



STATE OF CALIFORNIA
DEPARTMENT OF REHABILITATION
INDEPENDENT LIVING AND ASSISTIVE
TECHNOLOGY SECTION
TRAUMATIC BRAIN INJURY PROGRAM
REQUEST FOR APPLICATIONS
RFA IL-21-01



**INDEPENDENT LIVING AND ASSISTIVE TECHNOLOGY SECTION
TRAUMATIC BRAIN INJURY PROGRAM
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INDEPENDENT LIVING AND ASSISTIVE TECHNOLOGY SECTION

TRAUMATIC BRAIN INJURY PROGRAM

REQUEST FOR APPLICATIONS (RFA) IL-21-01

1. AUTHORITY

Under the authority of the California Welfare and Institutions Code (WIC) section 4357.1, the California Department of Rehabilitation (DOR) is issuing this Request for Application (RFA) for the award of the Traumatic Brain Injury (TBI) Services Grant for the services detailed in this RFA.

The grants resulting from this RFA are statutorily authorized and shall be interpreted in accordance with the laws and regulations of the State of California.

2. BACKGROUND

TBI is caused by a sudden jolt, blow, or penetrating injury to the head that disrupts the typical function of the brain. Falls and motor vehicle crashes are the primary cause of injuries with sports, recreational, work-related, and war-related injuries also being contributing factors. A TBI can happen to anyone, at any age, at any time. The injury may result in problems with thinking, memory, emotions, behavior, language, physical mobility, and sensory abilities that affect how a person is able to live and work independently.

The DOR is working to expand current TBI resources to establish a statewide network of services and supports that will improve the quality of life for persons with TBI, their families, and caregivers.

The DOR, through its Independent Living and Assistive Technology Section (ILATS), announces the availability of state grant funds as authorized under WIC sections 4353-4358.5. This RFA is made available to qualified service providers for the purpose of carrying out the programs and services needed to support individuals with TBI and their families.

The term of this grant will be January 1, 2022 or upon approval whichever is later, through June 30, 2024. At the DOR's option, one or more grants may be extended for an additional one (1) year under the same terms and conditions, not to exceed two (2) extensions or four and a half (4.5) years total. The determination to extend a grant will be considered on a case-by-case basis. This program is funded through an annual General Fund appropriation of \$1,050,000.00 to be divided equally across up to six grants. In the event that fewer than six grants are awarded, funding will be equally distributed across all awarded grants.

3. KEY ACTION DATES

The DOR will make every effort to adhere to the following schedule. If necessary, applicants will be notified of changes to the Key Action Dates in the form of an addendum that will be posted to the DOR website.

| Action | Responsibility | Date |
|--|-------------------------------------|--|
| RFA available to prospective applicants | DOR | September 7, 2021 |
| Deadline to submit written questions | Applicants | September 13, 2021 by 12:00 p.m. |
| Bidders' Conference | DOR, Applicants | September 15, 2021 |
| Addendum (questions and answers) posted to DOR website | DOR | September 17, 2021 |
| Application package due | Applicants | September 30, 2021 by 3:00 p.m. |
| Application screening and evaluation | Administrative Screening | October 1, 2021 – October 4, 2021 |
| | Evaluation Panel & Technical Review | October 5, 2021 – October 18, 2021 |
| | Executive Review & Approval | October 19, 2021 – October 25, 2021 |
| Notice of Intent to Award | DOR | October 26, 2021 |
| Last date to file appeal | Applicants | November 29, 2021 |
| Last date to respond to appeals | DOR, Applicants | December 29, 2021 |
| Anticipated Grant period | DOR, Applicants | January 1, 2022 or upon approval, whichever is later through June 30, 2024 |

A. Submitting Questions

All questions regarding the RFA must be submitted in writing to grants@dor.ca.gov by the date and time listed above. All questions submitted should use the subject line: RFA IL-21-01 Traumatic Brain Injury Grant.

B. Bidders' Conference

1. A Bidders' Conference will be held to address questions submitted to the DOR, and to provide additional clarity, if required. Additional questions will also be addressed at this time. Attendance at the Bidders' Conference is highly encouraged but NOT mandatory.
2. All questions and answers discussed during the Bidders' Conference will be posted on the DOR's [website](#) in the form of an addendum.
3. The Bidders' Conference will take place through video conference:

Bidders' Conference

Date: September 15, 2021

Time: 1:00 P.M. Pacific

TimeZoom Link: <https://dor-ca->

gov.zoom.us/j/87200908551?pwd=WXQ1UkNaOVpRN3hvWTE5VHdhUzZQUT09

Meeting ID: 872 0090 8551

Passcode: 2U*s01r!

Call-In Number: 1 408 638 0968 Meeting ID: 872 0090 8551

Passcode: 41381176

If disability-related accommodations are required for your participation in the Bidders' Conference, please contact Tanya Thee at tanya.thee@dor.ca.gov no less than 3 business days before the meeting. After that deadline the DOR will make every effort to meet accessibility needs but cannot guarantee to do so.

C. Application Package Due

Application packages are due to the DOR no later than 3:00pm PT on September 30, 2021. Application packages received after this deadline will be disqualified.

PLEASE NOTE: Due to current events, and to keep the public and staff of DOR safe by practicing social distancing, the DOR will no longer accept drop-off or walk-in applications.

D. Application Evaluation

The screening and evaluation of applications will be performed by a qualified, knowledgeable Evaluation Panel.

E. Notice of Intent to Award

A Notice of Intent to Award will be posted to the DOR website for 30 days. Following the proposed award period, the DOR will send the successful applicants a grant package for review and signature with a date by which to respond. If terms cannot be reached within the time specified, the DOR reserves the right to finalize a grant with the next most qualified applicant, without undertaking a new procurement process or canceling the award.

4. PURPOSE AND OVERVIEW OF THIS RFA

The following provides a general overview of information related to the subject of this RFA.

The DOR is issuing this RFA to receive applications from experienced and qualified nonprofit organizations to provide directly, or by arrangement, the five core service areas identified in WIC section 4357(d)(1)(A)-(E).

The term of this grant will be January 1, 2022 or upon approval whichever is later, through June 30, 2024. At the DOR's option, one or more grants may be extended for an additional one (1) year under the same terms and conditions, not to exceed two (2) extensions or four and a half (4.5) years total. The determination to extend a grant will be considered on a case-by-case basis.

The purpose of this RFA is to award six grants to the most successful applicants in order to provide the services delineated in this RFA. The total annual funding amount of \$1,050,000.00 will be distributed equally among the successful awardees each State fiscal year until the end of the grant period as follows:

January 1, 2022 to June 30, 2022 will be \$525,000 divided equally between successful awardee for the partial year.

July 1, 2022 to June 30, 2023 will be \$1,050,000.00 divided equally between successful awardee.

July 1, 2023 to June 30, 2024 will be \$1,050,000.00 divided equally between successful awardee.

If there are fewer than six successful applicants, DOR will distribute funding equally across successful awardees.

5. DESCRIPTION OF SERVICES AND OBLIGATIONS

Grantees must provide the services and meet the requirements described in WIC section 4357.

