



District Attorney of New  
York County

December 19, 2016

The CUNY Institute for State and Local Governance (ISLG) appreciates your interest in the Request for Proposals (RFP) for Social Enterprises.

This addendum includes answers to questions submitted to ISLG via the CJII Application Portal by November 18, 2016.

## **ANSWERS TO APPLICANT QUESTIONS**

### **Social Enterprises**

#### **ELIGIBILITY: APPLICANT**

**We received a number of questions regarding whether this RFP is open to supporting social enterprises operated by newly established organizations and/or organizations with limited resources or is designed to support organizations with greater experience and/or capacity. We address those questions below.**

ANSWER: DANY is open to funding a wide range of applicants through this solicitation to plan and pilot a new, or scale or replicate an existing, social enterprise, including new and start-up organizations, organizations with many years of experience, organizations with limited resources, and organizations with significant resources. Organizations, including those that are newly established and those with limited resources, are eligible to apply either independently, or as a lead applicant with partner organizations, and/or as a partner organization in support of another lead applicant. While members of the evaluation team will take into account an applicant's level of organizational capacity and prior relevant experience in their review, this will be taken into account alongside the strength of the social enterprise design. The following criteria will be used to identify the winning proposal(s): quality of program narrative (55%), level of organizational capacity (20%), prior relevant experience (20%), budget and budget narrative (5%).

In addition, DANY's Criminal Justice Investment Initiative (CJII) is committed to funding community-based initiatives and helping community-based organizations to develop capacity where needed. Applicants are asked to identify in their proposal any area where capacity building, training, and/or technical assistance/incubation support from ISLG or another entity could be helpful (e.g., conducting market analysis, connecting with referral sources, record-keeping/data collection, accounting/financial management, performance monitoring, adopting a trauma-informed approach to service delivery, evaluation design). Applicants are encouraged to request this assistance so as to improve the implementation of CJII; CJII funds (outside of the \$7.3 million available to funded social enterprises through this solicitation) may be made available to provide training and technical assistance if necessary.

**QUESTION: Can organizations be part of multiple submissions as long as they are not lead agencies in more than one proposal?**

ANSWER: Applicants may apply independently or in partnership with other organization(s). If an applicant engages partners in its proposal, the applicant submitting the proposal to DANY on behalf of the partnership/coalition is the "lead agency or "lead applicant." Applicants may not submit or be funded for more than one proposal as a lead agency. However, applicants may submit up to one proposal as a lead agency and also be part of one or more proposals as a partner agency to a different lead agency/applicant.

**QUESTION: Granted that the winners of CJII’s Youth Opportunity Hubs initiative have not been announced as of November 16, 2016, will an applicant winner of the Youth Opportunity Hub qualify to apply as an applicant for the Social Enterprise RFP?**

ANSWER: Yes, an organization may apply for and be awarded funds through more than one CJII RFP. CJII funding opportunities are available [here](#).

**QUESTION: Can Social Enterprises that are headquartered outside of NYC apply for this RFP if they intend to use the funds to replicate and scale a social enterprise that will be located inside NYC?**

ANSWER: Yes, the applicant proposing the social enterprise may be headquartered outside of New York City. The proposed social enterprise must be located in and serve eligible residents of New York City.

**QUESTION: I am a for-profit company and am having a difficult time securing a fiscal sponsor off of the list. I am wondering if permission could be granted allowing submission of a proposal without a fiscal sponsor in place and offer an extended time frame to secure a sponsor and/or if permission could be granted allowing a fiscal sponsor not on the list?**

ANSWER: For-profit companies are eligible to apply and receive funding under this RFP. A fiscal sponsor is not required for a for-profit organization. A non-profit that does not yet have 501(C)3 status may apply but is required to have a fiscal sponsor in place upon proposal submission (see *Section IV.C*).

CJII has cited The Fiscal Sponsor Directory (<http://www.fiscalsponsordirectory.org/>) in materials related to other RFPs as a helpful resource for applicants who wish to learn more about fiscal sponsorship. We provided this website as a resource to aid applicants in learning about fiscal sponsorship and possibly in identifying potential fiscal sponsors. The Fiscal Sponsor Directory does not serve as a CJII approved or sanctioned list of fiscal sponsors. Applicants in need of a fiscal sponsor should use their discretion in identifying a suitable sponsor for their organization. The fiscal sponsor does not have to be based in New York City.

**QUESTION: If a non-profit has an existing for-profit social enterprise that is a wholly-owned subsidiary, which entity is the most appropriate applicant?**

ANSWER: Social Enterprises funded through this RFP could be operated by for-profits, non-profits, or governmental entities, provided they meet the other eligibility criteria defined in the solicitation. Note, asset forfeiture funds (i.e., the source of CJII funding) cannot be used to fund government staff. When selecting the appropriate entity to serve as applicant, potential applicants may want to consider the following review criteria that will be used to identify the winning proposal(s): quality of program narrative (55%), level of organizational capacity (20%), prior relevant experience (20%), budget and budget narrative (5%).

## **POPULATIONS TO BE SERVED**

**We received a number of questions regarding whether a proposed social enterprise is expected to serve both focus populations described in the solicitation, and if there is a prescribed or desired mix of focus populations to be served by a funded enterprise. We address those questions below.**

ANSWER: This RFP seeks to support social enterprises that will train/hire at-risk youth/young adults (ages 16 to 24) (*as defined in Section IV.D*) and/or reentering/formerly incarcerated individuals (16+) (*as defined in Section IV.D*).

