



Lilliam Barrios-Paoli, Commissioner
2 Lafayette Street
New York, NY 10007

Pre-Qualification Application for Congregate Services

The mission of the Department for the Aging (“DFTA” or “Agency”) is to work for the empowerment, independence, dignity and quality of life of New York City’s diverse older adults and for the support of their families through advocacy, education and the coordination and delivery of services. The mission is carried out in partnership with a network of providers. These providers have historically competed for contracts through a request for proposal process as outlined by the Procurement Policy Board (“PPB”) Rules.

DFTA now seeks to establish a streamlined process for procuring congregate services. Going forward, DFTA will prequalify vendors for a period of 3 years. During this prequalification period, DFTA will solicit services only from those vendors on the Prequalified List (“PQL”) A full description of the new innovative procurement method can be found at the Agency’s website located at www.nyc.gov/html/dfta/downloads/pdf/city_record81310.pdf.

DFTA will qualify vendors based on a number of criteria (e.g., years of experience, geographic area served, organizational capability, fiscal soundness). Based on prequalification, vendors will be designated as eligible for various categories of prequalification. For example, if DFTA chose to solicit for senior congregate services and established a threshold requirement of experience in serving a minimum of 100 congregate meals per day, it could limit the solicitation to only those prequalified vendors that have had the threshold experience.

In solicitations where there is more than one eligible prequalified vendor, DFTA would conduct a “mini-competition” and request all eligible vendors to submit a short proposal narrative addressing the type of program requested. In the case of a single eligible prequalified vendor, DFTA would directly enter into contract negotiations.

Under this new innovative procurement method, prequalified vendors will be required to maintain and update their status on a continual basis (at least once a year) and will be subject to periodic review by the Agency for compliance.

Once a properly completed application is received, the organization will be notified within 90 calendar days as to the status of prequalification. Any applicant denied prequalification, in whole or in part, may appeal such decision, in accordance with PPB Rule §3-10(m); however, solicitations may proceed during the pendency of such appeal (without the inclusion of the denied applicant).

The prequalification application process will remain continuously open and interested organizations may apply at any time. However, DFTA plans to solicit vendors from the list as early as January 2011. The Agency plans to solicit for two proposed congregate services program models.

Neighborhood Center (NC) – This model provides meals and education as well as a basic level of recreation, health-related activities, socialization, and access to public services and benefits.

Anticipated Contract Start Date: July 2012

Eligibility Requirements: Please refer to Pages 4-5 for minimum requirements that the applying organization must demonstrate in order to prequalify for this service.

Innovative Senior Center (ISC) - This model provides all the activities of a Neighborhood Center, with a wide range of variety in the activities offered within each category. An ISC will have the ability to offer programming in each of five core service areas – nutritional support; links to public services and benefits; linkages with a rich array of community services; promotion of good physical and mental health and healthy behaviors; and opportunities for social engagement – of a variety and frequency that meet the needs and desires of neighborhood residents.

In order to achieve these aims as well as to help participants attain access to a breadth of City and neighborhood resources, ISCs will provide transportation and create a wealth of linkages with such resources. They will also make use of social workers, consultants and/or volunteers to maximize benefits and entitlements that participants are able to tap into. In all these services and offerings, individual ISCs will establish strong relationships with Neighborhood Centers located within their community district so that NC participants can avail themselves of ISC services not otherwise available to them. Finally, ISCs are encouraged to demonstrate their capacity to carry out special programs that meet the particular needs of their own communities, such as an inter-generational program or other special initiatives.