A. Service providers must identify the needs of consumers and deliver services designed to meet those needs.

- B. Service providers must match not less than 20 percent of the amount granted, except for funds used for mentoring. The required match may be cash or in-kind contributions, or a combination of both, from the awardee or any cooperating agency. In-kind contributions may include, but shall not be limited to, staff and volunteer services.
- C. Service providers must provide at least 51 percent of their services under the grant to individuals who are Medi-Cal eligible or who have no other identified third-party funding source.
- D. Service providers must provide, directly or by arrangement, a coordinated service model to include the following:
1. Supported living services: a range of appropriate supervision, support, and training services designed to maximize independence and skills for activities of daily living.
 2. Community reintegration services: as needed services designed to develop, maintain, increase, or maximize independent functioning with the goal of living in the community and participating in community life. These services may include, but are not limited to, providing, or arranging for access to, housing, transportation, medical care, rehabilitative therapies, day programs, chemical dependency recovery programs, personal assistance, and education.
 3. Vocational supportive services: a method of providing vocational rehabilitation and related services that may include prevocational and educational services to individuals who are unserved or underserved by existing vocational rehabilitation services.

The following four characteristics distinguish “vocational supportive services” from traditional methods of providing vocational rehabilitation and day activity services:

- Service recipients appear to lack the potential for unassisted competitive employment.
- Ongoing training, supervision, and support services must be provided.
- The opportunity is designed to provide the same benefits that other persons receive from work, including an adequate income level, quality of working life, security, and mobility.
- There is flexibility in the provision of support which is necessary to enable the person to function effectively at the worksite.

4. Information, referral, and, as needed, assistance in identifying, accessing, utilizing, and coordinating all services needed by individuals with traumatic brain injury and their families.
 5. Public and professional education designed to facilitate early identification of persons with brain injury, prompt referral of these persons to appropriate services, and improvement of the system of services available to them.
 6. The model must be designed and modified with advice from consumers and their families, and must be accessible to the population in need, considering transportation, linguistic, and cultural factors.
- E. Service providers must develop and utilize an individual service plan which will allow consumers to move from intensive medical rehabilitation or highly structured living arrangements to increased levels of independence and employment. The goals and priorities of each consumer must be an integral part of their service plan.
- F. Service providers must seek all third-party reimbursements for which consumers are eligible and must utilize all services otherwise available to consumers at no cost, including vocational rehabilitation services provided by the department. However, grantees may utilize grant dollars for the purchase of non-reimbursed services or services otherwise unavailable to consumers.
- G. Service providers must endeavor to serve a population that is broadly representative regarding race and ethnicity of the population with traumatic brain injury in their geographical service area, undertaking outreach activities as needed to achieve this goal.
- H. Service providers must maintain a broad network of relationships with local and geographically underserved groups of brain injury survivors and families of survivors, as well as local providers of health, social, and vocational services to individuals with traumatic brain injury and their families. The awardees must work cooperatively with these groups and providers to improve and develop needed services and to promote a well-coordinated service system, taking a leadership role as necessary.
- I. Service providers must furnish uniform data to the department pursuant to WIC Section 4355(a) as necessary to monitor and evaluate the program.
- J. Service providers wishing to continue to participate in the program must comply with any additional eligibility requirements established by the Department pursuant to WIC section 4355.

6. SUBMITTAL OF APPLICATIONS

To be considered for funding, applications must comply with the instructions and criteria given.

A. Accessibility

Workplan sections 1-3, which are used for scoring, must be in accessible formats. Further information on making documents accessible is available at the following website: [California Department of Rehabilitation - Resources for Creating Accessible Content](#). This requirement applies to all workplans submitted in either printed or electronic formats. Workplans submitted in a non-accessible format will be considered incomplete and disqualified.

B. Submission Information

Application packages are due to the DOR no later than 3:00pm PT on September 30, 2021. Application packages received after this deadline will be disqualified. Applications may be submitted in one of the following formats:

1. Option 1: Electronic Submissions (Preferred)

Electronic submissions must be received by grants@dor.ca.gov before the date and time specified above. Electronic submissions must contain all documents and attachments listed in this RFA to be considered responsive. All documents must be in a printable and searchable format and may not be password protected. All electronic submissions should use the subject line: RFA IL-21-01 Traumatic Brain Injury Grant Application. Applications submitted by email will not be opened until the deadline has passed. **The grants@dor.ca.gov email will send an automated response to the applicant indicating that their email was received. If the automated response is not received by the applicant, please immediately contact DOR, at contractsinfo@dor.ca.gov.**

2. Option 2: Mailed Submissions

- a. One original and one copy of the application must be mailed in a sealed envelope and be received by DOR before the date and time the application is due.
- b. The original application must be marked "ORIGINAL." All documents contained in the original application package must have original signatures and must be signed by a person who is authorized to bind the proposing organization. The second application set may be a photocopy of the original package.

- c. The application envelope must be plainly marked with the RFA number and title, the applicant organization's name, and "DO NOT OPEN," as shown in the following example:

Department of Rehabilitation
RFA IL-21-01
Traumatic Brain Injury Program
Applicant Organization's Name
DO NOT OPEN

Mail applications (U.S. Postal Service Deliveries, UPS, Express Mail, or Federal Express) to the following address:

Department of Rehabilitation
RFA IL-21-01
Contracts and Procurement
721 Capitol Mall, 6th Floor
Sacramento, CA 95814
DO NOT OPEN

- d. Applications not submitted in a sealed envelope and marked as indicated above will be disqualified.
- e. Additionally, an electronic copy of the application must be emailed to grants@dor.ca.gov before the date and time the application is due. Electronic applications must contain all documents and attachments listed herein to be considered responsive. All documents must be in a printable format and may not be password protected. All electronic applications should use the subject line: RFA IL-21-01 Traumatic Brain Injury Grant Application. The electronic copy of the applications submitted by email will not be opened until the deadline has passed. **The grants@dor.ca.gov email will send an automated response to the applicant indicating that their email was received. If the automated response is not received by the applicant, please immediately contact DOR, at contractsinfo@dor.ca.gov.**
3. Application packages delivered by fax will not be accepted.
4. Applications containing modifications to the terms of this RFA, or that contain inaccurate, or missing information will be grounds for application disqualification.
5. Late Submittals

Applications received after the specified date and time are considered late and will not be accepted. Any application received after the specified time will not be considered or reviewed by the DOR.

7. APPLICATION REQUIREMENTS

The following summarizes the content and organization of the application package. Omissions, inaccuracies, or misstatements may be sufficient cause for rejection of an application.

A. General Requirements

1. Applications must be typewritten, and if submitted by mail, must be manually signed. Forms and certifications may be completed in ink, though providing typewritten forms and certifications is preferred. All documents contained in a mailed submission must have original signatures and must be signed by a person who is authorized to bind the applicant organization. Electronic submissions may contain manually signed and scanned documents or certified electronic signatures furnished by an individual authorized to bind the applicant organization.
2. Documents must be prepared in a single-spaced type, 14-point Arial font, on 8 ½" x 11" sheets with 1" margins. Under this RFA, a page is defined as a single side of an 8 ½" x 11" sheet.
3. Pages must be numbered to show the page numbers and total number of pages in the response; (e.g., Page 1 of 22, Page 2 of 22, etc.). Pages must be numbered at the bottom of the page.