Applicants may propose an enterprise that serves individuals (or a subset of individuals) from one focus population or individuals (or a subset of individuals) from both focus populations. There is no prescribed or desired mix of focus populations to be served by an individual enterprise.

While there is no prescribed or desired mix of focus populations to be served by an individual enterprise, it is DANY's intention and goal for the social enterprises funded under this RFP to *collectively* serve individuals from both focus populations. DANY anticipates awarding up to four contracts for the pilot, expansion, or replication of a social enterprise in alignment with the goals of this RFP in New York City and reserves the right to fund fewer or more than four enterprises based on the proposals received in response to this RFP.

As specified in the solicitation (see *Section VI.B*), applicants should define the population(s) their proposed social enterprise will train/hire, describe how the proposed social enterprise will contribute to improved outcomes for the population(s), and how training and other supports will be tailored (as appropriate) to meet the needs of and be responsive to the population(s).

**We received a number of questions regarding the number of participants a funded social enterprise is expected to serve. We address those questions below.**

ANSWER: This RFP does not specify and DANY does not provide guidance on how many participants a program is expected to serve (train/hire) each year or throughout the duration of the grant period. DANY recognizes that the proposed numbers served may vary significantly across applications based on the social enterprise model proposed (e.g., the type of products/services offered, the level of training offered to participants, etc.) and the proposed scale of the enterprise. In the Program Narrative, applicants should identify how many program participants will be trained each year and how many program participants will be hired each year.

**We received a number of questions regarding the “at-risk youth/young adult (ages 16-24)” population identified in the solicitation as one of two possible focus populations to be served by social enterprises through this initiative. We address those questions below.**

ANSWER: This RFP seeks to support social enterprises that will train/hire reentering/formerly incarcerated individuals (16+) and/or at-risk youth/young adults (ages 16 to 24) (see *Section IV.D*).

Regarding the focus population of “at-risk youth/young adults (ages 16-24), the age range for the purposes of this RFP is meant to be inclusive of both at-risk “youth” and “young adults.” It is permissible for an applicant proposing to serve members of this focus population to propose to serve a subset of this population (e.g., youth/young adults of a more narrow age range, youth/young adults that present with a specific risk factor or need, etc.).

In addition, the “at-risk youth/young adults (ages 16-24)” focus population is intentionally defined broadly as young people at elevated risk of negative life outcomes. Within this broad population, there is an expressed interest in the RFP in serving young people who are “disconnected” from school and the workforce. However, an applicant seeking to serve at-risk young people may propose to serve any young people who are deemed to be at an elevated risk of negative life outcomes (e.g. at risk of justice system involvement, etc.). The solicitation offers four criteria (see page 9) of factors known to place a young person at elevated risk of negative life outcomes. This list is not exhaustive. An applicant may propose to serve a subset of young people based on a risk factor(s) not included in this list, so long as the applicant provides a meaningful justification for using that risk factor(s). A youth/young adult’s involvement in the juvenile or criminal justice system does not preclude the youth/young adult from being eligible for participation in a social enterprise.

This initiative does not have specific targets for the numbers of at-risk youth/young adults to be served by a proposed enterprise (see the response provided on page 4 to questions regarding the number of clients to be served each year).

**QUESTION: Is this RFP open to single sex organizations or must the programs be co-ed?**

ANSWER: This RFP is open to proposed social enterprise approaches that will train/hire individuals from one or both of the focus populations described in the solicitation (see *Section VI.D*). Applicants may propose to serve a subset of one or both of the focus populations, including a subset based on sex or gender. Applicants should define the population(s) the proposed enterprise will train/hire in their Program Narrative and explain why there is a need for a social enterprise for this population(s).

**QUESTION: Can beneficiaries be currently incarcerated and training programs used to facilitate successful reentry into the community (assuming solutions can be utilized post release)?**

ANSWER: Proposed social enterprise approaches may serve individuals who are soon to be released from, or have been formerly incarcerated in, juvenile detention facilities (NYC ACS custody), juvenile placement facilities (NYC ACS or NYS OCFS custody), jail (NYC DOC custody), or prison (NYS DOCCS custody) to New York City. To be eligible for funding under this RFP, a proposed enterprise approach must offer training and employment opportunities to members of the population(s) to be served (see *Section IV.D*).

**QUESTION: Is there any time limit on when a 16+ person must have left a juvenile placement facility, jail, or prison to be eligible for enrollment? For example, a 24 year-old who left a juvenile placement facility at 16?**

ANSWER: No, there is no time limit on when a 16+ person must have left a juvenile placement facility, jail, or prison to be eligible for enrollment into a social enterprise funded through this RFP. This RFP does not specify a minimum or maximum amount of time between a person's release from incarceration and that person's enrollment into a proposed social enterprise.

### **ELIGIBILITY: GEOGRAPHY**

**We received a number of questions regarding the focus neighborhoods for this RFP, including whether a proposed social enterprise can operate in and/or serve residents of one or multiple geographic locations, and whether there is preference for certain neighborhoods and/or boroughs. We address those questions below.**

ANSWER: DANY anticipates awarding up to 4 contracts for the pilot, expansion, or replication of a social enterprise in alignment with the goals of this RFP in New York City. Funded enterprises may operate, train, and hire participants from any New York City neighborhood, with preference given to applicants hiring from and/or providing services to high-need communities (i.e., communities marked by high rates of unemployment, poverty, disconnected youth, and/or formerly incarcerated individuals).

