



**Office of Temporary
and Disability Assistance**

Release Date: April 13, 2016

Request for Proposals

Mohawk Valley

Employer Resource Network

Submission Deadline: June 1, 2016

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I. IMPORTANT INFORMATION

For purposes pertaining to this Request for Proposal the term “Offeror” will mean an organization which has submitted an application for consideration of funding. The term “Contractor” will mean an organization which has been awarded funds and entered in to a contract with the State.

This page contains information regarding the Mohawk Valley Employer Resource Network (Mohawk Valley ERN) Request for Proposals (RFP) that is essential for any prospective applicant. Since the Mohawk Valley ERN RFP was released through the New York State (NYS) Grants Gateway system, the traditional manner of submitting hard copy applications to OTDA is no longer a viable option. As a result, OTDA has altered the design of the RFP to assist applicants in navigating and submitting proposals through the Gateway system correctly. The RFP has been categorized into four sections listed below:

1. PART A: RFP Summary Information
2. PART B: Instructions for Completing the Application
3. PART C: Required Uploaded Documents
4. PART D: Printed Version of Gateway Application

A. RFP Summary Information:

This section of the RFP is the traditional 20 to 30 pages explaining the requirements of the RFP. This section details the timelines, summary, program and contract information, proposal requirements and other aspects of the procurement.

B. Instructions for Completing the Application:

All agencies submitting a proposal for this procurement must use the NYS Grants Gateway system at www.grantsgateway.ny.gov. Because this is a new system and many agencies may not have had any experience in navigating and using the system, we have included this section to assist applicants in utilizing the system efficiently.

It is important to note that while any employee who has access may work on the application, only someone with a **Grantee Signatory** or a **System Administrator** role can submit the application to the State. Please develop and submit your application as early as possible to avoid last-minute problems.

Applications will not be accepted outside of the Grants Gateway System.

C. Required Uploaded Documents:

This section will list all documents and forms that must be submitted with the application. Where there is a document requested, a link will be provided so that the applicant can download the form, complete, and upload it as required.

D. Printed Version of Gateway Application:

This section will contain a complete copy of the application questions contained in the Grants Gateway system.

OTHER IMPORTANT INFORMATION

Prequalification Requirements:

Pursuant to the NYS Division of Budget Bulletin H-1032, dated June 7, 2013, NYS has instituted key reform initiatives to the grant contract process which require not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process for proposals to be evaluated. Information on these initiatives can be found on the [Grants Reform Website](#).

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The [Vendor Prequalification Manual](#) on the Grants Reform Website, which details the requirements, and an [online tutorial](#) are available to walk users through the process.

1. Register for the Grants Gateway

- On the Grants Reform Website, download a copy of the [Registration Form for Administrator](#). A signed, notarized original form must be sent to the Division of Budget at the address provided in the instructions. You will be provided with a Username and Password allowing you to access the Grants Gateway.

If you have previously registered and do not know your Username please email grantsreform@budget.ny.gov. If you do not know your Password please click the [Forgot Password](#) link from the main log in page and follow the prompts.

2. Complete your Prequalification Application

- Log in to the [Grants Gateway](#). If this is your first time logging in, you will be prompted to change your password at the bottom of your Profile page. Enter a new password and click SAVE.
- Click the Organization(s) link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. If you do not currently have a State contract(s) you should select OTDA. This page should be completed in its entirety before you SAVE. A Document Vault link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the Required Forms and upload Required Documents. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposal.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform Team at: grantsreform@budget.ny.gov.

3. Submit Your Prequalification Application

- After completing your Prequalification Application, click the Submit Document Vault Link located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted the status of the Document Vault will change to In Review.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.

- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with NYS.

4. Other helpful information:

- There is a Grantee Application Tutorial Video available. After logging into Grants Gateway, click the “training materials” tab at the top of the screen.
- Helpdesk information: Monday thru Friday 8am to 8pm
- Phone: 1-800-820-1890
- Email: helpdesk@agatesoftware.com.

PART A

II. Timelines and Proposal Submission

A. Questions Concerning this Request For Proposals (RFP)

Bidders may submit typed questions via electronic mail, fax or by mail to the address provided below. Questions regarding the RFP will be accepted until 5:00 p.m. April 25, 2016. No handwritten or telephone inquiries will be accepted. Answers to all questions received by this date will be posted on the Grants Gateway website at: www.grantsgateway.ny.gov and on the NYS Office of Temporary and Disability Assistance website at www.otda.ny.gov no later than May 9, 2016.

