves the right to increase or decrease all costs to contract as deemed necessary.

The Department understands that the selected contractor may need financing for start-up costs. Proposer(s) should include this request in their budget and clearly indicate funds as start-up expenses to assist with the initial implementation of this program. Therefore, the selected contractor(s) may request start-up funds, which will be recouped within the first year of the contract.

F. Minimum Qualification Requirement

The following is the Minimum Qualification Requirement for this RFP. Proposals that fail to meet this requirement will be rejected.

1. Pursuant to Section 41.03(3) and 41.03(12) of the New York State Mental Hygiene Law, the proposer shall be a not-for-profit corporation. The proposer must be classified as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code or have applied for such status by the Rproposal F ue F ate prescribed in this RFP. Incorporation documents must be submitted with the proposal.

SECTION III - SCOPE OF SERVICES

A. Agency Goals and Objectives

The Department's goals and objectives for this RFP are to enhance the capacity of middle/junior high school teachers and other staff to identify and refer students with mental health problems to the appropriate services, and to prevent and manage crises in these schools to reduce inappropriate emergency room use and avoid hospitalizations.

B. The Department's Assumptions Regarding Contractor Approach

The Department's assumptions regarding which approach will most likely achieve the goals and objectives set forth above are:

1. Experience

The contractor would:

- 1.1. Have demonstrated at least 3+ years of successful experience operating or maintaining a formalized agreement with an organization that operates an Article 31 licensed mental health clinic (Tier I or Tier II).
- 1.2. Have demonstrated successful experience establishing linkages with children's mental health and social services networks; these networks include but are not limited to: Family Resource Centers, Children's Single Point of Access (C-SPOA) for high need mental health services, such as case management and waiver services, clinic and day treatment programs; providers of services in other child-serving systems such as child welfare and juvenile justice; and other community services and supports.
- 1.3. Have demonstrated successful experience managing and delivering mental health programming to children and adolescents and their families in schools, and demonstrating improved outcomes. This experience should consist of effective collaboration with school personnel with an emphasis on integration of the school community and improvement of the school climate, as well as the implementation of policies and procedures for programming in schools, including but not limited to: crisis management, parental engagement/consent, and confidentiality of student records and information.
- 1.4. Have demonstrated successful experience in providing outreach services at the children's homes and in the community to better engage and link children and families to needed mental health and other support services.

- 1.5. Greater consideration will be given to proposers who demonstrate more than three *5+'years of successful relevant experience in Sections 1.1 through 1.4 above.

2. Organizational Capability

The selected contractor would:

- 2.1 Have the ability to deliver MRT Services during the school year.
- 2.2 Have the ability to deliver MRT Services during regular school breaks (including summer breaks) on an as needed basis.
- 2.3 Have the ability to maintain operating hours that maximize accessibility to students and working families, including evenings and weekends as necessary.
- 2.4 Have the ability to provide treatment services or maintain a formalized agreement documented by an executed MOU with an organization that provides treatment; in a community based, Article 31 licensed mental health clinic to students and their families to ensure timely access to initial assessments within 5 working days.
- 2.5 Conduct screening and background checks, including obtaining clearance from the New York State Central Registry of Child Abuse and Maltreatment, for all direct service staff (and maintain such information)0
- 2.6 Employ staff who are experienced in working with children and families. and, for supervisory and clinical staff, who are credentialed, licensed, and are in good standing.

3. Approach

- 3.1 General and Program Administration:

The contractor would:

- 3.1.1 Establish a Memorandum of Understanding (“MOU”) with each school by the end of the first quarter of the contract term start date, including services to be delivered, data sharing agreements and allocation of program space that offers privacy to ensure confidentiality;
- 3.1.2 Assess the mental health service needs of the school and summarize the needs in a report0
- 3.1.3 Develop and sustain an implementation plan, in collaboration with the school that is responsive to the identified needs0