Applicants may propose to serve eligible individuals from one, multiple, or all five boroughs of New York City; and applicants may propose a single site for program operation or multiple sites for program operation. If proposing multiple sites, those sites may be located in one, multiple, or all five boroughs of New York City.

DANY is interested in funding at least one enterprise that serves at-risk young people and/or reentering/formerly incarcerated individuals residing in Manhattan; this enterprise could serve Manhattan residents exclusively or in combination with residents of other boroughs.

This solicitation does not predetermine specific underserved and under-resourced New York City communities as priorities for funded enterprises to serve. Applicants proposing to hire from and/or serve high-need communities, should, in their program narrative, use

available data to demonstrate that the proposed communities are high-need and describe, if applicable, the ways in which the enterprise will generate positive economic impact in underserved and under-resourced New York City communities.

**QUESTION: Is it acceptable if NYC residents are employed through a NYC-based social enterprise, but actually work in New Jersey or Connecticut?**

ANSWER: No, enterprises funded through this RFP must hire from and operate in New York City.

## **COLLABORATION & PARTNERING**

**We received a number of questions regarding how individuals and organizations may partner and collaborate with others to develop and submit a proposal for a Social Enterprise and also to support the CJII initiative more broadly. We address those questions below.**

ANSWER: To be eligible for funding under this solicitation, applicants may propose to plan and pilot a new enterprise OR expand or replicate an existing enterprise in New York City that trains and employs at-risk young people and/or reentering/formerly incarcerated individuals. Applicants may apply independently or form partnerships with other organizations to conduct the proposed work. If an applicant engages partner organizations in the work, the applicant will hold the primary contract awarded under this RFP. The applicant will then subcontract (or enter into another preferred type of agreement or understanding) with the partner provider(s). For example, if an applicant is proposing a social enterprise approach in which a different agency from the applicant provides the employment opportunity or other key function for the social enterprise, the applicant should engage that agency as a partner. Only one organization should serve as the official applicant and submit the proposal to DANY on behalf of the partnership/coalition that will conduct the work.

With regards to partnering with others on applications, we created the Criminal Justice Investment Initiative networking group on LinkedIn to help connect service providers who may be interested in working together to propose programs in response to various CJII RFPs. You can share information about your organization, see what other service providers are offering, and connect. Participation in the group is voluntary and will not be a factor in selecting the proposals to be funded.

With regards to staying in contact with CJII, individuals may sign up to receive email notifications about RFP announcements by visiting <http://cjii.org/contact/>. If you have general questions about CJII, you may contact us at [cjii@islg.cuny.edu](mailto:cjii@islg.cuny.edu).

**QUESTION: Is a proposal with formal partnerships preferred over a proposal that speaks to collaboration without MOUs or formal partnerships?**

ANSWER: This RFP does not require partnerships of any kind in that an applicant can apply independently to plan and pilot, scale, or replicate a social enterprise and can propose to provide supportive services directly (the “in-house” approach). However, some applicants may propose to forge partnerships with other entities as part of the proposed work (e.g., training participants, conducting a market analysis, providing supportive services, etc.). Partnerships may be formalized, for example, through agreements such as subcontracts and MOUs, or collaboration among entities may not be formalized and expressed solely, for example, through letters of support and/or a track record of an existing informal partnership.

Contract award(s) will be made to the applicant(s) whose proposal(s) are determined to be the most advantageous by the evaluation team, taking into consideration the price and such other factors and criteria as are set forth in the RFP (see *Section VII.B*)

**QUESTION: Do specific institutions/partners need to be named for the RFP or can specific identification and partnership agreement be part of the “planning” period?**

ANSWER: Applicants are not required to know who their partners will be at the time of proposal submission. If partners are known at the time of submission, the applicant should name the partners and specify which portion of the work each entity will perform. Applicants should include letters of support from known partner organizations as part of their submission (see *Section VI.E*). If applicants propose a “network” approach to supportive services, then the applicant should complete the Network Provider Worksheet.

If partners are not identified at the time of proposal submission, applicants should describe the portion of the work that partners will be responsible for (to the extent possible), and how they propose to identify them. Identifying appropriate partners may be among the tasks to be accomplished during a planning phase.

**PROGRAM DESIGN**

**We received a number of questions regarding the eligibility/suitability of various social enterprise approaches. We address those questions below.**

ANSWER: This solicitation seeks to support the implementation, scale, and/or replication of social enterprises that train and employ at-risk young people and/or reentering formerly incarcerated individuals. The solicitation defines a social enterprise (using the Social Enterprise Alliance’s definition) as “an organization or initiative that marries the social mission of a non-profit or government program with the market-driven approach of a business.” Social enterprises commonly train and employ vulnerable populations to create and sell products or services in the marketplace *and* reinvest revenue earned back into the enterprise to sustain and grow its activities. Social enterprises aim to solve critical social problems in a sustainable manner using the market-driven approach of a business. This solicitation does not seek to fund job training and/or employment

opportunities for at-risk young people and/or reentering formerly incarcerated individuals that do not fit the definition of a social enterprise.

Applicants, independently or together with any proposed partners, must propose both to train *and* employ at-risk young people and/or reentering/formerly incarcerated individuals (see *Section IV.C.1*).