B. Organization of Application and Required Documents

1. Table of Contents

The table of contents must contain a list of all sections of the application with corresponding page numbers.

2. Required Document Checklist

The Required Document Checklist details all documents that must be included for an application to be considered responsive. Applications submitted without a completed Required Document Checklist will be considered incomplete and disqualified.

3. Cover Sheet and Assurances

Applications must contain Attachment 2, Cover Sheet and Assurances, which must be signed by an official authorized to bind the applicant contractually and

provide the names, titles, addresses, telephone numbers, and email addresses of individuals authorized to negotiate and contractually bind the applicant.

By signing the Cover Sheet and Assurances, the applicant affirms the following:

- a. The application is complete and accurate.
- b. The applicant, its principals, and/or subcontractors, are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- c. The applicant, its principals, and/or subcontractors, are not presently on either list: Franchise Tax Board ([Delinquent Taxpayers](#)), or the California Department of Tax and Fee Administration ([CDTFA Sales & Use Tax Delinquencies](#)).

The applicant must also include the following:

- a. Copy of organization's articles of incorporation.
- b. Copy of organization's bylaws.
- c. Copy of organization's annual corporate report, filed with the California Secretary of State for all organizations who have completed one (1) year of fiscal operation, which can be found at <https://businesssearch.sos.ca.gov/>.
- d. Copy of an "entity status" letter issued by the California Franchise Tax Board indicating non-profit status.
- e. Copy of non-profit status letter from the Internal Revenue Service
- f. Licensing and Certification (if applicable).
- g. Insurance and Bonding
 - A. Commercial General Liability Insurance
 - B. Workers' Compensation Insurance
 - C. Professional liability insurance (if applicable).
 - D. Surety bonding for individual practitioners (if applicable).
 - E. Dishonesty bonding for organizations and group practices (if applicable).

4. Work Plan

The Work Plan must be written in a narrative format and should be a clear and comprehensive document detailing an applicant's ability to provide the services requested in this RFA.

The Work Plan will become the Scope of Work for the grant, if awarded.

The Work Plan consists of three sections: Section 1: Methodology and Work Plan, Section 2: Organizational Information, and Section 3: Budget and Staffing. Applicants are encouraged to submit Work Plans divided into these three specific sections.

Sections 1 and 2 of the Work Plan must not exceed 22 pages, combined.

5. Risk Management Plan, Attachment 3

The specific sections identified on Attachment 3, Risk Management Plan, must be included in the application submission. Applicants who have already developed a Risk Management Plan may either submit the relevant components or may submit their entire Risk Management Plan with the relevant sections tabbed for ease of identification.

8. REVIEW PROCESS AND CRITERIA

A. Disposition of Applications

All written correspondence, exhibits, photographs, reports, printed material, tapes, electronic disks, and other graphic and visual aids submitted to the DOR during this process, including as part of a response to this RFA are, the property of the DOR and are subject to the Open Government Laws. Collectively, the California Public Records Act (Government Code sections 6250, et seq.), the Bagley-Keene Open Meeting Act (Gov. Code section 11120 et seq.), and the Freedom of Information Act (FOIA) (5 U.S.C. section 552, as amended by Public Law No. 104-231, 110 Stat. 3048) comprise the Open Government Laws.

B. Administrative Review

1. The Administrative Review is completed to ensure that applications conform to all RFA requirements. This review is completed on a pass/fail basis.
2. Applications received by the deadline, will be opened, reviewed, and evaluated for completeness with the contents of each application compared to the Required Document Checklist. Applications missing required items, including the Required Document Checklist, will be considered incomplete and disqualified.

C. Evaluation

1. Evaluation of applications must be completed by the DOR's Evaluation Panel, which must be comprised of qualified individuals who are knowledgeable about the services requested.
2. Evaluations must be completed in accordance with the scoring criteria contained within this RFA.
3. The DOR intends to award up-to six grants under this RFA; however, the DOR reserves the right to reject all applications and is under no obligation to enter into a grant as a result of this request.
4. An application must receive a minimum score of 60 points to be considered for funding.
5. In the event of a tie, when all factors are considered equal, a coin toss will be used to determine which of the tied applicants receive the award. The applicants involved will be given an opportunity to attend the coin toss either in person or via teleconference. The coin toss will be witness by at least three persons.

Prior to the coin being tossed, the applicant who submitted their grant application package by email to the DOR first will call "heads" or "tails," indicating which side of the coin that party is choosing. The other party will be assigned the opposite side. During the coin toss, the coin will be thrown in the air such that it rotates edge-over-edge several times, and the coin will be allowed to land on the ground or any other surface without being caught. When the coin comes to rest, the toss is complete and the party who called correctly or was assigned the upper side of the coin will be declared the winner.

If the coin lands on its side, against an object, or becomes stuck in such a manner that the coin rests upon its edge, the coin will be re-flipped.

Should multiple applicants be tied for award, one coin will be tossed for each applicant, with each choosing "heads" or "tails" for their own coin, until only one applicant remains. If all applicants miscall a toss, and there is no apparent winner, the round will be re-tossed.

D. Notice of Intent to Award

1. Upon completion of the review and evaluations of the applications, the DOR will award up-to six grants to the highest-scoring qualified applicants.

2. Upon identification of proposed awardees, a Notice of Intent to Award will be posted to the DOR website prior to the award of a grant.
3. Following the 30-day proposed award period, in the absence of an appeal, the DOR will send the successful applicants grant packages for review and signature with a date by which the grant packages must be returned.
4. If terms cannot be reached within the specified timeframe, or should a successful applicant refuse award, the DOR reserves the right to finalize a grant with the next qualified applicant without undertaking a new procurement process or cancelling the award.

E. Applicant Appeals

The California Code of Regulations, Title 9 Section 7334(d) provides for appeal rights for awards. Any applicant for a grant who is dissatisfied with the decision of the DOR relative to an application for or discontinuation of grant funding may request a review by the DOR. The request must be submitted to the DOR within 30 days of the date of the notification of action. The request for review must be in writing and must:

1. Clearly identify all issues in dispute,
2. Contain a full statement of the potential grantee's position with respect to each issue, and
3. Contain pertinent facts and reasons in support of the potential grantee's position and the action requested.

The written request must be submitted to the DOR within 30 days of the date of the Notice of Intent to Award via email to Grants@dor.ca.gov. DOR Contracts and Procurement staff will acknowledge receipt via email.