- 3.1.4 Work with school leadership and support staff to develop a comprehensive, mental health service intervention protocol0
- 3.1.5 Increase the school's awareness and knowledge of community-based mental health and social services by identifying local resources and educating school support staff on how to access these resources and best practices for making referrals0
- 3.1.6 Develop the capacity of teachers, school nurse, guidance counselors, school social workers and uej qqn'administrators to educate students on what mental health is and where to seek services or help a friend who might need them0
- 3.1.7 Collaborate with school leadership, support and pedagogical staff, including parent coordinators, in interdisciplinary teams and meetings to ensure the needs of the school community are being met, and to coordinate information and data sharing0
- 3.1.8 Provide an MRT which shall consist of:
 - 3.1.8.1. 1 FTE Licensed Clinical Social Work Supervisor or Licensed Psychologist Ph.D=
 - 3.1.8.2. 1 FTE Licensed Masters Level Social Worker="cpf
 - 3.1.8.3. 1 FTE Family Advocate0
- 3.1.9. Station an MRT for approximately one day per week in each school; MRT's should be available to respond to crises at member schools, regardless of their location on a given day.
- 3.1.10. Maintain appropriate levels of confidentiality of student records and information at all times.
- 3.1.11. Report data on activities and/or outcomes.
- 3.1.12. As much as possible, use evidence-based practices and explain how adherence and fidelity to the model is achieved, including any training, and supervision on the practice, and explain any adaptations of the practice to your local school environment.
- 3.1.13. As needed, collaborate with schools, DOE and DOHMH in collection and reporting of the following outcome data: 911 calls for mental health related incidents, attendance rates, referrals to Special Education and Individualized Education Plans (IEPs) developed0

3.1.14. For program monitoring and quality improvement, the contractor would submit reports to the Department, based on a data collection tool created by DOHMH, on services provided and students served. which should include at a minimum:

3.1.14.1. Monthly reports due on the 15th of the following month that include but are not limited to:

3.1.14.1.1. Number and source of referrals to the MRT

3.1.14.1.2. Number and outcome of assessments

3.1.14.1.3. Number referred to mental health treatment, community-based substance abuse treatment, preventive, concrete and other services

3.1.14.1.4. Number of first appointments scheduled and attended for mental health treatment, substance abuse treatment, preventive, concrete and other services.

3.1.14.1.5. Number of crisis interventions, type of crisis addressed, and disposition

3.1.14.1.6. Number of unique students involved in crises addressed

3.1.14.1.7. Number of consultations with the PPT/SBST and number of students discussed

3.1.14.1.8. Number of consultations and/or classroom observations with faculty and school personnel

3.1.14.1.9. Number of outreach consultations with families

3.1.14.1.10. Number and topics of trainings for school staff

3.1.14.1.11. Number and topics of workshops held for parents, caregivers and family members

3.1.14.1.12. Results of evaluation surveys for trainings and workshops

3.1.14.1.13. Number of outreach meetings with or presentations to community groups

3.1.14.2. Semi-annual reports due on the 15th of January and July that contain qualitative reports and quantitative indicators for program effectiveness including, but not limited to:

3.1.14.2.1. Progress on attaining goals and objectives of implementation plan;

3.1.14.2.2. Effectiveness of school wide mental health service intervention protocols;

3.1.14.2.3. For staff and parents engaged in trainings or workshops: results of program activity surveys, such as pre and post activity surveys, and/or benchmarks that measure knowledge, skills, awareness of program goals and objectives, attitudes, perceptions of the quality of services, or impact on school community

3.2. MRT Services for Students:

The contractor would:

3.2.1. Provide services that are guided by the needs of the school community, families and students that are culturally and linguistically responsive

3.2.2. Provide appropriate services within the least restrictive and normative environment that are child-centered and family focused

3.2.3. Spend approximately one day a week in each school, and have the capability to respond to crises at any school in its cluster (by phone or in person, as clinically appropriate) regardless of its location on any given day

3.2.4. Ensure that families and children receive services that are integrated by making linkages between child-serving agencies and programs, and that families and students are actively involved in the planning for these services

3.2.5. Conduct psychosocial assessments, with parental consent, to evaluate students' need for mental health and other services

3.2.6. Conduct outreach to families, including home visits to engage parents/caregivers in programming and address the identified needs of individual students and their families