**We received a number of questions regarding whether this RFP prescribes limits on the number of training offerings, employment opportunities, and/or businesses proposed under one project. We address those questions below.**

ANSWER: This solicitation does not prescribe limits with regards to the number of training offerings, employment opportunities, and/or businesses within a proposed enterprise. Funding through this solicitation, for example, can be used to support a social enterprise approach that consists of one business with one or more training and employment track(s) for members of the population(s) to be served, or a social enterprise approach consisting of two or more businesses that collectively offer several training and employment tracks. DANY expects that the number of businesses, training offerings, and employment opportunities will vary across funded applicants and will depend on a variety of factors including the proposed approach and scale of the enterprise.

**We received a number of questions pertaining to the references in the solicitation to “revenue-generating” social enterprise models. We address those questions below.**

ANSWER: Through this solicitation DANY is interested in funding organizations to pilot new, or expand or replicate existing, social enterprises across multiple sectors that provide quality jobs in New York City, with a particular focus on models that are revenue-generating and facilitate positive economic impact in underserved and under-resourced New York City communities. DANY prefers, but does not require, revenue-generating models.

Revenue-generating social enterprise models are social enterprises that generate income through the sale of goods or services in the marketplace. Typically, revenue earned by a social enterprise is reinvested back into the enterprises’ activities in support of fulfilling its mission and to grow and strengthen the enterprise for further impact.

An example of a revenue-generating social enterprise is a restaurant that trains and employs formerly incarcerated individuals and generates revenue through the sale of its goods (food and beverage) to customers. This social enterprise then reinvests its revenue earned back into its organization to fund job training supports for formerly incarcerated individuals hired to work in the restaurant.

In their proposal submission, applicants should include a “revenue and cost analysis” for their proposed enterprise that projects basic revenue and costs over a 5 year period. The analysis should at least include revenue and cost projections for each proposed good/service (i.e., anticipated demand, price of good/service, total revenue, cost of

good/service), assumptions on which the projections are based, and other funding sources anticipated over the 5 year period.

There is no predetermined amount of time wherein DANY expects a social enterprise funded through this RFP to be generating revenue and/or self-sustaining. The time required for a proposed approach to generate revenue and separately to become self-sustaining will vary across enterprise approaches and depend on a variety of factors including, but not limited to, whether the proposed approach is a new enterprise or a scale or replication of an existing enterprise, the scale of the proposed enterprise, the products/services provided through the enterprise, the route to market for the enterprise's products/services, and the market demand for the enterprise's products/services. To this end, applicants are asked to consider enterprise sustainability in their program narrative, which could include revenue forecasts as well as public and private funding.

**We received two questions regarding whether a social enterprise approach that provides time-limited work experiences/apprenticeships must provide participants with a quality job (including living wage). We address those questions below.**

ANSWER: This RFP seeks to fund enterprises that provide quality jobs in terms of living wages, benefits, and advancement opportunities to participants. Applicants that are not currently providing or proposing to directly provide quality jobs are asked to describe the current/anticipated barriers to enhancing them and any plans to overcome those barriers, and, if applicable, describe what other measures are in place/planned to ensure job quality for participants (see *Section VI.B.e*). Other measures to ensure job quality for participants, for example, could include the facilitation of or linking to pathways to quality jobs following a short-term work experience.

**QUESTION: Would a social enterprise model whose customers were public agencies qualify under this RFP?**

ANSWER: Yes, a social enterprise model whose customers are public agencies would qualify under this RFP. There are no restrictions or guidelines on the existing or anticipated customer base for proposed enterprises' goods and/or services. As described on page 10 of the solicitation, applicants are encouraged to draw upon a market analysis to demonstrate demand for the products or services they seek to provide and describe the profile of the target customer for the proposed enterprise.

**QUESTION: Would the grant support social enterprises that are employee-owned in their structure?**

ANSWER: Social enterprises supported through this RFP could be operated by for-profits, non-profits, or governmental entities (note that CJII funding cannot be used to fund government staff), provided they meet the other eligibility criteria defined in the solicitation. A for-profit organization that is employee-owned in its structure is eligible to apply and receive funding through this initiative.

**QUESTION: Are there preferences for particular fields of employment/industries for proposed social enterprises?**

ANSWER: No, DANY does not have preference for any particular field of employment/industry. As specified in the solicitation (see *Section IV.C.2a*), social enterprises offering innovative training and/or employment opportunities related to any field of the labor market for which a market analysis suggests there is sufficient demand for employees, including those who lack a bachelor's degree or other higher education credential and those who have a criminal record, are encouraged to apply.

**QUESTION: What is the ideal timeline for project completion? When would the committee like to see the project operational by in its proposed form (assuming build out time for capital endeavor)?**

ANSWER: The length of funding for each contract awarded through this solicitation will not exceed 3.5 years. Funding is anticipated for up to six months of planning and three years of implementation (including capital improvements, if applicable). However, DANY acknowledges the need for flexibility to account for the variety of factors that can influence the length of the planning and/or implementation phase(s). Factors influencing the length of planning may include, for example, whether the proposed approach is new or an expansion or replication of an existing approach. Applicants should speak to the time required for planning and implementation in their planning and implementation timeline (see *Section VI.B.3*).

Applicants requesting capital improvement funding for projects to be executed during the implementation phase are expected to propose ways to operate the enterprise while the capital improvements are ongoing. For example, if capital improvements are necessary to produce and sell products and services, the enterprise may propose ways to recruit and train participants while capital improvements are underway.