Depending on the availability of funding, in its first round solicitation, DFTA anticipates awarding 10 contracts: up to eight within individual community districts, as well as one or more citywide contracts covering the following special population categories: Lesbian, Gay, Bisexual and Transgender (LGBT) focused centers, those who are visually impaired, and those who are hearing impaired. Proposals will be sought for any of the 29 community districts that currently have the lowest levels of DFTA senior center resources when compared with the level of need within the districts. The level of need, in turn, was determined through a weighted formula using several variables comprising the number of: seniors within the district, low income seniors, frail older New Yorkers, older immigrants who have been in the US for between five and ten years, and minority group members. Community district-based contracts will be awarded to the organizations that receive the highest scores on the proposals that they submit, provided, however, that only one award will be made per community district, so that if two or more of the top eight scored applications exist within one community district, only the highest scorer in that district will be selected. Following this first round solicitation, DFTA anticipates that subsequent solicitations(s) will take place, tentatively slated for award in July 2012, which will include additional ISCs to be determined at a later point based in part on the availability of funding, as well as Neighborhood Centers.

First Round – 29 Community Districts with Up to 8 Awards, and Three Special Populations with 1 or more Awards

Anticipated Contract Start Date: September 2011

**Bronx
CDs**

- 4 Highbridge/Concourse
- 5 Fordham
- 7 Kingsbridge
- 9 Soundview/Parkchester
- 10 Throgs Neck/Pelham Bay/Coop City

**Manhattan
CDs**

- 6 Murray Hill
- 7 Upper West Side
- 8 Upper East Side/Roosevelt Island
- 9 West Harlem
- 12 Washington Heights/Inwood

**Brooklyn
CDs**

- 3 Bedford-Stuyvesant
- 7 Sunset Park
- 8 Crown Heights
- 9 Prospect/Lefferts Gardens
- 10 Bay Ridge
- 11 Bensonhurst
- 16 Brownsville/Ocean Hill
- 17 East Flatbush
- 18 Canarsie

**Queens
CDs**

- 2 Sunnyside/Woodside
- 3 Jackson Heights/East Elmhurst
- 7 Flushing/Whitestone
- 8 Fresh Meadows
- 9 Kew Gardens/Woodhaven
- 10 Ozone Park/Howard Beach
- 11 Bayside/Little Neck
- 13 Queens Village

Staten Island CDs

- 2 Mid-Island
- 3 South Island

Citywide

LGBT, Hearing Impaired, Vision Impaired

(Please note that the geographic areas listed in each community district above are illustrative and do not include all of the neighborhoods within the community district.)

Eligibility Requirements: Please refer to Pages 4-5 for minimum requirements that the applying organization must demonstrate in order to prequalify for this service.

Subsequent ISC Solicitation(s) (To Be Determined) – Anticipated Contract Start Date: July 2012

To apply for inclusion on the PQL, send a signed and completed PQL application via e-mail, or by hand delivery, a completed application (1 original & 1 copy), including all attachments to:

Attention: Betty Lee
Agency Chief Contracting Officer
Department for the Aging
2 Lafayette Street, Room 400
New York, NY 10007
Tel: (212) 442-1112 E-mail: DFTA_PQL@aging.nyc.gov

The Department strongly encourages electronic PQL application submissions, but recognizes that your e-mail systems may require you to send multiple e-mails based on attachment size limitations. If sending via e-mail, please note the total number of e-mails that you are sending to ensure DFTA receives your organization's complete submission (e.g., Congregate Services PQL Application Submission (E-mail 1 of 4). (Note: all attachments must be sent in .pdf format.) Alternatively, if you wish, you may send the application document by e-mail and bring in the attachments to DFTA. If so, please note on the e-mail that attachments will be hand delivered. Also, the e-mail sender must have signatory authority on behalf of the organization and the email should include an affirmative statement that all attached documents to the e-mail (or series of e-mails) are accurate.

If you would like to be eligible for the upcoming NC & ISC solicitations, PQL applications must be received by the Agency as follows. In order to facilitate the timely processing of your PQL applications, DFTA is directing vendors to submit based on the following schedule. In addition, please indicate your interest by checking the appropriate box on Part I of the application form.