The Grant Review Committee will be appointed by the Chief Deputy Director and will consist of up to three DOR employees, selected at the Chief Deputy Director's discretion. The Grant Review Committee will:

1. Send a notification letter to the appellant, program staff, and any intended grantee whose grant award could be affected by the appeal. The letter will include the following:
 - a. The names, titles and qualifications of the individuals on the Grant Review Committee;
 - b. The method for communicating with the Grant Review Committee (e.g., submission by email only, appointing a single contact person, requiring that

- parties copy each other on all communication with the Grant Review Committee);
- c. Notice that intended grantees may also respond to the appeal in writing to the Grant Review Committee;
 - d. The deadline by which information will be submitted to the Grant Review Committee in relation to the appeal;
 - e. The information and documents on which the Grant Review Committee will base its decision, including the RFA and any documents submitted for review;
 - f. The date on which the Grant Review Committee's decision will be issued;
 - g. A copy of the appeal submitted;
 - h. A statement notifying all parties that the decision of the Grant Review Committee is final under California Code of Regulations, title 9, section 7334(d)(3).
2. Review the appeal, any responses to the appeal by DOR Program and affected applicants, and the RFA. Depending on the issues raised in the appeal, the Grant Review Committee may also review the Grant Solicitation Manual applications of relevant parties, evaluator bios, resumes, scoresheets, scoring guidelines, and other documents related to the RFA, the documents and evidence presented, and documents related to the RFA as needed. The Grant Review Committee's decision is limited to the issues raised and documents presented in the appeal.
 3. After reviewing the appeal, response and related information, the Grant Review Committee will make its decision. The Grant Review Committee may take actions that could include upholding the grant award in the Notice of Intent to award, making a determination that applications should be re-scored by a new evaluation panel, or rescoring the applications themselves. The new score resulting from the new evaluation panel may be appealed. If the Grant Review Committee rescors the applications themselves, the new scores will be the Grant Review Committee's final decision and may not be appealed.
 4. The Grant Review Committee will notify the appellant, in writing, of the decision of the committee within 30 days of the date of the potential grantee's appeal request is received by DOR. The Grant Review Committee will document the reasoning behind its decision. The Grant Review Committee will notify all affected parties of its decision in writing. The decision of the Grant Review Committee is final.

F. Execution and Performance

No grant between the DOR and a successful applicant is in effect until the grant is signed by the successful applicant and the DOR.

Upon execution, the Grantee must start providing the services under its grant within 30 calendar days, or on the express date mutually agreed upon by the DOR and the Grantee. Should a Grantee fail to start work within this timeframe, DOR reserves the right to terminate the grant. Notice of termination will be provided to the Grantee after the start work period and allow for the Grantee to have five business days to start work. Failure to start work will result in the termination of the grant.

9. ADDITIONAL PROVISIONS

The following requirements must be made part of any grant awarded as a result of this RFA, and it is the sole responsibility of the Grantee to ensure full compliance to these requirements throughout the term of their grant.

A. Insurance

Without limiting the Grantee's indemnification obligations to the DOR, and prior to commencement of work, the Grantee must obtain, provide, and maintain at its own expense during the term of the grant, policies of insurance of the type, amounts, and in a form satisfactory to the DOR.

1. Proof of Insurance

The Grantee must provide certificates of insurance to the DOR as evidence of the insurance coverage required, along with all specified endorsements required by the DOR. All insurance policies, certificates, and endorsements must be approved by the DOR prior to commencement of work. Current certification of insurance must be kept on file with the DOR at all times during the term of the Grant. The DOR reserves the right to require complete, certified copies of all required insurance policies, at any time.

2. Duration of Coverage

The Grantee must procure and maintain, for the duration of the Grant, insurance against claims for injuries to persons or damage to property, which may arise from or in connection with the performance of the work hereunder by the Grantee, its agents, representatives, employees, or subcontractors/subconsultants. The Grantee agrees to maintain all applicable insurance, for a period of no less than three years after completion of the work.

3. DOR's Rights of Enforcement

In the event that any policy of insurance required under this Grant does not comply with these specifications or is canceled and not replaced, the DOR has the right, but not the duty, to obtain the insurance it deems necessary and any premium paid by the DOR will be promptly reimbursed by the Grantee or the DOR will withhold amounts sufficient to pay premium from the Grantee's payments. In the alternative, the DOR may cancel this Grant.

4. Acceptable Insurers

All insurance companies must carry a rating acceptable to the Office of Risk and Insurance Management. If the Contractor is self-insured for a portion or all of its insurance, review of financial information including a letter of credit may be required.

5. Endorsement and Waiver of Subrogation

Any required endorsements requested by the State must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance. The workers' compensation policy must contain a waiver of subrogation in favor of the State. Endorsements and Waiver of subrogation will be required if awarded a grant.

6. Enforcement of Agreement Provisions (non-estoppel)

The Grantee acknowledges and agrees that any actual or alleged failure on the part of the DOR to inform the Grantee of non-compliance with any requirement under this Grant, does not impose any additional obligations on the DOR and does not waive any rights of the DOR hereunder.

7. Requirements Not Limiting

Requirements of specific coverage features or limits contained in this section are not intended as a limitation on coverage, limits, or other requirements, or a waiver of any coverage normally provided by any insurance. Specific reference to a given coverage feature is for purposes of clarification only as it pertains to a given issue and is not intended by any party or insured to be all inclusive, or to the exclusion of other coverage, or a waiver of any type. All insurance coverage and limits provided by the Grantee and available or applicable to this Grant are intended to apply to the full extent of the policies. Nothing contained in this Grant limits the application of such insurance coverage.

8. Coverage Requirements

Commercial General Liability – Grantee shall maintain general liability on an occurrence form with limits not less than \$1,000,000 per occurrence for bodily injury and property damage liability combined with a \$2,000,000 annual policy aggregate. The policy shall include coverage for liabilities arising out of premises, operations, subcontractors and/or subconsultants, independent contractors, products, completed operations, personal & advertising injury, and liability assumed under the Grant. This insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Grantee's limit of liability.

Workers Compensation and Employers Liability – Grantee shall maintain statutory worker's compensation and employer's liability coverage for all its employees who will be engaged in the performance of the grant. Employer's liability limits of \$1,000,000 are required.

Professional Liability (if applicable) – Grantee shall maintain Professional Liability at \$1,000,000 per occurrence and \$2,000,000 aggregate covering any damages caused by a negligent error, act, or omission. The policy's retroactive date must be displayed on the certificate of insurance and must be before the date this grant is executed.

9. Notice of Cancellation

The Grantee agrees to oblige its insurance agent or broker and insurers to provide to the DOR a minimum of 30 days notice of cancellation (except for nonpayment, for which 10 days notice is required), material change in coverage, or nonrenewal of coverage for each required coverage.

10. Additional Insured Status

The general liability and auto liability policies must provide or be endorsed to provide the DOR and its officers, officials, employees, and agents with additional insured status. This provision must also apply to any excess liability policies.

11. Self-insured Retentions

Any self-insured retentions must be declared to DOR.

12. Timely Notice of Claims

The Grantee must give the DOR prompt and timely notice of claims made or suits instituted that arise out of, or result from, the Grantee's performance, and that involve, or may involve, coverage under any of the required liability policies.

13. Subcontractors

To the extent that the Grantee engages the services of subcontractors and/or subconsultants, the Grantee agrees to require the same insurance as required of the Grantee, except as to limits. The limits of insurance for subcontractors and subconsultants must be no less than \$1 million each occurrence and in coverage on insurance for which a limit is specified above.