**QUESTION: For individuals who will be trained/hired for a proposed social enterprise, is there a minimum requirement for hours they must work?**

ANSWER: No, this solicitation does not set parameters regarding the minimum hours a social enterprise participant must work. While this solicitation does not set parameters regarding the minimum hours worked by a social enterprise participant, applicants should consider and speak to in their proposal the quality of the jobs offered to participants, especially in terms of living wages, benefits and advancement opportunities (see *Section IV.C.2c*).

**QUESTION: The living wage calculator provides wages specific to family size; how must we reflect these various wages in our plan?**

ANSWER: A living wage is a wage rate required to meet minimum standards of living in a given community. The solicitation encourages, but does not require, applicants to propose social enterprise approaches that provide employment opportunities to

participants that pay a living wage. The solicitation refers to a living wage calculator developed and maintained by Massachusetts Institute of Technology (MIT) as a resource for applicants (*see Section II* or <http://livingwage.mit.edu/>). Applicants should use their best judgment in arriving at a living wage rate for social enterprise jobs in New York City. While the MIT calculator calculates living wage rates for different family configurations, it is reasonable for applicants to use the living wage rate calculated for one adult in NYC, \$14.52 per hour, as a reference.

**QUESTION: Can members of the community participate?**

ANSWER: Beyond the expected system and community partnerships described in the solicitation (*see Section IV.C.3*), applicants may propose additional ways to involve members of the community in the development and implementation of the proposed social enterprise.

**QUESTION: Will the developed program be considered an ATI option through the courts?**

ANSWER: Through this solicitation DANY seeks to fund social enterprises located in New York City that serve at-risk young people and/or reentering/formerly incarcerated individuals residing in New York City. DANY is not directly seeking a social enterprise to operate as an alternative-to-incarceration program (ATI), nor does DANY anticipate that a social enterprise funded through this solicitation would operate as an ATI. This solicitation does not preclude, however, an applicant from proposing a social enterprise model that does or would operate as an ATI. In this case, the applicant proposing a social enterprise ATI program should explain how the ATI would serve members of one or both of the target populations of this solicitation.

**QUESTION: Is the service provided working onsite?**

ANSWER: Social enterprises funded through this RFP may provide career training, employment opportunities, and supportive services at one or multiple sites, either independently or in partnership with other organizations.

**QUESTION: Is there a preference as to how the program scales—i.e., is it smaller in year 1 than year 3 or is at a consistent level all three years? We would prefer to start smaller and grow the program as we learn what works most effectively—we want to ensure that would fit with your goals.**

ANSWER: There is no specific preference to how and under what timeline a social enterprise will scale. Applicants are advised to propose to scale their program as they deem most appropriate given factors including, but not limited to, organizational capacity, relevant experience, and whether the proposed social enterprise is new or an expansion or replication of an existing social enterprise. DANY anticipates that some proposed social enterprises will start small and expand over the course of the grant period.

## **BUDGET & FUNDING**

**We received a number of questions regarding the amount of funding available for social enterprises through this RFP, including minimum and maximum funding amounts. We address those questions below.**

ANSWER: DANY anticipates total funding for social enterprises under this RFP to be up to \$7.3 million (to be spread across all awards for up to 3.5 years). DANY anticipates awarding up to 4 contracts (but reserves the right to fund fewer or more than 4 awards) for the pilot, expansion, or replication of a social enterprise in alignment with the goals of this RFP in New York City. Grant sizes may vary across awards depending on factors such as the scale of the enterprise, whether it is an expansion of an existing enterprise or pilot of a new enterprise, and whether the enterprise provides supportive services in-house.

The maximum planning grant is \$75,000. Available annual implementation awards range from \$150,000 to \$1,000,000 per enterprise, not including capital awards. Up to \$2,000,000 total will be available through this RFP to support capital improvement needs. The \$2 million allocated for capital is not per grantee; up to \$2 million for capital could be awarded to one grantee or spread across multiple grantees.

The anticipated maximum amount of funding available for planning and implementing a social enterprise project is \$3,075,000 over 3.5 years, not including funds for capital improvement needs, and the minimum implementation award is \$150,000 for one year.

**We received a number of questions regarding allowable and unallowable expenses. We address those questions below.**

ANSWER: Funding awarded through this solicitation may support the planning and pilot of a new social enterprise, or the expansion or replication of an existing social enterprise. Funding will be divided, where applicable, into planning (phase I), which may include (but not be limited to) market analyses, hiring and training staff, and developing system and community partnerships; and implementation (phase II), which is intended to support the pilot, expansion, or replication of the enterprise. Capital improvement funding is available to support special funding needs for real estate, construction, and/or major equipment related to the implementation of the enterprise

Funding is anticipated for six months for planning (phase I) (for those enterprises that warrant a planning period) and up to three years for implementation (phase II) (including capital improvement, if applicable). Enterprises may be funded for operations, training, and/or other costs associated with the pilot, expansion, or replication of a social enterprise in alignment with the goals of this RFP in New York City. In the case of applicants seeking funding for planning (phase I), funding for implementation (phase II) will be contingent upon approval of the implementation plans developed during the

planning phase (I). In the case of applicants seeking funding for capital improvement, capital funding will be contingent upon approval of capital plans.