- 3.2.7. Refer students in need of treatment to their community-based clinic (and/or another clinic of the student's/family's choosing) and/or other social services and follow-up to ensure students are connected to needed services0
- 3.2.8. Prevent and respond to mental health-related crises by utilizing de-escalation techniques0
- 3.3. Staff and Family Training:
 - The contractor would:
 - 3.3.1. Train teachers and other school personnel to identify mental health problems and make appropriate referrals to the mobile response team and other services as appropriate0
 - 3.3.2. Deliver a minimum of one*3+faculty professional development training per school, per contract year. on child and adolescent social and emotional development, available resources, and safety, and provide additional workshops to teachers and other school personnel as determined by the needs presented in the student population0
 - 3.3.3. Deliver or coordinate the delivery of other professional development trainings available to the school through the NYC Department of Education Office of Safety and Youth Development (OSYD) based on the school's needs as outlined in the implementation plan0
 - 3.3.4. Deliver a minimum of one *3+"workshop per school annually to parents and caregivers on child and adolescent social and emotional development, available resources, and safety.
 - 3.3.5 Provide consultation to the Pupil Personnel Teams and School-Based Support Teams, and teachers on how to effectively manage the behavioral problems and/or mental health needs of individual students0
 - 3.3.6 Train school staff to utilize crisis de-escalation techniques0

C. Department Determination Regarding Performance-Based Payment Structure

The Agency has determined that the performance-based payment structure that will most likely assure that the selected proposer(s) will perform the work under the contract(s) awarded from this RFP in a manner that is cost-effective for the Department and most likely to achieve the Department's goals and objectives set forth above, is as follows:

In year one of the contract, 20 percent of the Contractor's total annual budget will be withheld pending satisfactory achievement of the following deliverables:

- A. Delivery of a comprehensive and complete school-wide needs assessment and implementation plan due at the end of the first quarter of the contract start date July 1, 2016.
- B. Submit timely quarterly and semi-annual reports to the Department that summarize the data points detailed in Section III. Scope of Services 3.1.14.1 and 3.1.14.2. of the RFP.

- B.1. Deliver a minimum of one *3+ faculty professional development training per school, per contract year. on child and adolescent social and emotional development, available resources, and safety, and provide additional workshops to teachers and other school personnel as determined by the needs presented in the student population

AND

Deliver a minimum of one *3+ workshop per school annually to parents and caregivers on child and adolescent social and emotional development, available resources, and safety.

It is the Agency's assumption that the nature of the deliverables may change in years two and three of the contract term. As such, the Agency anticipates that a proportionally greater amount of the Contractor's total annual budget will be withheld pending satisfactory achievement of deliverables in years two and three of the contract term.

D. Compliance with Local Law 34 of 2007

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

E. Subcontractor Tracking Notice

In 2013 the City will be implementing a new web based subcontractor reporting system. Once this subcontractor reporting system is implemented, and Contractor receives notice of its implementation, Contractor will be required to list in the system of all the subcontractors that it knows it will use or is already using in the performance of this contract. For each subcontractor listed, Contractor will be required to provide the following information: maximum contract value, description of subcontractor work, start and end date of the subcontract and identification of the subcontractor's industry. Identification of subcontractors in the system along with the required information will be required in order to obtain subcontractor approval under section 3.02 of Appendix A and PPB Rule §4-13 for all subcontractors that have not been approved as of the implementation date. Thereafter, Contractor will be required to report in the system the payments made to each subcontractor within 30 days of making the payment. If any of the required information changes throughout the term of the contract, Contractor will be required to revise the information in the system.

When the subcontractor reporting system is implemented, Contractor will receive a written notice from the City which will contain the information the Contractor will need to list in its subcontractors and report payments. Contractor will not be required to comply with the requirements set forth herein until such notice is issued. Contractor will have 30+days from the date of the notice to list its current subcontractors for which it has already received Agency approval, if any. Thereafter, for those subcontractors that have not yet been approved by the Agency, subcontractors will have to be listed in the system in order to obtain the required Agency approval.

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

Contractor hereby agrees to these provisions and acknowledges that they will become effective on the date set forth in the notice.

SECTION IV – FORMAT AND CONTENT OF THE PROPOSAL

Instructions: Proposers should provide all information required in the format below. The proposal should be typed on both sides of 8 ½" x 11" paper. The City of New York requests that all proposals be submitted on paper with no less than 30% postconsumer material content, i.e., the minimum recovered fiber content level for reprographic papers recommended by the United States Environmental Protection Agency (for any changes to that standard please consult: <http://www.epa.gov/cpg/products/printing.htm>). Pages should be paginated. The proposal will be evaluated on the basis of its content, not length. Failure to comply with any of these instructions will make the proposal non-responsive. The proposers may submit proposals for one or more competitions. However, a separate and complete proposal must be submitted for each service area program option (facility site) being proposed. Proposers should clearly mark any section of their proposal that is confidential or proprietary.