B. Debarment, Suspension, and Non-procurement

This RFA and subsequent grants are covered transactions for purposes of 2 C.F.R. Part 1200. As such, the Grantees are required to comply with applicable provisions of Executive Orders Nos. 12549 and 12689; and "Debarment and Suspension," 31 U.S.C. section 6101 note; which adopt and supplement the provisions of U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement)," 2 C.F.R. Part 180.

The Applicant's signature on the Cover Sheet and Assurances must also constitute a certification under penalty of perjury under the laws of the State of California that the Applicant or any person associated therewith in the capacity of owner, partner, director, officer or manager:

- Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency;
- Have not had one or more public transactions (federal, state, and local) terminated within the preceding three years for cause or default;
- Has not been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. section 180.800(a) or had a civil judgment rendered against it for one of those offenses within that time period; and,
- Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. section 180.800.

Should the Grantee become excluded or disqualified as defined in this section during the life of the Grant, the Grantee must immediately inform the DOR of this exclusion or disqualification.

C. Prohibition on Tax Delinquency

Any agreement that a state agency enters into after July 1, 2012, is void if the grant is between a state agency and a grantee, or subcontractor, whose name appears on either list of the 500 largest tax delinquencies pursuant to Section 7063 or 19195 of the Revenue and Taxation Code. (Public Contract Code section 10295.4). In accordance with Public Contract Code section 10295.4, agencies are required to cancel agreements with entities that appear on either list.

Work Plan

The Work Plan (sections 1 and 2) must be written in a narrative format and must be no more than 22 pages in length. The Work Plan should be a clear and comprehensive document detailing an applicant's ability to provide the services requested.

Section 1: Methodology and Work Plan (65 Points)

The DOR is seeking applicants who will utilize innovative approaches to provide core services both in-person and online. Comprehensive and well qualified Work Plans will focus on a person-centered, consumer-directed service delivery model.

1. Summary of Program Activities (25 points)
 - a. Goals, Objectives, and Activities
 - b. Work Plan with Timeline(s)
 - c. Alignment with DOR's vision for a statewide TBI network of online and in-person services and supports that will improve the quality of life for persons with TBI, their families, and caregivers.
2. Planned Impact of Program Activities (20 points)
 - a. Plan for outreach and communication with racially, ethnically, and socioeconomically diverse and geographically underserved communities
 - b. Plan for outreach and enrollment of participants who are Medi-Cal eligible or have no other third-party funding sources
 - c. Production and dissemination of accessible, inclusive, and multilingual TBI education materials
 - d. Dissemination of reports, products, and grant outcomes
 - e. Lessons learned/best practice documents
3. Evaluation Measures (20 points)
 - a. Evaluation and technical support capacity
 - b. Program performance evaluation
 - c. Evaluation impact on program development and improvement
 - d. Monitoring and evaluating progress
 - e. Obstacles to completing performance evaluation

Section 2: Organizational Information (15 Points)

The DOR intends to award grants to applicants with organizational plans that are appropriate for the TBI Program Grant. Please describe how you meet each of the requirements below.

1. Resources, capabilities, experience, and organizational partners
2. Proposed sources for 20 percent match of grant funds

Section 3: Budget and Staffing (20 Points)

Provide proposed budget expenditures, made available through this grant, by line item in narrative form including, but not limited to, the following categories:

Proposed Budget

1. Personnel
2. Operating Expenses
3. Equipment
4. Proposed Staffing Plan
 - a. Specific Positions
 - b. Percentage of hours for each position over calendar time
 - c. Resumes for filled positions
 - d. Duty statements for vacant positions

Budget expenditures should clearly align with the activities described in the Work Plan and should have a logical purpose in support of the intended outcomes described therein.

ATTACHMENT 1: Required Document Checklist

A complete application package must consist of the items identified below. Complete this checklist to confirm the items are included in your application. Place a check mark or "X" next to each item that you are submitting to the DOR. For your application to be responsive, **all required documents listed below must be returned with bid**. This checklist must also be returned with your bid package.

Name/Description

- _____ Table of Contents
- _____ Required Attachment Check List (Attachment 1)
- _____ Cover Sheet and Assurances (Attachment 2) Page 1 signed by authorized representative
- _____ Work Plan Sections 1 and 2 (maximum of 22 pages)
- _____ Work Plan Section 3: Budget and Staffing
- _____ Articles of Incorporation
- _____ Organization's bylaws
- _____ Proof of insurance coverage for (General Liability, Worker's Compensation, and if applicable, Professional Liability (see Attachment 5 for sample certificate)
- _____ Secretary of State Organization's Annual Corporate Report (see Attachment 6 for sample report)
- _____ Entity Status letter from the CA Franchise Tax Board (see Attachment 7 for sample letter)
- _____ Non-profit status letter from the Internal Revenue Service (see Attachment 8 for sample letter)
- _____ Licensing and Certification (if applicable)
- _____ Risk Management Plan (Attachment 3)
- _____ Staff resumes or Duty Statements for positions identified in the Staffing Plan

ATTACHMENT 2: Cover Sheet and assurances

Page 1

Applicant (Organization): _____

Address: _____

City: _____ State: ____ Zip Code: _____

Tax ID: _____

Region: _____

Project Director: _____

Phone: _____ Email: _____

Grant Administrator: _____

Phone: _____ Email: _____

Contact person for application:

Phone: _____ Email: _____

The applicant certifies that, to the best of their knowledge and belief, the data and information in this application is true and correct.

Name: _____

Date: _____

Signature: _____

Page 1 of this Attachment must be completed and signed by the applicant, and one copy of the below-listed required documentation **must be returned with the application as outlined in SECTION 7. APPLICATION REQUIREMENTS.**

ATTACHMENT 2: Cover sheet and assurances Page 2**A. Corporate:**

- Copy of organization's articles of incorporation.
- Copy of organization's by-laws.
- Copy of organization's annual corporate report, as filed with the California Secretary of State for all organizations who have completed one (1) year of fiscal operation.

B. Financial Status:

- Provide Entity Status letter from the California Franchise Tax Board indicating non-profit status
- Provide Non-profit status letter from the Internal Revenue Service

C. Licensing and Certification (if applicable):

- If your organization operates a licensed health facility or facilities, attach a current copy of the certificate(s).
- Statement that licensing requirements have been met or are in process.
- The organization agrees to hire, employ and sub-contract with only licensed and/or certified personnel for the provision of all services that require such licensure and/or certification.

D. Compliance with Federal and State Regulations:

By signing the Cover Sheet and Assurances, the applicant agrees to comply with all federal and State legal requirements, including Department of Rehabilitation policies and regulations, which apply to the services being provided.