NYS Office of Temporary and Disability Assistance
Center for Employment and Economic Supports
Attn: Luke Posniewski
40 North Pearl Street, 11D
Albany, NY 12243-0001
Fax: (518) 486-7650
E-mail: luke.posniewski@otda.ny.gov

B. Notice of Intent to Bid

Organizations intending to submit a proposal in response to this RFP are **asked** to use the "Notice of Intent to Bid" form in order to help OTDA prepare for the number of proposals we may expect to receive. This form, completion and forwarding instructions are included in Attachment A1. The bid form is **not** a requirement.

C. Proposal Submission and Due Date

All Proposals must be submitted via the NYS Grants Gateway at: www.grantsgateway.ny.gov and be received no later than 12:00 p.m., June 1, 2016. Once the deadline has passed, the Grants Gateway system will no longer accept applications. Eligible applicants should complete and submit all answers to questions and submit any forms required by this RFP. Failure to submit all required forms and answer all required questions may adversely affect the proposal's competitive score or make the proposal ineligible.

D. RFP Timetable

- RFP Release Date – April 13, 2016
- Deadline Date for Questions – April 25, 2016
- Submission of Notice of Intent to Bid – April 25, 2016
- Deadline Date for Responses to Questions – May 9, 2016
- Proposal Due Date – June 1, 2016
- Date of Notification of Award – July 15, 2016
- Project Start Date – September 1, 2016

III. Summary of the RFP

A. Purpose

One of the major challenges employers and low-wage/low-skilled employees face is job retention. For employers, high turnover in staff can cost thousands of dollars for re-hiring and re-training activities and frequent turnover can also be detrimental to the employee morale. For low-wage workers, maintaining employment can be difficult in addition to navigating other life challenges that arise such as limited funds to address emergencies, lack of education and absence of a strong support network. Often times, getting a job is not the problem; it is keeping the job over a sustained period of time and managing the work-life balance. Public Assistance recipients are especially vulnerable when transitioning to and keeping employment.

To address job retention, OTDA is providing seed money through a Request for Proposal (RFP) process for the establishment of an Employer Resource Network (ERN) project in the Mohawk Valley Region.

ERNs are public/private partnerships with the main goal of uniting businesses and community partners to improve job retention and advancement for low-wage/low-skilled workers. ERNs are made up of a consortium of typically small to mid-size businesses that share resources to benefit all member businesses. ERNs also include strong partnerships with other service delivery systems and organizations such as social service agencies to support employees and businesses. The key service for job retention offered by ERNs is short-term case management for employees of the ERN provided through retention specialists/"Success Coaches" to confidentially resolve work, personal and family challenges that interfere with employment.

B. Available Funds/Award Amount

A total of \$80,000 in State Funds is available to support the Mohawk Valley ERN project for a 24-month period. Funds for this program are contingent upon subsequent budget appropriations and/or re-appropriations of existing funds. A single award of up to \$70,000 will be made to the selected Contractor for implementation of an ERN project in the Mohawk Valley. Please note: projects are not required to serve the entire Mohawk Valley Region with the award but must provide a clear description of the specific target area within the Mohawk Valley where they intend to operate. For the purposes of this RFP, the Mohawk Valley Region consists of the following counties: Fulton, Herkimer, Montgomery, Oneida, Otsego and Schoharie. Should additional funds become available to support this RFP, OTDA reserves the right to make an award in excess of the amount listed above or to support more than one application.

The remaining \$10,000 has been allotted to contract with Disruptive Innovations for Social Change (DISC) to provide programmatic and technical assistance to the selected Contractor. Since DISC has entered into a contract with OTDA to provide assistance to the State and the selected Contractor, any prospective bidder is prohibited from soliciting assistance from DISC for their application in response to the RFP. DISC is utilizing the services of the Schenectady Area Employer Resource Network (SAERN) to assist in providing technical assistance and as such, SAERN is hereby prohibited from bidding on the RFP or providing assistance to any prospective bidder prior to award selection.

The selected Contractor will earn funds based on the submission of expense claims according to the approved budget in the executed contract. The award shall not duplicate or supplant any reimbursement provided or funding made available by OTDA or any other federal, State or local government entity.

C. Contract Period

The selected Contractor will receive a 2-year contract to begin on September 1, 2016. Funding for the initial 24-month term and any subsequent periods is contingent on the continued availability of funding and satisfactory performance of the Contractor.