A. Proposal Format

1. Proposal Cover Letter

The Proposal Cover Letter (Attachment A) transmits the proposer's Proposal Package to the Department. It should be completed, signed and dated by an authorized representative of the proposer. (Demonstrate compliance with the Minimum Submission Requirements described in Section II F above by attaching a copy of the Doing Business Data Form to the Proposal Cover Letter.)

2. Program Proposal

The Program Proposal is a clear, concise narrative which addresses the following:

Experience

Describe the successful relevant experience of the proposer, each proposed sub-contractor if any, and the proposed key staff in providing the work described in Section III – Scope of Services of this RFP. Specifically address the following:

- 2.1. Describe the scope and duration of successful experience operating or maintaining a formalized partnership with an organization that effectively operates an Article 31 licensed mental health clinic (Tier I or Tier II)
- 2.2. Describe the scope and duration of successful experience establishing linkages to children's mental health and social services networks. These networks include but are not limited to: Family Resource Centers, Children's Single Point of Access (C-SPOA) for high need mental health services, such as case

- 2.9. Demonstrate the proposer's capability to ensure that all proposer's staff have experience working with children and families and have relevant education and where applicable that all supervisory and clinical staff are credentialed professionals (licensed clinicians)

In addition:

- 2.10. Attach a chart showing where, or explanation of how, the proposed services will fit into the proposer's organization
- 2.11. Attach a copy of the proposer's latest financial audit report or certified financial statement, or a statement as to why no report or statement is available

Proposed Approach

Describe in detail how the proposer will provide the work described in Section III of this RFP and demonstrate how the proposer's proposed approach will achieve the Department's goals and objectives. Specifically address the following:

- 2.12. General and Program Administration:
 - 2.12.1. Describe the steps the proposer will take to assess the mental health services needs of the schools and describe and demonstrate the effectiveness of the proposer's plan to develop and sustain an implementation plan, in collaboration with the schools' staff and faculty that is responsive to the identified needs of the schools. Include the development of a comprehensive protocol for addressing mental health issues and crises, training and support for school personnel to increase their awareness and knowledge of community-based mental health and social services and how to access these resources. and best practices for making referrals
 - 2.12.2. Describe and demonstrate the effectiveness of the proposer's plan to report data on activities and/or outcomes and comply with program monitoring and quality improvement activities outlined in Section III. - Scope of Services 3.1.14 of the RFP
- 2.13. MRT Services for Students:
 - 2.13.1. Describe and demonstrate the effectiveness of the proposer's plan to ensure that families and children receive MRT Services that are culturally and linguistically appropriate, coordinated among different child-serving agencies and programs, and that families and students are actively involved in the development of service plans

2.13.2. Describe and demonstrate the effectiveness of the proposer's plan to station an MRT for approximately one day per week in each school and respond to crises at member schools as necessary

2.14. Staff and Family Training:

2.14.1. Describe and demonstrate the effectiveness of the proposer's plan to deliver a minimum of one faculty professional development training and one workshop for families per school, per contract year on child and adolescent social and emotional development, available resources, and safety, and provide additional workshops to teachers and other school personnel as determined by the needs presented in the student population

3. Price Proposal

Proposers are encouraged to propose innovative payment structures. The Department reserves the right to select any payment structure that is in the City's best interest. The price proposed consists of the Budget Proposal (Attachment B-2) and the Proposed Performance-Based Payment Structure, including performance outcome measures and financial incentives and/or disincentives. For the purposes of comparison, proposers should submit a Price Proposal that meets the following standards:

3.1. The proposed price offering for each of the budget components in a line item budget included in the RFP as Attachments B-1 through B-3.

3.2. Start-up (non-recurring costs for the first three months of the program.)

3.3. Proposed annual operating expenses for a typical full year, which shall not exceed the available annual funding level of \$235,000.