E. Proof of Insurance and Bonding:

As part of your grant agreement with the Department of Rehabilitation, you are required to carry insurance coverage. An application can be rejected if, after review of the documents submitted under this section, verification of insurance is missing. You must submit applicable:

- Commercial General Liability Insurance
- Workers Compensation Insurance
- Professional liability insurance, if applicable
- Surety bonding for individual practitioners, if applicable

ATTACHMENT 2: Cover sheet and assurances page 3

- Dishonesty bonding for organizations and group practices, if applicable

F. Debarment, Suspension, and Non-procurement

This RFA and subsequent grants are covered transactions for purposes of 2 C.F.R. Part 1200. As such, the Grantees are required to comply with applicable provisions of Executive Orders Nos. 12549 and 12689; and “Debarment and Suspension,” 31 U.S.C. section 6101 note; which adopt and supplement the provisions of U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement),” 2 C.F.R. Part 180. The Applicant’s signature affixed on the Cover Sheet and Assurances must also constitute a certification under penalty of perjury under the laws of the State of California that the Applicant or any person associated therewith in the capacity of owner, partner, director, officer or manager:

- Is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency;
- Have not had one or more public transactions (federal, state, and local) terminated within the preceding three years for cause or default;
- Has not been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. section 180.800(a) or had a civil judgment rendered against it for one of those offenses within that time period; and,
- Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of any of the offenses listed in 2 C.F.R. section 180.800.

Should the Grantee become excluded or disqualified as defined in this section during the life of the Grant, the Grantee must immediately inform the DOR of this exclusion or disqualification.

ATTACHMENT 3: RISK MANAGEMENT PLAN

The specific sections identified below of the bidder's Risk Management Plan must be included in the application submission. All applicants will be required to submit their entire Risk Management Plan.

For each of the elements listed below provide the applicable portion(s) of the Risk Management Plan that contains the information required for the element.

1. Education and Training of Staff

Identify the section(s) and pages(s) of the Risk Management Plan that contains the details on how staff will be trained on topics, such as protecting TBI survivors from abuse and recognizing, responding to, and reporting abuse.

2. Policies and Procedures: Attach the portion(s) of the Risk Management Plan that contain the policies and procedures that ensure:

- First Aid Plan
- Insurance coverage to ensure the health, safety, and protection during transport for consumers
- Confidentiality and HIPAA Compliance
- Emergency Preparedness and Response
- Media inquiries
- Program transparency, including communicating with individuals who may not read or speak English.

3. Reporting System

Attach the portion(s) of the Risk Management Plan that contains the reporting systems and training, including reporting incidents within organization, to DOR, and to authorities, pursuant to mandated reporting laws.

4. Background Check and Fingerprinting

Description of employment of individuals with criminal histories including the process for background checks and fingerprinting.

5. Health and Safety Responsibilities

Attach the portion(s) of the Risk Management Plan that contain details on how the bidder will ensure the health and safety and protection of all Program participants to be served.

Attachment 4: Evaluation and Scoring

The following benchmark materials will be provided to the evaluators. Applications can receive up to 100 points possible. Each section and its elements are outlined in the table below. Scoring criteria can be found on the following page.

| # | Response | Element Possible Score | Actual Score |
|---|--|------------------------|--------------|
| Methodology and Work Plan (65 Points) | | | |
| 1 | Summary of Program Activities | 25 | |
| 2 | Planned Impact of Program Activities | 20 | |
| 3 | Evaluation Measures | 20 | |
| Organizational Information (15 Points) | | | |
| 1 | Resources, Capabilities, Experience, and Organizational Partners | 10 | |
| 2 | Proposed Sources for 20 Percent Match | 5 | |
| Budget and Staffing (20 Points) | | | |
| 1 | Proposed Budget | 10 | |
| 2 | Staffing Plan | 10 | |
| Total possible Score | | 100 | |

Methodology and Work Plan: Summary of Program Activities

| Item 1 | Well Qualified (10 to 12 Points) | Qualified (7 to 9 points) | Not Qualified (0 to 6 points) |
|---|--|--|---|
| Goals, Objectives, and Activities are: | <ul style="list-style-type: none"> – Thoroughly described and clearly and logically align with the person-centered, consumer-driven model – Specific and tangible activities and practices that speak to an understanding of the core services and the DOR's request for adaptable programs to meet the needs of consumers in-person and online – Goals and objectives are innovative and creative, but are still clear and achievable – Seeks to provide services to consumers who are racially, ethnically, socioeconomically, and/or geographically underserved, or speaks to statewide initiatives | <ul style="list-style-type: none"> – Thoroughly described and generally align with the person-centered, consumer-driven model – Activities and practices speak to a general understanding of the core services and the DOR's request for adaptable programs to meet the needs of consumers in-person and online – Goals and objectives are clear and achievable, but the scope of services are limited to the region the applicant serves | <ul style="list-style-type: none"> – Activities and practices do not align with the core services or the DOR's request for adaptable programs to meet the needs of consumers in-person and online – Goals and objectives are neither innovative nor creative, and/or are unclear and unachievable |

| | 10 to 12 Points | 7 to 9 points | 0 to 6 points |
|--------------------------------------|--|---|--|
| Work Plan and Timeline are: | <ul style="list-style-type: none"> - Specific and logical for all elements including objectives, activities, strategies, and responsible parties - Is ambitious, but achievable, and looks at new or innovative ways to provide services both in-person and online - Uses specific dates over general timeframes - Articulates a connection between the work plan, timeline, and the ability to provide services and activities in a variety of ways | <ul style="list-style-type: none"> - Connects work plan to services and activities - Broad descriptions - Logical for all elements including objectives, activities, strategies, and responsible parties - Is achievable, and considers ways to adapt current services to find potential for both in-person and online - Uses specific dates over general timeframes | <ul style="list-style-type: none"> - No connection between work plan and services and/or activities - Descriptions are lacking or missing altogether - Objectives, activities, strategies, and responsible parties are unclear, illogical, or irrelevant to the RFA - The Work Plan or Timeline are unachievable - The timeline demonstrates a lack of knowledge for services |
| Summary of Program Activities | | | ___/25 points |

Methodology and Work Plan: Planned Impact of Program Activities

| Item 2 | Well Qualified (18 to 20 points) | Qualified (13 to 17 points) | Not Qualified (0 to 12 points) |
|---|--|--|---|
| Planned Impact of Program Activities | <ul style="list-style-type: none"> - Specifically address how their outreach will include racially, ethnically, and socioeconomically diverse groups - Inclusive and logical, and will ensure all plans are accessible and multilingual - Innovative and far reaching, but also achievable and realistic - Includes Medi-Cal eligible and/or no 3rd party funding - Specifically address how their outreach will include geographically underserved populations - Specific, logical, and aligned with the Work Plan - Detailed and time bound, reporting and lessons learned tie into process improvement - Achievable and innovative plans for ongoing training and process improvement. | <ul style="list-style-type: none"> - Includes Medi-Cal eligible and/or no 3rd party funding - Details how their outreach will include racially, ethnically, and socioeconomically diverse groups - Includes information about accessible and multilingual outreach - Plans are achievable and realistic - Addresses how their outreach will include geographically underserved populations - Logical, and aligned with the Work Plan - Detailed and reporting and lessons learned tie into process improvement - Achievable plans for ongoing training and process improvement. | <ul style="list-style-type: none"> - Outreach plans do not include information about diversity, inclusion, accessibility, and/or multilingual materials - Specific to one audience - Does not include Medi-Cal eligible and/or no 3rd party funding - Outreach plans are too broad or are too limited to a specific audience - Not aligned with the Work Plan or are broad or incomplete - Reporting and lessons learned don't tie into process improvement, and may not be addressed - Staff training is standard. |
| Planned Impact of Program Activities | | | ___/20 points |