D. Eligible Applicants

Organizations eligible to apply for funding under this initiative are limited to non-profit organizations. For-profit organizations will not be allowed to respond to this procurement. Applicant organizations may apply independently, or as a lead organization of a consortium of organizations. Proposals submitted on behalf of a consortium of providers must designate one of the agencies as the lead agency for the consortium, and must include in their application a description of the roles and responsibilities of the lead applicant and each co-applicant.

All applicants must complete OTDA's Bidder Application Form which can be found at:

www.otda.ny.gov/contracts/lbidder

Private not-for-profit applicants must be registered and in good standing with the Charities Bureau of the Attorney General's Office.

IV. Program and Contract Information

A. Program Background

OTDA includes as part of its core mission the goal of enhancing the economic security of low-income families and helping public assistance recipients enter the workforce. Job retention is a key element to improve a family's economic stability and is critical to achieving advanced wages over time. While New York is experiencing improved job growth, job retention remains a challenge for lower-wage workers who often do not have vital supports to manage the work-life balance often resulting in a high rate of job loss. Job loss is not just problematic for individuals and families, but for employers as well, as they must bear the high costs of turnover and training.

Faced with the same issues, a large manufacturer in Grand Rapids, Michigan, formed a partnership with a local social services agency and they began co-locating a welfare case manager at the employer worksite to address the personal and family challenges that were contributing to job turnover. This endeavor, while successful, was difficult for smaller businesses which lacked the resources and capacity to replicate. The solution was to form a partnership with other small to mid-size area businesses and combine existing resources to address the needs around employee assistance and training to provide an opportunity toward continuous growth. By pooling their resources, businesses could provide the services necessary to maintain a knowledgeable, skilled and productive workforce in a manner that each business may not have had the capacity to do on their own. This employer based approach with worker-centric focus became known collaboratively as the Employer Resource Network (ERN) Model.

The first ERN was established in Michigan in 2001 and has been adopted and implemented in other areas and states since. The ERN, a network of 6 – 10 employers on average, brings together public, private, non-profit and government entities to assist in helping low-income workers succeed. The ERN's Success Coach spends a specified amount of time at a participating employer relative to the employer's contribution to the ERN. The contributions, or "shares", that participating employers purchase are set by the ERN and fund the salary of the Success Coach or other services depending on the needs of the ERN. Having the Success Coach on site on a

regular basis allows employees to address issues with minimal loss of work. Services are available to all employees of participating businesses with a focus on those who are entry level, low skilled and low income. Through the collaboration the ERN is able to leverage services too costly for any individual member and can tailor its programs to provide information, referrals, education and training to meet employee needs.

In 2014, a collaborative effort between the City Mission of Schenectady and Ellis Medicine established the first ERN in NYS. Five businesses signed on as part of the original venture and a Success Coach was hired to provide the individual case management tailored to employee needs. The success of the program in its initial year has subsequently expanded interest and now 14 businesses participate and an additional Success Coach was hired to meet the rising demand. Due to the success of the Schenectady Area ERN, other businesses and communities have expressed interest in the ERN model and a new partnership has recently launched in the Albany area.

OTDA supports communities throughout the State by providing a range of assistance to economically disadvantaged citizens of New York. By providing seed money for the establishment of an ERN in the Mohawk Valley, OTDA looks to expand on the momentum and success of the ERN model and create a foundation upon which other businesses and community organizations can expand and replicate throughout the State.

Attachments C1 and C2 are tools designed by DISC to help organizations assess a community's capacity and readiness for an ERN and to help applicant organizations further understand the theory of the ERN model. These tools are provided for applicant's reference and will be utilized by DISC and SAERN as part of the contract to provide assistance provided to the selected Contractor.

B. Description of Services Sought

1. Program Features

The focus of the ERN is to pool and leverage resources of local businesses and link corporate, community and government partners in an effort to collaborate and share information and services for the betterment of employees, employers and the community. The selected Contractor, with the technical assistance support from DISC/SEARN, will use the ERN model framework to establish and implement an ERN project in the Mohawk Valley which incorporates the following features:

a. ERN Lead Agency

OTDA is seeking applicants who have demonstrated community ties to local non-profit human services organizations, the business sector and educational institutions. The organization also must have a history of providing services to the low-income and low-skilled populations and experience with coalition building and operating programs that support employment and self-sufficiency.

b. Consortia of Businesses

ERNs are typically, but not limited to, a group of six to ten businesses. The number of members is essential because the management and operation of the ERN requires investments of time and energy from each participating member. If there are too few members the ERN may operate inefficiently with services of the success coach being underutilized. If there are too many members, the service capacity may have reached a maximum level and impede on the high touch, hands-on case management ability of the success coach. The optimal number of member businesses will depend upon the size of the participating businesses and usage amongst the employees.