Performance-Based Payment Structure

It is anticipated that the payment structure of the contracts awarded from this RFP will be based on line-item budget reimbursement with annual performance-based measures as further described in Section III (C). DOHMH reserves the right to implement additional performance-based outcome measures and related financial incentives and/or disincentives in combination with or in lieu of a reimbursable budget payment structure. However, the Agency will consider proposals to structure payments in a different manner and reserves the right to select any payment structure that is in the City's best interest.

4. Acknowledgment of Addenda

The Acknowledgement of Addenda form (Attachment C) serves as the proposer's acknowledgement of the receipt of addenda to this RFP which may have been issued by the Department prior to the Proposal Due Date and Time, as set forth in Section I (E), above. The proposer should complete this form as instructed on the form.

B. Proposal Package Contents (“Checklist”)

The Proposal Package should contain the following materials. Proposers should utilize this section as a “checklist” to assure completeness prior to submitting their proposal to the Department.

1. A sealed inner envelope labeled “Minimum Qualification Requirement” that contains a copy of the proposer’s Certificate of Incorporation as specified in Section II-F.
2. “Program Proposal,” containing one original set and **two** duplicate sets of the documents listed below in the following order:
 - ❑ Proposal Cover Letter Form (Attachment A)
 - ❑ Program Proposal
 - ❑ Narrative
 - ❑ List of References for the proposer and, if applicable, each sub-contractor
 - ❑ Resumes and/or Description of Qualifications for key staff positions
 - ❑ Organizational Chart
 - ❑ Audit Report or Certified Financial Statement or a statement as to why no report or statement is available
 - ❑ Acknowledgment of Addenda Form (Attachment C)
3. A separate sealed inner envelope labeled “Price Proposal” containing one (1) original set and two (2) duplicate sets of the Price Proposal.
 - ❑ Price Proposal
 - ❑ Price Proposal Forms (Attachment B-1, B-2, and B-3)
 - ❑ Proposed Performance-Based Payment Structure
4. A third sealed inner envelope labeled "Doing Business Data Form and Iran Contractor Compliance Form" containing:
 - ❑ an original, completed Doing Business Data Form (Attachment D)
 - ❑ an original, signed and notarized Iran Contractor Compliance Form (Attachment E)
5. A fourth sealed inner envelope labeled “Electronic Copies” containing an electronic copy of all documents being submitted in a Portable Document Format (“PDF”) on a portable electronic storage medium (e.g. Compact Disk or USB flash drive).
6. A sealed outer envelope that encloses all of the above-mentioned sealed inner envelopes. The sealed outer envelope should have two (2) labels containing:
 - ❑ The proposer’s name and address, the Title and PIN of this RFP and the name and telephone number of the Proposer’s Contact Person.
 - ❑ The name, title and address of the Authorized Department Contact Person.

SECTION V – PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES

A. Evaluation Procedures

All proposals accepted by the Agency will be reviewed to determine whether they are responsive or non-responsive to all requisites of this RFP. Proposals that are determined by the Agency to be non-responsive will be rejected. The Agency's Evaluation Committee will evaluate and rate all remaining proposals based on the Evaluation Criteria prescribed below. The Agency reserves the right to conduct site visits and/or interviews and/or request that proposers make presentations and/or demonstrations, as the Agency deems applicable and appropriate. Although discussions may be conducted with proposers submitting acceptable proposals, the Agency reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic and price terms.

B. Evaluation Criteria

- Demonstrated quantity and quality of successful relevant experience. 40%
- Demonstrated level of organizational capability. 20%
- Quality of proposed approach. 40%

C. Basis for Contract Award

A contract will be awarded to the responsible proposer whose proposal is determined to be the most advantageous to the City, taking into consideration such factors or criteria which are set forth in this RFP. Awards will be made to the highest technically rated vendor(s) in each service area who offer a price at or below the maximum annual available funding per contract set forth in Section II-D of this RFP. In the event that multiple proposers have the same technical score in a service area, the proposer with the lower price will be ranked higher. In the case that a proposer is eligible for more than one contract award, the Agency reserves the right to determine, based on the proposer's capacity, geographic location and distribution of services, demonstrated organizational capability, and the best interests of the City, respectively, how many and for which service area and/or community district(s) the proposer will be awarded a contract. In the event that the Agency determines it is in the best interests of the City to award more than one contract in a service area, awards will be made to the highest technically rated proposers in that service area that offer a price at or below the maximum annual available funding per contract set forth in Section II-D of this RFP, also taking into consideration the proposers' capacity, geographic location and distribution of services, demonstrated organizational capability and the best interests of the City, respectively. Contract award shall be subject to the timely completion of contract negotiations between the Department and the selected proposer.