This solicitation does not predetermine specific expenses to be eligible or ineligible for funding. This solicitation also does not specify a minimum or maximum cost per participant. Applicants should provide justification for the budget and any rate(s) requested in the budget narrative, and consider that contract awards will be made to the applicants whose proposals are determined to be the most advantageous by the evaluation team, taking into consideration the price and such other factors and criteria as are set forth in the RFP (see *Sections VII.B* and *VII.C*).

Applicants' budgets may include, but are not limited to, requests for the following expenses: rent, utilities, insurance, fringe, staff salaries, participant wages/wage subsidies/stipends, subcontracts, franchise fees, and supplies. Budgets may be amended after proposal review and as part of the contracting process.

**QUESTION: Are indirect costs (IDC) on top of direct costs? Or is IDC included in the direct costs?**

ANSWER: Indirect costs (IDC) are also known as "overhead," "administrative," or "general operating" expenses. Generally, indirect costs are calculated as a percentage of a program's direct expenses. This solicitation does not specify a maximum allowable rate or maximum amount for administrative or indirect expenses, but the preferred rate is 17% (meaning, 17% of direct costs) or below. The applicant should provide justification for the budget and any rate(s) requested, and consider that contract awards will be made to the applicants whose proposals are determined to be the most advantageous by the evaluation team, taking into consideration the price and such other factors and criteria as are set forth in the RFP (see *Sections VII.B* and *VII.C*).

**QUESTION: What is the preferred budget size for the lead applicant?**

ANSWER: This solicitation does not specify a preferred budget size for a lead applicant. The budget size of applicants will likely vary significantly by a host of factors such as organizational size and capacity, social enterprise approach, and population(s) served.

**QUESTION: What is the mode of payment? Is this a draw down or reimbursable grant? Payments are made upon completion of deliverables, right?**

ANSWER: Payment will be made under the contract on a performance basis for services satisfactorily provided, in accordance with the approved budget (see *Appendix 6*, "Payment and Release"). Specific deliverables and/or milestones will be negotiated and finalized once applicants are selected.

**QUESTION: In a circumstance where we are fortunate to be awarded 1 of the 4 awards but the funds are not enough to fully complete our project: are there any restrictions for types of funds for the primary organization or subcontractors that are part of the grant**

**application if either needs to raise funds in addition to the amount secured by the grant for the completion of the project? Are there restrictions on any kind of matching grant for the project that is proposed for the RFP?**

ANSWER: No, there are no restrictions on the funded enterprise's other funding sources, including matching grants and funding sources leveraged through partner organizations.

**QUESTION: The grants states that CJII funds may be available to provide "training and technical assistance." Can you clarify this and are these additional funds outside of the \$7.3 million?**

ANSWER: As stated in the solicitation, CJII is committed to funding community-based initiatives and helping community-based organizations to develop capacity. When describing their organizational capacity to plan (if applicable) and implement the proposed social enterprise, applicants should also identify any area where capacity building assistance from ISLG or another entity could be helpful (e.g., conducting market analysis, performance monitoring, adopting a trauma-informed approach to service delivery, evaluation design). Applicants are encouraged to request this assistance so as to improve the implementation of CJII; CJII funds (outside of the \$7.3 million available to funded social enterprises through this solicitation) may be made available to provide training and technical assistance.

**QUESTION: Can CJII provide clarification around planning phase funds, including if these funds can be used for hiring & training employees for the length of the planning phase?**

ANSWER: Funding may support the planning and pilot of a new social enterprise, or the expansion or replication of an existing social enterprise. Funding will be divided, where applicable, into planning (phase I), which may include (but not be limited to) market analyses, hiring and training staff, and developing system and community partnerships; and implementation (phase II), which is intended to support the implementation, scale or replication of the enterprise. Funding is anticipated for six months for planning (for those enterprises that request and warrant a planning period). However, DANY acknowledges the need for flexibility to account for the variety of factors that can influence the length of the planning phase.

**QUESTION: Is there an estimated date or month that funded applicants who applied for planning funding will receive the planning funds?**

ANSWER: The anticipated contract date for this RFP is late spring 2017. Applicants awarded a grant through this RFP will receive planning funds (if applicable) upon completion of contract negotiations.

**QUESTION: For funded applicants, will CJII provide any advance of funds at the beginning of the grant period?**

ANSWER: The payment schedule for applicants awarded funds through this RFP will be negotiated during the contracting process. It is possible, but not guaranteed, that funds may be made available to contracted social enterprises at the beginning of the grant period.

**QUESTION: Is the grantee's provision of supportive services considered indirect or direct costs?**

ANSWER: Provision of supportive services would be considered direct costs, whether provided in-house by the applicant or through a partnership approach.

**QUESTION: If all the funds are not spent during the 3.5 year window, is it possible to extend the time frame or would the balance be forfeited?**

ANSWER: DANY's expectation is that the entire budgeted amount would be spent during the contract term.

**QUESTION: How long is the RFP for?**

ANSWER: This RFP was released September 30, 2016. The deadline to submit a proposal in response to this solicitation is February 10, 2017. The length of funding for each contract awarded through this solicitation will not exceed 3.5 years. The anticipated contract start date for funded social enterprises is Spring 2017.