The awarded ERN lead agency Contractor will be responsible for making presentations to and recruiting businesses to join the ERN. ERNs can focus on one business sector or can include a variety of employment sectors as long as the targeted businesses include those with a large proportion of low-skill and low-wage jobs. The Contractor should endeavor to secure an employer champion who is respected among the community.

Employer Resource Networks are employer lead, public/private partnerships, and as such, employer commitment is crucial to their success. An employer champion could be an employer who is interested in being a founding member of the ERN, or an influencer / advocate who will be able to help the grantee get the right employers to the table. Ideally this should be an employer, not a member organization representing employers. Attachment C4 provides the types of attributes that are desirable in an employer champion.

Once up and running, the ERN member agencies govern the program and provide its direction and guidance. The type of services offered, trainings provided and the amount of on-site engagement by the Success Coach are all determined by the participating members.

The aforementioned contract with DISC and consulting partner SAERN has been procured to provide the selected Contractor with expert guidance in the establishment of the ERN. DISC and SAERN will provide knowledge and proprietary tools to assist the Contractor in all aspects of the ERN's development, scaling and function.

c. Member "Shares"

While ERNs are comprised of multiple businesses, the amount of time any individual member has onsite access to the Success Coach or other services is a direct correlation to the amount of "Shares" or financial commitment that the member business contributes to the ERN. The ERN will establish the costs of shares depending on the needs and costs of maintaining services. The cost of a share for example could be \$10,000 which could equate to one day a week of onsite services or the ERN could decide to establish an hourly rate for shares. The cost of a share is at the discretion of the ERN. However, the ERN must ensure that the rate established can sustain its services as the funding made available through the RFP will not provide long term maintenance of the ERN.

d. Entry-level, lower-wage focus

The services of the ERN and access to the Success Coach should be available to all the employees of the member businesses with the primary focus geared towards employees who work at the low-skilled, low-wage, entry-level jobs of the member organizations. These positions are at risk of high turnover and a majority of individuals who hold these positions are often eligible for public assistance programs and other work supports and would achieve the greatest benefit from the services available.

e. Job Retention

The overarching principle of the ERN model is employee retention. The reduction in the amount high cost turnover and staff training required by members is the key performance indicator of the ERN. The services and hands-on case management provided by the Success Coach should be aligned with the goal of job retention and reducing the amount of absenteeism.

f. Training / Skill Building / Advancement

The ultimate goal of any ERN is to retain the employees of its member businesses. To maintain a productive and engaged workforce, businesses must provide the tools for employees to learn the aspects of their jobs, increase their productivity and have the opportunity to advance. ERNs provide a way for companies to share the costs of these

services and offer employees opportunities that individually would be difficult. For example, the employers may have a common need for customer service training and by pooling resources they can provide such training at a reasonable cost.

g. Success Coach (Case Management)

The ERN has a Success Coach or case management/retention specialist that spends a specific amount of time at a participating business relative to the amount of contribution (“Share”) made by the business to the ERN. The Success Coach provides a complex set of information and referral services to workers affiliated with the ERN that helps employees connect to community resources and assists with removing barriers. Employees within the ERN network request services from the Success Coach through the established network within each member agency. The work involves interviewing ERN business employees who have self-identified themselves as needing assistance or employees who have been referred by management, to identify problems, determining the level of assistance needed, and referring clients to the appropriate agency or other follow-up service in areas not limited to: child care, transportation, housing, domestic violence, education and career advancement.

The Success Coach’s responsibilities are established and defined by the ERN, but common examples include, but are not limited to, the following:

- Helps ERN employees access services needed or otherwise manage to overcome barriers to employment;
- Develops client action plans after conducting assessments and interviews;
- Works in conjunction with human resources and management to help identify employees in crisis;
- Identifies additional barriers to employment and assesses appropriateness of training/educational services and facilitate connections to program services;
- Keeps current and relevant information of available community and social services to ERN employees and provides information on how to obtain services;
- Assists ERN employees in completing applications for social services and other benefit programs when needed;
- Provides emergency assistance and crisis intervention to employees when necessary;
- Produces reports to be presented at ERN board meetings detailing the number and type of services provided and outcomes;
- Demonstrates continuous effort to improve the process, decrease turnaround times, streamline work methods, and work cooperatively and jointly to provide value-added customer service to employees; and,
- Establish, nurture and maintain appropriate linkages to internal and external employee resources.