ISC First Round: (29 CD's, Special Populations)	Last Date to Submit By	November 29, 2010
ISC Subsequent Solicitation(s): (If you are not interested in applying for ISC First Round, but are interested in future ISC solicitations.)	Suggested Date to Submit	Starting June 2011
Neighborhood Center: (If applying for Neighborhood Center ONLY)	Suggested Date to Submit	Starting June 2011

Organizations submitting applications after the due date for ISC First Round **will not** be eligible to participate in that solicitation, but DFTA will accept and review the organization's prequalification application for inclusion on all relevant future congregated solicitations. Please note that inclusion on a PQL does not guarantee that the Agency will solicit off the list nor does it guarantee vendor participation or selection.

The Department will hold an informational session on the PQL application on **Friday, October 22, 2010** at:

- Location:** The Fashion Institute of Technology
Morris W. and Fannie B Haft Auditorium
<http://www.fitnyc.edu/2693.asp>
- Address:** Entrance on 27th Street (between 7th and 8th Avenue, middle of block, building with blue arch with letter "C" on top)
- Time:** 11 a.m. *(Please make sure to allow yourself extra time for security and signing in.)*

ELIGIBILITY REQUIREMENTS

Once the PQL is established, DFTA will use the following criteria to determine who is eligible to participate in each respective solicitation. Each of the categories must be met in order to be eligible. (Please note that these eligibility requirements are subject to change. In the event of a change, DFTA will provide all affected parties with an opportunity to meet the new requirement.)

	Neighborhood Center	Innovative Senior Center
Geographic Area	By qualified borough (Applicants will be qualified based on experience providing congregate services in the borough and/or community districts that you are currently serving.)	By qualified borough (Applicants will be qualified based on experience providing congregate services in the borough and/or community districts that you are currently serving.)
Experience	Current DFTA Baseline-Funded Senior Center (does not include 100% discretionary-funded senior centers) OR 3 years combination of experience providing direct social services to seniors	Current DFTA Baseline-Funded Senior Center (does not include 100% discretionary-funded senior centers) OR 5 years combination of experience providing direct social services to seniors
Number of Unduplicated Seniors Served Daily (Average)	50 at a <u>single</u> program site providing direct social services to seniors for a period of at least one year OR Program(s) where majority of clients served consist of special population and services in place for at least one year. For purposes of this PQL application, special population covers the following defined categories – LBGT, vision or hearing impaired.	150 at a <u>single</u> program site providing direct social services to seniors for a period of at least three years OR 150 on a <u>citywide</u> basis (across programs, non-site specific) serving a special population for a period of at least three years For purposes of this PQL application, special population covers the following defined categories – LBGT, vision or hearing impaired.
IRS 990 Total Revenue as Reported in Part I (DFTA reserves the right to review alternative certified documentation, if applicable.)	At least \$250,000, based on average of the prior 3 years	Greater than \$1M, based on average of the prior 5 years
Board of Directors	Minimum 3 board members (The count is exclusive of any board members who are also paid staff of the organization.)	Minimum 5 board members (The count is exclusive of any board members who are also paid staff of the organization. Also, at least 3 board members must have either attended City-approved training programs and/or have professional credentials in the relevant programmatic disciplines and/or business administration.)