**QUESTION: How much will the creation of a new enterprise vs. the replication or expansion of an existing enterprise influence the level of planning and implementation funding that will be awarded?**

ANSWER: DANY anticipates that the level of planning and implementation funds required for each social enterprise approach funded through this solicitation will vary and be informed by a host of factors which could, but not necessarily, include whether the proposed enterprise is new or a replication or expansion of an existing enterprise. Planning funds are not limited to one type of enterprise approach but may be made available, as appropriate, across proposed approaches (i.e., new pilot, scale of an existing enterprise, replication of an existing enterprise). If funding is sought for planning, the applicant should identify the initial planning work undertaken to date in each area specified in Section VI.B.2 in the RFP and the necessary work that remains in order to pilot, expand or replicate the enterprise.

Contract award(s) will be made to the applicant(s) whose proposal(s) are determined to be the most advantageous by the evaluation team, taking into consideration the price and such other factors and criteria as are set forth in the RFP (see *Section VII.B*).

**QUESTION: Are there any specific guidelines that need to be considered and/or followed for paying individuals trained and/or hired through the proposed social enterprise?**

ANSWER: Applicants are encouraged to provide employment opportunities that pay a living wage, and offer benefits, and advancement opportunities.

## **CAPITAL IMPROVEMENT**

**We received several questions regarding the permissible use of capital funds. We address those questions below.**

ANSWER: Applicants who have special funding needs for real estate, construction, and/or major equipment related to the implementation of their proposed enterprise may request capital improvement funding in addition to planning, if applicable, and implementation funds. These capital funds—up to \$2,000,000 total will be available through this RFP to support capital improvement needs—are intended to support the creation or operation of a social enterprise. Capital funds are available to address a continuum of capital needs, from basic refurbishment of an existing space to new construction.

Within the parameters described above, there are no predetermined limitations on the scope of the capital improvements that can be funded by a CJII grant for a social enterprise. The purchase of real estate to support social enterprise operations is a permissible use of capital funds, as are renovations / upgrades to social enterprise office/program space.

An applicant may request capital funds to satisfy capital improvement needs at more than one location, so long as all sites are relevant to the operations of the proposed social enterprise. Capital funds may be requested to satisfy capital improvement projects at a lead applicant's site/space and/or a partner agency's site/space, so long as the request is relevant to the operations of the proposed social enterprise.

Rent costs and costs associated with the purchase of computers and other objects/supplies to be installed in program/work space are not eligible for capital improvement funds, but may be included in a social enterprise's planning (if applicable) and implementation budget.

Contract award(s), including awards for capital improvements, will be made to the applicant(s) whose proposal(s) are determined to be the most advantageous by the evaluation team, taking into consideration the price and such other factors and criteria as are set forth in the RFP (see *Section VII*).

**We received two questions about whether a planning period is required for applicants seeking capital funding. We address those questions below.**

ANSWER: A planning period is permitted but not required for an enterprise seeking capital funding. In the case of applicants seeking funding for capital improvement, capital funding will be contingent upon approval of capital plans. The implementation of social

enterprise operations do not have to wait until capital improvements are completed. In their proposals, applicants should describe whether, how, and to what extent capital improvements would interrupt service delivery and/or operations of the proposed enterprise; and if so, how the applicant proposes to continue operating while capital improvements are ongoing (see *Section VI.C*).

## **PERFORMANCE MEASUREMENT**

**We received several questions about specific goals, outcomes, and performance metrics of the initiative and applicants funded under this initiative. We address those questions below.**

ANSWER: Applicants should propose outcomes that reflect the goals of their proposed program/approach and correspond to the purpose of the initiative (*see Section IV.B*), which is to improve public safety and promote a fair and efficient criminal justice system by:

- Providing meaningful career opportunities to young people at elevated risk of negative life outcomes and reentering/formerly incarcerated individuals;
- Providing or connecting at-risk young people and reentering/formerly incarcerated individuals to supportive services adept at meeting their individual needs; and
- Generating a positive economic impact in underserved and under-resourced New York City communities.

The specific goals for the social enterprises solicited in this RFP (which serve CJII's broader goals above) include, but are not limited to:

- Increased attainment of skills, knowledge, and support needed to successfully find and sustain quality employment in the labor market among participants;
- Increased long-term, sustainable employment for at-risk young people and individuals formerly incarcerated in juvenile detention or placement, jail, or prison;
- Reduced justice system entry and recidivism; and
- Improved economic conditions and opportunities in underserved and under-resourced communities.

All funded applicants and partner providers will be required to provide performance measurement data to ISLG and/or a third-party evaluator on a quarterly basis. Performance metrics will be tailored to each grantee but will be reflective of the broader goals of the initiative. Nonetheless, a set of core metrics is anticipated to apply across social enterprises funded through this investment.

Applicants should highlight how their proposals will achieve these and other goals and objectives specific to their proposed program/approach, and use the format in Exhibit 1 to specify their goals and outcomes. As part of the application, applicants should provide the following information for each quarter for the first year of the implementation phase (*see Section VI.D*):

1. Clearly articulated goal(s) that are broken down into objective(s);

2. Anticipated process, output, and outcome measures for each objective for each quarter for the first year, which may be refined via conversations with the applicant;
3. Methods of data collection (any costs related to data collection/analysis should be incorporated in the budget and explained in the program narrative); and
4. Challenges associated with data collection and reporting (e.g., lack of expertise or software) and the way the applicant plans to address them.

Applicants will work with ISLG and any third-party evaluator during the contracting process and throughout the term of the contract to determine appropriate metrics. (See *Appendix 1* for more information about performance monitoring.) These metrics may be subject to change during the contract term, after discussion among all parties, based on programmatic implementation concerns, availability of data, or research needs.