A more in-depth example of a Success Coach job description is provided for your reference in Attachment C3.

h. Action Plan

For each employee who avails themselves of the ERN’s services, the Success Coach must develop an Action Plan that identifies the work-related, personal or family issues interfering with employment and a plan of action to reduce or eliminate the effect on job attendance and performance.

At a minimum, the Action Plan should:

- Be designed in conjunction with the employee and the course of action mutually agreed upon;
- Identify the issues affecting job performance;

- Consider the employee's education, work history and job preferences as it may relate to the issue identified;
- Include an assessment of individual aptitudes, interests and acquired job skills;
- Contain immediate short-term actions/goals, such as referral to social services for emergency Supplemental Nutrition Assistance Program (SNAP) benefits; and,
- Specify a timeframe for completing program components and meeting goals.

2. Community Relationships

a. Department of Social Services

Since many entry-level, lower-income employees of the ERN member organizations may be recipients of, or eligible for, public assistance or other types of benefits and work supports, it is important that applicant organizations establish strong relationships with the social services district(s) (district) in the targeted area of Mohawk Valley where they intend to operate the ERN project. Navigating the social services corridor can be challenging and ultimately time consuming, which can be an impediment to job retention. By establishing strong relationships within the targeted district(s), the ERN can mitigate the difficulties associated with the procedures of applying for, or, receiving services and reduce the time the employee is absent from work. The districts are a crucial resource to the success of the ERN and a relationship with the district(s) is a requirement of the RFP. While the Mohawk Valley is comprised of 6 counties, for purposes of RFP submission and evaluation, only one (1) Department of Social Services ERN Contact Form is required with the proposal. The county for which a contact has been established should be based on the majority of the workforce comprised of the businesses that have expressed interest in the ERN program. While only one Department of Social Services ERN Contact Form is required with the proposal, it is recommended that relationships be established with all districts covered in the ERN. Applicant organizations should contact districts early in the planning stage to learn what the district's process is for obtaining their support, and to allow sufficient time to obtain the signed Department of Social Services ERN Contact Form (Attachment A2) by the submission deadline. Attachment A3 provides a list of Commissioners by county.

The selected organization will also be expected to establish a contact with all districts in which employees that avail themselves of the ERN's services reside, including those that may lie outside of the Mohawk Valley catchment area.

b. Community Resource Providers

Besides community resources directly related to employment, or training related to employment, a successful ERN has links to supportive services as well. Many of the issues surrounding job retention have to do with areas outside of the job itself. Housing, reliable transportation, childcare, backup childcare, home heating/energy emergencies and even putting food on the table can be major issues that employees who work in low-wage positions face. Having relationships with local agencies that provide these services are imperative to resolving emergencies for employees. Successful ERNs establish and maintain these relationships while expanding their network as new needs arise to provide for a more comprehensive service to the employee. The more links to resources the ERN has established to mitigate a crisis, the more time an employee spends on the job.

c. Educational / Training Providers

A key component to the success of an ERN is the relationships the ERN holds with community educational and training providers. Maintaining employment is the primary function of the ERN but the ability to leverage trainings and other vocational instruction is an important component in achieving that goal. Partnerships with community colleges, Educational Opportunity Centers, BOCES and other providers that can offer targeted

vocational instruction will enhance the ERNs ability to serve member businesses employees. Community partnerships are not limited to the traditional educational providers. Many non-profit and other community agencies offer trainings in many areas including the soft skills training, job skills training and other vocational instruction essential to fulfilling the needs of the employer community.

3. Sustainability

NYS OTDA is providing the seed money necessary to implement an ERN in the Mohawk Valley. As the funding made available through the RFP will not provide long term maintenance of the ERN, the awarded Contractor must have a leveraging strategy in place that demonstrates the ability to contribute non-State funds to the project, including but not limited to, employer shares from ERN business members, the applicant organization supporting project administration costs, philanthropic support, partnering with training and educational partners, social services district(s) and other community based organization, etc. to provide funds/or benefits.