	<p>AND</p> <p>Minimum 2 board meetings within the last twelve months</p>	<p>AND</p> <p>Minimum 2 board meetings within the last twelve months</p>
Attorney General Charities Compliance	<p>Organization is registered with the Charities Bureau of the New York State Attorney General AND is up-to-date with its filing obligations (includes properly filed extensions)</p> <p>OR</p> <p>Exempt from registering with Attorney General's Office.</p>	<p>Organization is registered with the Charities Bureau of the New York State Attorney General AND is up-to-date with its filing obligations (includes properly filed extensions)</p> <p>OR</p> <p>Exempt from registering with Attorney General's Office.</p>
Performance Evaluation (for direct social services to seniors)	<p>DFTA reserves the option to exclude any organization from pre-qualifying as a neighborhood center if it has received a rating of Poor or lower overall in City-evaluated senior center contracts in the most recent year evaluated. In addition, in an organization with multiple sites, one or more of which have received poor or lower overall rating(s) in City-evaluated senior center contracts, DFTA reserves the option to exclude such organization from competing for an NC at the site(s) where such performance deficiencies exist.</p> <p>OR</p> <p>If an organization does not hold any City-evaluated senior center contract(s), documentation and/or references substantiating satisfactory performance record for the last two years for relevant direct social service contracts to seniors.</p>	<p>If an organization holds City-evaluated contracts relevant to direct social services to seniors, fair/satisfactory overall performance or better for the last two years, as well as fair/satisfactory performance or better on all underlying performance and fiscal categories for the most recent evaluation. If an organization has multiple contracts, one or more of which have received poor or lower underlying rating(s) in any subcategory during the most recent two years, DFTA reserves the option to exclude such organization from competing for an ISC at the site(s) where such performance deficiencies occurred.</p> <p>OR</p> <p>If an organization does not hold any City-evaluated contract(s), documentation and/or references substantiating satisfactory performance record for the last two years for relevant direct social service contracts to seniors.</p>
VENDEX	No material issues identified.	No material issues identified.
ORGANIZATIONAL AUDIT	No material issues identified OR material issues identified, but satisfactorily addressed with a corrective action plan.	No material issues identified OR material issues identified, but satisfactorily addressed with a corrective action plan.



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-For Agency Use Only-
RECEIPT NUMBER

CONGREGATE SERVICES PQL APPLICATION

PART I: Organization Information

Organization Legal Name: _____

Primary EIN/TIN: _____ Additional EINs/TINs: _____ DUNS #: _____

Address: _____

City: _____ State: _____ Zip: _____

Authorized Contact Person: _____ Title: _____

Phone: _____ Fax: _____

E-mail: _____

Organization is interested in the following upcoming solicitations: (check all that apply):

- Innovative Senior Center (First Round Competition.)**

- Innovative Senior Center (Subsequent Solicitations – To be released at a later date.)**

- Neighborhood Center**

PART II: Experience and Expertise

Instructions: Provide the following information/documents with your PQL application:

- Experience and Funding Summary Chart (Attachment A)
- For any contracts other than those awarded by City agencies, to demonstrate satisfactory performance with the provision of direct social services to seniors, please provide copies of any performance evaluation ratings and/or similar documentation received by the organization from its funding sources during the most recent two years. In the absence of such documentation, DFTA may contact the individual(s) named in Attachment A.

PART III: Financial Strength and Stability

Instructions: Provide the following information/documents with your PQL application:

- Experience and Funding Summary Chart (Attachment A)
- Latest Organizational Audit (2008 or later). If there were material findings in the audit, please describe, and explain those findings and the plan for correcting them.
- For ISC applicants, copies of the organization's Form 990 for the most recent year filed, and for each of the prior four years. For Neighborhood Center applicants, copies of the organization's Form 990 for the most recent year filed, and for the two prior years.
- Tax Affirmation

[For any organization that has undergone the Mayor's Office of Contract Services Capacity Building and Oversight (CBO) review process, DFTA will obtain any of the documents available through MOCS directly, without the organization having to supply them again. However, depending on the time period covered by the CBO review, the organization may need to supply more recent audits, and/or to provide copies of Form 990s for additional years. Organizations are advised to contact DFTA or MOCS well in advance of the due date for this application to confirm that documents required for this application are available through the CBO review report process.]

PART IV: Organizational Information and VENDEX

Instructions: Provide the following information/documents with your PQL application:

- Copy of your Certificate of Incorporation.
- Copy of your IRS Determination Letter.
- Organization/staffing chart. Please include job descriptions and resumes of key staff.
- Board of Directors Listing – Attachment B [If any members are paid staff of the applying organization, please indicate.]
- [ISC only] – Provide information on Board of Director Listing (Attachment B) demonstrating that at least three board members have either attended City-approved training programs and/or have professional credentials in the relevant programmatic disciplines and/or financial administration.
- Copies of the minutes and attendance records for all board meetings held within the last twelve months.
- VENDEX Questionnaires [Required unless organization has completed a full questionnaire (not a Certificate of No Change) within the past 3 years.]