SECTION VI - GENERAL INFORMATION TO PROPOSERS

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

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

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

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

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

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

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

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

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

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

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

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

M. Charter Section 312(a) Certification. [IF APPLICABLE]

_____ The Agency has determined that the contract(s) to be awarded through this Request for Proposals will not result in the displacement of any New York City employee within this Agency. See attached Displacement Determination Form.

_____ The Agency has determined that the contract(s) to be awarded through this Request for Proposals will result in the displacement of New York City employee(s) within this Agency. See attached Displacement Determination Form.

_____ The contract to be awarded through this Request for Proposals is a task order contract that does not simultaneously result in the award of a first task order; a displacement determination will be made in conjunction with the issuance of each task order pursuant to such task order contract. Determinations for any subsequent task orders will be made in conjunction with such subsequent task orders.

(Commissioner) (Agency Chief Contracting Officer)

Date

ATTACHMENT A
PROPOSAL COVER LETTER

MOBILE RESPONSE TEAMS PROGRAM

PIN: 13AO001200R0X00

Proposer:

Program Name: _____

Legal Name: _____ **Tax ID #:** _____

Program Address: _____

Mailing Address: _____

Proposer's Contact Person:

Name: _____ **Title:** _____

Telephone: _____ **Fax:** _____

Service Areas Proposed: (Please specify the Community Districts)

Brooklyn _____ Manhattan _____

Bronx _____ Queens _____

Staten Island _____

Are you submitting more than one proposal? YES NO

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

Proposer's Authorized Representative:

Name: _____ **Title:** _____

Signature: _____ **Date:** _____

ATTACHMENT B-1

PRICE PROPOSAL FORM

MOBILE RESPONSE TEAMS PROGRAM

PIN: 13AO001200R0X00

Competition: _____

Proposer's Name: _____

PRICE PROPOSAL SUMMARY SHEET			
	<u>Year One ("1")</u>	<u>Year Two ("2")</u>	<u>Year Three ("3")</u>
A. Total Personnel Services (PS) Budget Request: (from Attachment B-2)	\$ _____	\$ _____	\$ _____
B. Total Other than Personnel Services (OTPS) Budget Request: (from Attachment B-3)	\$ _____	\$ _____	\$ _____
C. Total Budget Requested: (A + B)	\$ _____	\$ _____	\$ _____
TOTAL PROPOSED CONTRACT AMOUNT (sum of Total Budget Requested for Years 1, 2, and 3)			
	\$ _____		

Proposers are reminded that as explained in Section III.C., in year one, 20 percent of the Contractor's total annual budget will be withheld pending satisfactory achievement of the deliverables listed in Section III.C. of this RFP.

As further stipulated in Section III.C., it is the Agency's assumption that the nature of the deliverable may change in years two and three of the contract term. As such, the Agency anticipates that a proportionately greater amount of the Contractor's total annual budget will be withheld pending satisfactory achievement of the agreed-upon deliverables in years two and three of the contract term.

ATTACHMENT B-3

PRICE PROPOSAL FORM

MOBILE RESPONSE TEAMS PROGRAM

Competition: _____

PIN: 13AO001200R0X00

Other than Personnel Services (OTPS) Budget Proposal

Proposer's Name: _____

Expense	Cost to Contract		
	Year One ("1")	Year Two ("2")	Year Three ("3")
Indirect Cost			
Contracted Cost			
Rent			
Utilities			
Telephone			
Printing			
Supplies			
Equipment Purchase			
Equipment Rental			
Maintenance			
Insurance			
Travel			
Postage			
Other OTPS Cost: (identify)			
Total Other Than Personnel Services (OTPS) Budget			

ATTACHMENT C
ACKNOWLEDEMENT OF ADDENDA
MOBILE RESPONSE TEAMS PROGRAM

PIN: 13AO001200R0X00

Directions: Complete Part I or Part II, whichever is applicable, and sign your name in Part III.