Methodology and Work Plan: Evaluation Measures

| Item 3 | Well Qualified (9 to 10 points) | Qualified (6 to 8 points) | Not Qualified 0 to 5 points) |
|---|---|--|---|
| Evaluation Measures and Program performance evaluation | <p>Clearly, thoughtfully, and specifically include:</p> <ul style="list-style-type: none"> – Monitor and evaluate progress towards goals and objectives – Identify and involve key stakeholders and staff – Continuous quality improvement – Track process and outcome measures to assure activities are met – Evaluation of inputs – Monitor and track effectiveness – External evaluations – Timeline for reporting and evaluations – How data will be used to determine effectiveness of the implementation process and the impact of the objectives on outcomes. | <p>Clearly and thoughtfully addresses:</p> <ul style="list-style-type: none"> – Monitor and evaluate progress towards goals and objectives – Track process and outcome measures to assure activities are met – Monitors and track effectiveness – Timeline for reporting and evaluations – How data will be used to determine effectiveness of the implementation process and the impact of the objectives on outcomes. | <p>Is nonresponsive or only includes how they will:</p> <ul style="list-style-type: none"> – Monitor and evaluate progress towards goals and objectives – Track process and outcome measures to assure activities are met – How data will be used to determine effectiveness of the implementation process and the impact of the objectives on outcomes. |

| Item 3 | 9 to 10 points | 6 to 8 points | 0 to 5 points |
|---|---|---|---|
| Monitoring and Evaluating Progress toward Goal Achievement | Clearly, specifically, and thoughtfully identify: <ul style="list-style-type: none"> – Data collection strategy – Components to be measured – How data will be collected – How data will be validated – How data will be used in alignment with Work Plan – Obstacles to complete the performance evaluation – Obstacles for obtaining data for all objectives or activities | Clearly and thoughtfully identify: <ul style="list-style-type: none"> – Data collection strategy – Components to be measured – How data will be collected – How data will be validated – How data will be used in alignment with Work Plan | Is nonresponsive or only identifies: <ul style="list-style-type: none"> – Data collection strategy – Components to be measured – How data will be collected – How data will be used in alignment with Work Plan |
| Evaluation Measures /20 Points | | | |

| Organizational Information: Resources, Capabilities, Experience, and Organizational Partners | | | |
|---|--|--|--|
| Item 1 | Well Qualified 9 to 10 points | Qualified 6 to 8 points | Not Qualified 0 to 5 points |
| Resources, Capabilities, and Organizational Partners | <ul style="list-style-type: none"> - Describes experience working with individuals with TBI - Specifically, logically, and clearly articulates a connection between organization's resources and its ability to provide services and activities both regionally and statewide - Demonstrates a clear capability to provide services in Work Plan either alone or through strategic partnerships - Thoroughly described in a clear and logical manner that is relevant to the RFA, increases ability to provide services, and/or service area - Articulates a connection between personnel/partners and the ability to provide services and activities statewide - Aligned with Work Plan | <ul style="list-style-type: none"> - Describes experience working with individuals with disabilities - Broadly articulates a connection between organization's resources and its ability to provide services and activities both regionally and online - Demonstrates a capability to provide services in Work Plan - Resources and capabilities are meant for regional application - Described in a clear and logical manner that is relevant to the RFA and increases ability to provide services or service area - Articulates a connection between personnel/partners and the ability to provide services and activities - Aligned with Work Plan | <ul style="list-style-type: none"> - Does not describe experience working with individuals with TBI or disabilities - Resources are only available in-person - Does not relate to the Work Plan - No connection between resources and ability to provide services and activities - Missing information - Generally, articulates a connection between personnel/partners and the ability to provide services - No connection to Work Plan - No connection between personnel/partners and ability to provide services and activities |

| Organizational Information: Proposed Sourced for 20 Percent Match | | | |
|--|--|--|--|
| Item 2 | Well Qualified (5 points) | Qualified (3 to 4 points) | Not Qualified (0 to 2 points) |
| Proposed sources for 20 percent match of grant funds: | <ul style="list-style-type: none">–A logical, innovative, ambitious, and achievable plan to obtain the 20 percent match–Sources are specific and make sense | <ul style="list-style-type: none">–An achievable plan to obtain the 20 percent match–Sources make sense | <ul style="list-style-type: none">–A vague plan to obtain the 20 percent match–Plan is missing funding sources, or is illogical |
| Organizational Information __/15 Points | | | |

| Budget and Staffing | | | |
|-------------------------------|--|---|--|
| Item 1 | Well Qualified 9 to 10 points | Qualified 6 to 8 points | Not Qualified 0 to 5 points |
| Proposed Budget | <ul style="list-style-type: none"> - Clear, logical, and innovative line item narratives - Personnel included supports the intended outcomes - Specific equipment and operating expenses required - How budget aligns with RFA and Work Plan - How budget is innovative | <ul style="list-style-type: none"> - Clear line item narratives - Personnel included supports the intended outcomes - Includes equipment and operating expenses - How budget aligns with Work Plan | <ul style="list-style-type: none"> - Line item narratives are present or are single line descriptions - Broad and vague - No clear connection to Work Plan - Budget looks generic |
| Item 2 | 9 to 10 points | 6 to 8 points | 0 to 5 points |
| Staffing Plan | <ul style="list-style-type: none"> - Lists specific positions that logically align with the Work Plan. Positions have percentages attributed to them, are aligned with the Budget, and are clearly meant for this specific grant. - Staffing Plan is diverse, inclusive, and seeks to maintain a multilingual staff - Staffing plan contains resumes for filled positions and duty statements for vacant positions. Articulates a connection between the staffing plan and the ability to provide services and activities | <ul style="list-style-type: none"> - Staffing Plan lists specific positions that align with the Work Plan and Budget. - Staffing Plan is diverse and well thought out - Staffing plan contains resumes for filled positions and duty statements for vacant positions. Shows a connection between the staffing plan and the ability to provide services | <ul style="list-style-type: none"> - Staffing Plan somewhat aligns with Work Plan and Budget but it doesn't seem well thought out. - Staffing plan contains vague resumes and duty statements. No connection between the staffing plan and the ability to provide services |
| Budget /20 Points | | | |