PART V: Attorney General Charities Compliance

Instructions: Provide the following information/documents with your PQL application:

This organization is registered with the Charities Bureau of the New York State Attorney General and is up-to-date with its filing obligations.

Yes No (explain): _____

OR

Extension Filed On: _____

Exempt (Complete the attached *Certification of Exemption from Requirement to Register with the New York State Charities Bureau*)

- Charities Registration No.: _____ - _____ - _____ N/A
- Annual Filing Deadline: _____ N/A
- IRS 990 filings
- Latest CHAR 500 (2008 or later)

[For any organization that has undergone the Mayor's Office of Contract Services Capacity Building and Oversight (CBO) review process, DFTA will obtain any of the documents available through MOCS directly, without the organization having to supply them again. However, depending on the time period covered by the CBO review, the organization may need to supply more recent audits, and/or to provide copies of Form 990s for additional years. Organizations are advised to contact DFTA or MOCS well in advance of the due date for this application to confirm that documents required for this application are available through the CBO review report process.]

PART VI: Attachments *(Please check the boxes below to indicate which documents are attached. If submitting electronically, please remember to factor in your e-mail attachment size limits. If doing so, DFTA strongly encourages the applicant to save and send separate files for each attachment following the labeling instructions below.)*

- Experience and Funding Summary Chart (Attachment A) [Required]
Label – [Organization Name] Attachment A, (e.g., XYZ Attachment A)
- Latest Organizational Audit (2008 or later) **OR** CBO Review Report and Closing Letter [Required]
Label – [Organization Name] Organizational Audit
- Tax Affirmation [Required]
Label – [Organization Name] Tax Affirmation
- Certificate of Incorporation [Required]
Label – [Organization Name] Certificate of Incorporation
- IRS Determination Letter [Required]
Label – [Organization Name] IRS Letter
- Organizational/Staffing Chart [Required]
Label – [Organization Name] Organizational/Staffing Chart
- Board of Directors Listing (Attachment B) [Required]
Label – [Organization Name] Board of Directors

- [ISC only] – Provide information on Board of Director Listing (Attachment B) demonstrating that at least three board members have either attended City-approved training programs and/or have professional credentials in the relevant programmatic disciplines and/or financial administration. [Required]
Label – [Organization Name] Board Training Documentation
- Minutes and attendance records for board meetings held within the last twelve months. [Required]
Label – [Organization Name] Board Minutes
- Latest IRS 990 filings **OR** CBO Review Report and Closing Letter [Required]
Label – [Organization Name] 990 Filing
- CHAR 500 **OR** CBO Review Report and Closing Letter [Required]
Label – [Organization Name] CHAR 500
- Certificate of Exemption from Requirement to Register with NYS Charities Bureau [If Applicable]
Label – [Organization Name] Certificate of Exemption
- Proof of Filing Extension with NYS Charities Bureau [If Applicable]
Label – [Organization Name] Charities Filing Extension
- VENDEX Questionnaires [Required unless organization has completed a full questionnaire (not a Certificate of No Change) within the past 3 years.]
Questionnaires and instructions are available at: www.nyc.gov/vendex.
Label – [Organization Name] VENDEX Questionnaire

PART VII: Request for Additional Information

In order to verify the applicant’s qualifications, DFTA reserves the right to request additional documentation and/or clarification(s) from the applicant, if required.

PART VIII: Certification

I, _____, serving as _____ of _____,
Name Title Organization

certify that I am duly authorized to sign on behalf of the organization and that the information submitted on these 4 pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the organization being found non-responsible and therefore denied future City awards.

Notary Public *(if not electronic submission)*

Print Name

Signature

Date