Part I

Listed below are the dates of issue for each Addendum received in connection with this RFP:

Addendum # 1, Dated _____, 2013

Addendum # 2, Dated _____, 2013

Addendum # 3, Dated _____, 2013

Addendum # 4, Dated _____, 2013

Addendum # 5, Dated _____, 2013

Addendum # 6, Dated _____, 2013

Addendum # 7, Dated _____, 2013

Addendum # 8, Dated _____, 2013

Addendum # 9, Dated _____, 2013

Addendum #10, Dated _____, 2013

Part II

_____ No Addendum was received in connection with this RFP.

Part III

Proposer's Name: _____ Date: _____

Signature of Authorized Representative: _____

ATTACHMENT D

DOING BUSINESS DATA FORM



Doing Business Data Form

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

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

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

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

Section 1: Entity Information

Entity Name: _____

Entity EIN/TIN: _____

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

Entity is a Non-Profit: Yes No

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

Address: _____

City: _____ State: _____ Zip: _____

Phone : _____ Fax : _____

E-mail: _____

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

Section 2: Principal Officers

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

Chief Executive Officer (CEO) or equivalent officer This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

 This person replaced former CEO: _____ on date: _____**Chief Financial Officer (CFO) or equivalent officer** This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office _____ Title: _____

Employer _____ (if _____ not _____ employed _____ by _____ entity): _____

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

Home Address: _____

 This person replaced former CFO: _____ on date: _____**Chief Operating Officer (COO) or equivalent officer** This position does not exist

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

First Name: _____ MI: _____ Last: _____

Office Title: _____

Employer (if not employed by entity): _____

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

Home Address: _____

 This person replaced former COO: _____ on date: _____

Section 3: Principal Owners

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

There are no owners listed because (select one):

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

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

First Name: _____ MI: _____ Last: _____
 Office _____ Title: _____
 Employer _____ (if _____ not _____ employed _____ by _____ entity):
 Birth Date (mm/dd/yy): _____ Home Phone #: _____
 Home Address: _____

First Name: _____ MI: _____ Last: _____
 Office _____ Title: _____
 Employer _____ (if _____ not _____ employed _____ by _____ entity):
 Birth Date (mm/dd/yy): _____ Home Phone #: _____
 Home Address: _____

First Name: _____ MI: _____ Last: _____
 Office _____ Title: _____
 Employer _____ (if _____ not _____ employed _____ by _____ entity):
 Birth Date (mm/dd/yy): _____ Home Phone #: _____
 Home Address: _____

Remove the following previously-reported Principal Owners:

Name: _____ Removal Date: _____
 Name: _____ Removal Date: _____
 Name: _____ Removal Date: _____

Section 4: Senior Managers

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

Senior Managers:

First Name: _____ MI: _____ Last: _____
Office _____ Title: _____
Employer _____ (if _____ not _____ employed _____ by _____ entity):
Birth Date (mm/dd/yy): _____ Home Phone #: _____
Home Address: _____

First Name: _____ MI: _____ Last: _____
Office _____ Title: _____
Employer _____ (if _____ not _____ employed _____ by _____ entity):
Birth Date (mm/dd/yy): _____ Home Phone #: _____
Home Address: _____

First Name: _____ MI: _____ Last: _____
Office _____ Title: _____
Employer _____ (if _____ not _____ employed _____ by _____ entity):
Birth Date (mm/dd/yy): _____ Home Phone #: _____
Home Address: _____

Remove the following previously-reported Senior Managers:

Name: _____ Removal Date: _____
Name: _____ Removal Date: _____

Certification

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

Name: _____
Signature: _____ Date: _____
Entity Name: _____
Title: _____ Work Phone #: _____



ATTACHMENT E

IRAN DIVESTMENT ACT COMPLIANCE RIDER FOR NEW YORK CITY CONTRACTORS

The Iran Divestment Act of 2012, effective as of April 12, 2012, is codified at State Finance Law (“SFL”) §165-a and General Municipal Law (“GML”) §103-g. The Iran Divestment Act, with certain exceptions, prohibits municipalities, including the City, from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Pursuant to the terms set forth in SFL §165-a and GML §103-g, a person engages in investment activities in the energy sector of Iran if:

(a) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or

(b) The person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran and is identified on a list created pursuant to paragraph (b) of subdivision three of Section 165-a of the State Finance Law and maintained by the Commissioner of the Office of General Services.