**QUESTION: The grant states: “Applicants who lack capacity for performance monitoring and data collection may be offered assistance by ISLG to comply with this funding requirement.” What does this look like in action? Is there a preference for applicants that do not need ISLG support in this capacity? Will we be required to have a budget line in for ISLG support?**

ANSWER: One of ISLG’s responsibilities is to collect performance data to monitor the performance and implementation of CJII investments. Applicants should describe their organizational (i.e., technical, managerial, and financial) capacity to perform the work set forth in *Section IV*, including with respect to data collection and performance monitoring among applicants or partner providers. Therefore, applicants should identify any area (e.g., technical, managerial, financial; connecting with referral sources, developing partnerships) where capacity building assistance from ISLG or another entity could be helpful to the applicant and/or partner providers.

CJII funds (outside of the \$7.3 million available to funded social enterprises through this solicitation) may be made available to provide training and technical assistance, including needs related to data collection procedures and capacity.

Applicants are encouraged to request this assistance as part of their applications so as to improve the implementation of CJII. These needs and any TTA will be assessed on a case-by-case basis. Applicants do not need to include a budget line for capacity building assistance from ISLG.

**QUESTION: In the RFP section D Performance Measurement: does the 3 page limit include the table that summarizes goals, objectives, outputs, and outcomes (as per Appendix I sample)?**

ANSWER: Yes, the 3 page limit for *Section D. Performance Measurement* should include:

1. Clearly articulated goal(s) that are broken down into objective(s) (see Exhibit 1 in *Appendix I*);

2. Anticipated process, output, and outcome measures for each objective for each quarter for the first year of the implementation phase (sample information is included in Exhibit 1 in *Appendix 1* only as an example);
3. Methods of data collection (any costs related to data collection/analysis should be incorporated in the budget and explained in the budget narrative); and
4. Challenges associated with data collection and reporting (e.g., lack of expertise or software) and the way the applicant plans to address them.

Applicants may, but are not required to, use the table format provided as an example in Exhibit 1 in Appendix 1 to present the proposed goals, objectives, and anticipated process, output and outcome measures. Any tables used must fall within the 3-page limit for *Section D. Performance Measurement*.

## **PROPOSAL EVALUATION & CONTRACTING**

**QUESTION: The RFP notes on p. 16 that the “quality of program narrative” will be the primary evaluation criterion (55%) for submitted applications. Can you please expand on the definition of “quality” in this context?**

ANSWER: Quality of the program narrative refers to the quality of the proposed social enterprise detailed in the applicant’s program narrative, including the proposed approach, design, planning and implementation timeline, and sustainability. A quality social enterprise design proposed under this solicitation, among other factors, aligns with and supports the goals and objectives, program description, and focus neighborhoods and populations to be served criteria provided in Sections IV.B, IV.C and IV.D of the solicitation.

**QUESTION: If we submit an application in partnership with a non-profit, does the fact that they are applying for more than one grant (for a different initiative within this program) influence the likelihood of this grant being approved?**

ANSWER: Under this RFP for Social Enterprises, applicants may not submit or be funded for more than one proposal as a lead agency; however, applicants may submit up to one proposal as a lead agency and also be part of one or more proposals as a partner agency to a different lead agency. All applications submitted under this RFP are scored and evaluated independently. Being a lead applicant on one application and also a partner organization on another application will not influence the likelihood of either application being selected.

An organization may apply for and be awarded funds through more than one CJII RFP. All submissions are scored and evaluated independently, based on an applicant’s capacity to perform the work described in the RFP. Applying for more than one CJII initiative will not influence the likelihood of either application being selected.

**QUESTION: Beyond generating local economic activity, are there other collateral benefits that DANY considers in its evaluation of grantees (i.e., positive environmental impact of grantee projects)?**

ANSWER: The Criminal Justice Investment Initiative aims to improve public safety and enhance the fairness and efficiency of the city’s justice system. CJII’s vision is safer neighborhoods and stronger communities. The specific goals for social enterprises solicited through this RFP include, but are not limited to:

- Increased attainment of skills, knowledge, and support needed to successfully find and sustain quality employment in the labor market among participants;
- Increased long-term, sustainable employment for at-risk young people and individuals formerly incarcerated in juvenile detention or placement, jail, or prison;
- Reduced justice system entry and recidivism; and
- Improved economic conditions and opportunities in underserved and under-resourced communities.

Applicants should highlight how their proposals will achieve these and other goals and objectives.

**QUESTION: The RFP refers to "grantees"; is this a grant or a contract, or a hybrid?**

ANSWER: Successful applicants will enter into contracts with DANY (see *Appendix 6 “Contract Template”*).

## **APPLICATION SUBMISSION**

**QUESTION: The optional attachments (such as the Fiscal Sponsorship document, which for many applicants will not be applicable) appear to be required in the portal. Should we upload a document that says "Not applicable" for those items, or can an adjustment be made to make those uploads optional?**

ANSWER: Fiscal sponsorship documentation is only required for nonprofit organizations without 501(C)3 status. Although the application page on the Fluid Review system refers to the list of elements as “required elements of submission” the system will allow applicants to submit their proposal without uploading fiscal sponsorship documentation. The same is true for other “optional” items of submission including the business plan, capital improvements, network provider worksheet, and letters of support.