ATTACHMENT 5: sample of proof of insurance coverage

ATTACHMENT 5: SAMPLE - PROOF OF INSURANCE



CERTIFICATE OF LIABILITY INSURANCE

 DATE (MM/DD/YYYY)
02/02/2021

| | |
|---|--|
| THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER. | |
| IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s). | |
| PRODUCER All-Cal Insurance Agency 505 Vernon Street Roseville CA 95678 | CONTACT NAME: DiAnna Martin PHONE (A/C, No, Ext): (916) 784-9070 FAX (A/C, No): (916) 784-0158 E-MAIL ADDRESS: dianna@all-calinsurance.com INSURER(S) AFFORDING COVERAGE INSURER A: Nonprofits' Insurance Alliance of California NAIC # 011845 INSURER B: State Compensation Insurance Fund 35076 INSURER C: INSURER D: INSURER E: INSURER F: |
| INSURED Entity ABC 123 Alphabet Street Sacramento CA 95814 | |

| COVERAGES | | CERTIFICATE NUMBER: CL2012409825 | | REVISION NUMBER: | | | |
|---|--|----------------------------------|----------|------------------|-------------------------|-------------------------|--|
| THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS. | | | | | | | |
| INSR LTR | TYPE OF INSURANCE | ADDL INSD | SUBR WVD | POLICY NUMBER | POLICY EFF (MM/DD/YYYY) | POLICY EXP (MM/DD/YYYY) | LIMITS |
| A | <input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR <input checked="" type="checkbox"/> Improper Sexual Conduct \$ 250,000 / 250,000 GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC <input checked="" type="checkbox"/> OTHER: Liquor Liability - Included | | | 2020-05135NPO | 06/20/2020 | 06/20/2021 | EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 500,000 MED EXP (Any one person) \$ 20,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 3,000,000 PRODUCTS - COMP/OP AGG \$ 3,000,000 Professional Liability \$ 3,000,000 |
| A | AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input checked="" type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY | | | 2020-05135NPO | 06/20/2020 | 06/20/2021 | COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ Comp & Coll Deductible \$ 500 |
| A | <input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> EXCESS LIAB OCCUR CLAIMS-MADE DED <input checked="" type="checkbox"/> RETENTION \$ 10,000 | | | 2020-05135UMB | 06/20/2020 | 06/20/2021 | EACH OCCURRENCE \$ 1,000,000 AGGREGATE \$ 1,000,000 |
| B | WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below | Y/N N | N/A | 1894154-20 | 12/31/2020 | 12/31/2021 | <input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTH-ER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000 |
| A | Employee Dishonesty Forgery & Alteration | | | 2020-05135PROP | 06/20/2020 | 06/20/2021 | Limit \$ 50,000 Limit \$ 50,000 Deductible \$ 500 |
| DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required) THIS CERTIFICATE IS PROVIDED ONLY AS EVIDENCE OF COVERAGE. | | | | | | | |

| | |
|--------------------|---|
| CERTIFICATE HOLDER | CANCELLATION |
| INFORMATION ONLY | SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS. AUTHORIZED REPRESENTATIVE |

ATTACHMENT 6: SECRETARY OF STATE ORGANIZATION'S ANNUAL CORPORATE REPORT**Attachment 6: Sample Secretary of State Organization's Annual Corporate Report****Secretary of State
Certificate of Status**

I, JAMES SCHWAB, Acting Secretary of State of the State of California, hereby certify:

Entity Name: [REDACTED]
File Number: C [REDACTED]
Registration Date: 08/30/1985
Entity Type: DOMESTIC NONPROFIT CORPORATION
Jurisdiction: CALIFORNIA
Status: ACTIVE (GOOD STANDING)

As of January 20, 2021 (Certification Date), the entity is authorized to exercise all of its powers, rights and privileges in California.

This certificate relates to the status of the entity on the Secretary of State's records as of the Certification Date and does not reflect documents that are pending review or other events that may affect status.

No information is available from this office regarding the financial condition, status of licenses, if any, business activities or practices of the entity.



IN WITNESS WHEREOF, I execute this certificate
and affix the Great Seal of the State of California
this day of January 21, 2021.

JAMES SCHWAB
Acting Secretary of State

Certificate Verification Number: YK2PD3Z

To verify the issuance of this Certificate, use the Certificate Verification Number above with the Secretary of State Certification Verification Search available at bebizfile.sos.ca.gov/certification/index.

ATTACHMENT 7: SAMPLE OF ENTITY STATUS LETTER FROM THE CALIFORNIA FRANCHISE TAX BOARD



Attachment 7 : Sample Entity Status Letter from CA Franchise Tax Board

STATE OF CALIFORNIA
FRANCHISE TAX BOARD
PO BOX 942857
SACRAMENTO CA 94257-0540

Entity Status Letter

Date: 1/30/2021

ESL ID: 3441167078

Why You Received This Letter

According to our records, the following entity information is true and accurate as of the date of this letter.

Entity ID:

Entity Name:

- ☒ 1. The entity is in good standing with the Franchise Tax Board.
- ☐ 2. The entity is **not** in good standing with the Franchise Tax Board.
- ☒ 3. The entity is currently exempt from tax under Revenue and Taxation Code (R&TC) Section 23701 d.
- ☐ 4. We do not have current information about the entity.
- ☐ 5. The entity was administratively dissolved/cancelled on _____ through the Franchise Tax Board Administrative Dissolution process.


Important Information

- This information does not necessarily reflect the entity's current legal or administrative status with any other agency of the state of California or other governmental agency or body.
- If the entity's powers, rights, and privileges were suspended or forfeited at any time in the past, or if the entity did business in California at a time when it was not qualified or not registered to do business in California, this information does not reflect the status or voidability of contracts made by the entity in California during the period the entity was suspended or forfeited (R&TC Sections 23304.1, 23304.5, 23305a, 23305.1).
- The entity certificate of revivor may have a time limitation or may limit the functions the revived entity can perform, or both (R&TC Section 23305b).

Connect With Us

Web: ftb.ca.gov
Phone: 800.852.5711 from 7 a.m. to 5 p.m. weekdays, except state holidays
916.845.6500 from outside the United States
TTY/TDD: 800.822.6268 for persons with hearing or speech impairments

**ATTACHMENT 8: SAMPLE OF NON-PROFIT STATUS LETTER FROM THE
INTERNAL REVENUE SERVICE****Attachment 8: Sample Non-Profit Status Letter from the IRS**



 **IRS** Department of the Treasury
Internal Revenue Service
P.O. Box 2508
Cincinnati OH 45201

In reply refer to: 0248667581
July 23, 2009 LTR 4168C E0
68-0085639 000000 00

00014381
BODC: TE


RD STE A
CA 95959-3227

16390

Employer Identification Number: 
Person to Contact: 
Toll Free Telephone Number: 1-877-829-5500

Dear Taxpayer:

This is in response to your request of July 14, 2009, regarding your tax-exempt status.

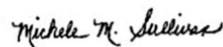
Our records indicate that a determination letter was issued in June 1986, that recognized you as exempt from Federal income tax, and discloses that you are currently exempt under section 501(c)(3) of the Internal Revenue Code.

Our records also indicate you are not a private foundation within the meaning of section 509(a) of the Code because you are described in section(s) 509(a)(1) and 170(b)(1)(A)(vi).

Donors may deduct contributions to you as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

If you have any questions, please call us at the telephone number shown in the heading of this letter.

Sincerely yours,



Michele M. Sullivan, Oper. Mgr.
Accounts Management Operations I