A bid or proposal shall not be considered for award nor shall any award be made where the bidder or proposer fails to submit a signed and verified bidder’s certification.

Each bidder or proposer must certify that it is not on the list of entities engaged in investment activities in Iran created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. In any case where the bidder or proposer cannot certify that they are not on such list, the bidder or proposer shall so state and shall furnish with the bid or proposal a signed statement which sets forth in detail the reasons why such statement cannot be made. The City of New York may award a bid to a bidder who cannot make the certification on a case by case basis if:

(1) The investment activities in Iran were made before the effective date of this section (i.e., April 12, 2012), the investment activities in Iran have not been expanded or renewed after the effective date of this section and the person has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran: or

(2) The City makes a determination that the goods or services are necessary for the City to perform its functions and that, absent such an exemption, the City would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.

**BIDDER'S CERTIFICATION OF COMPLIANCE WITH
IRAN DIVESTMENT ACT**

Pursuant to General Municipal Law §103-g, which generally prohibits the City from entering into contracts with persons engaged in investment activities in the energy sector of Iran, the bidder/proposer submits the following certification:

[Please Check One]

BIDDER'S CERTIFICATION

- By submission of this bid or proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder/proposer is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law.

- I am unable to certify that my name and the name of the bidder/proposer does not appear on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. I have attached a signed statement setting forth in detail why I cannot so certify.

Dated: _____, New York
_____, 20__

SIGNATURE

PRINTED NAME

TITLE

Sworn to before me this
_____ day of _____, 20__

Notary Public

Dated:

ATTACHMENT F

WHISTLEBLOWER PROTECTION EXPANSION ACT RIDER

NOTICE TO BIDDERS, PROPOSERS, CONTRACTORS, AND RENEWAL CONTRACTORS

This contract includes a provision concerning the protection of employees for whistleblowing activity, pursuant to New York City Local Law Nos. 30-2012 and 33-2012, effective October 18, 2012 and September 18, 2012, respectively. The provisions apply to contracts with a value in excess of \$100,000.

Local Law No. 33-2012, the Whistleblower Protection Expansion Act (“WPEA”), prohibits a contractor or its subcontractor from taking an adverse personnel action against an employee or officer for whistleblower activity in connection with a City contract; requires that certain City contracts include a provision to that effect; and provides that a contractor or subcontractor may be subject to penalties and injunctive relief if a court finds that it retaliated in violation of the WPEA. The WPEA is codified at Section 12-113 of the New York City Administrative Code.

Local Law No. 30-2012 requires a contractor to prominently post information explaining how its employees can report allegations of fraud, false claims, criminality, or corruption in connection with a City contract to City officials and the rights and remedies afforded to employees for whistleblowing activity. Local Law No. 30-2012 is codified at Section 6-132 of the New York City Administrative Code.



REPORTING INFORMATION TO THE NEW YORK CITY DEPARTMENT OF INVESTIGATION

If you have information of any corrupt or fraudulent activities or unethical conduct relating to a New York City funded project or contract, contact:

**Department of Investigation (DOI) Complaint Bureau
212-825-5959**

**or by mail or in person at:
DEPARTMENT OF INVESTIGATION
80 MAIDEN LANE, 17th FLOOR
NEW YORK, NEW YORK 10038
Attention: COMPLAINT BUREAU**

**or file a complaint on-line at:
www.nyc.gov/doi**

All communications are confidential.

THE LAW PROTECTS EMPLOYEES OF CITY CONTRACTORS WHO REPORT CORRUPTION

- Any employee of a contractor or subcontractor that has a contract with the City or a City contractor of more than \$100,000 is protected under the law from retaliation by his or her employer if the employee reports wrongdoing related to the contract to the DOI.
- To be protected by this law, an employee must report information about fraud, false claims, corruption, criminality, conflict of interest, gross mismanagement, or abuse of authority relating to a City contract over \$100,000 to DOI or to certain other government officials all of whom must forward the report to DOI.
- Any employee who has made such a report and who believes he or she has been dismissed, demoted, suspended, or otherwise subject to an adverse personnel action because of that report is entitled to bring a lawsuit against the contractor and recover damages.