4. Program Timeline and Deliverables

The selected Contractor will be expected to follow the general ERN framework that has been developed by DISC as the basis to implement and maintain this project. That being said, OTDA does not want to impede innovation and encourages Contractors to propose enhancements designed to increase program success and viability. To assist bidders with the planning process, listed below is a matrix that provides a general timeline of the basic ERN framework with the major project deliverables and technical assistance support that will be provided by DISC/SAERN to the awarded Contractor. OTDA will make all final decisions regarding how grant funds support the selected Contractor to establish the ERN.

Development Phase (3 months)	
Months 1 – 3	
Deliverables	Summary
Presentations and Business Recruitment	DISC/SAERN will work with the selected Contractor to target and meet with employers and key stakeholders.
ERN structure and schedule	DISC/SAERN will help the selected Contractor determine ERN size, MOU development, interface with key partners such as employers, social services districts, education providers, etc. and develop a timeline for the project.
Success Coach training	DISC/SAERN will assist the selected Contractor with the selection and training of a Success Coach and conduct job shadow sessions with experienced Coaches.
Metrics development and tracking	DISC/SAERN will provide training on common ERN metrics tracking and reports, determine specific metrics for the ERN.
Program Implementation/"Launch" process and coaching	DISC/SAERN will provide template tools and launch checklists used by other ERNs to be customized and coaching on ERN company launch meetings.
Develop Structure and Recommendations for Phase 2	In cooperation/coordination with the OTDA, DISC/SAERN will assist in developing options for ERN administration for the selected Contractor's team.
Implementation & Performance Phase (12 months)	

Months 4 – 15	
Transition ERN Leadership	DISC/SAERN will assist the selected Contractor with transitioning leadership to the ERN's designee
Assist ERN Chair(s) in meeting prep	DISC/SAERN will participate in meetings to work through launch challenges and share common practices
Monthly ERN meetings	DISC/SAERN will participate in monthly meetings with the selected Contractor and ERN members to work through launch challenges and share common practices.
Mid-year Review	DISC will conduct a review of performance to date and hold a discussion on benchmarks with other ERNs in New York and nationally. The summary and results of the review will be provided to OTDA.
Ongoing support	DISC/SAERN will provide the selected Contractor and ERN members with telephone and email support and assist with monthly metrics reporting between meetings.
Success Coach / Peer Group	DISC/SAERN will provide the selected Contractor with access to monthly coach calls that discuss challenging cases, new resources.
Program development	DISC/SAERN will work with the selected Contractor and ERN members to implement a Loan & Savings Program.
National ERN learning Community	DISC will provide access to a national peer group of agencies that are leading ERNs or in the process of launching an ERN to share best practices, benchmarks across ERN sites in Michigan, Vermont, and Indiana.
Annual Report	DISC/SAERN will assist the selected Contractor and ERN members in development of first annual report.
Year two planning	DISC/SAERN will assist the selected Contractor with a budget and scaling plan.

5. Reporting and Outcomes

a. Startup/Development Phase

During the initial phase, the selected Contractor will provide OTDA with a quarterly narrative report detailing the progress in establishing the ERN. The report will consist of, but not be limited to, information regarding the following: (if applicable)

- The hiring of a “Success Coach”;
- Details of contacts with potential employers;
- Summary of any meetings/presentations with prospective employers, community based providers, training and education organizations and local social services district(s);
- Summary of meetings/trainings with DISC and/or SAERN regarding the development of the ERN; and,
- Feedback, if provided, from any potential employer on their reception of the ERN model.

b. Implementation/Performance Phase

Once the ERN has secured employer participation and established its governing principles, the selected Contractor will provide OTDA:

- Details to the design, structure and management of the ERN with employers who have committed to the project;
- The established cost of a “Share” for member businesses. It is important to note that funding from the State is a single issue occurrence and will not maintain the ERN. The establishment of Share costs should be sufficient to maintain services once State funding has ceased. If a reduced initial rate is used to garner employer participation, this should be noted including the duration of the reduced rate.

In addition to providing OTDA with the previously mentioned reports, the ERN will provide quarterly statistical reports that include, but are not limited to, the following:

- Number of employees served by employer;
- Number of employees served with active public assistance cases vs. individuals not in receipt of public assistance;
- Number of referrals made for, and type of, support services;
- Number of referrals made for, and type of, education/training;
- Number of retentions (jobs saved) through involvement (6 Mo. / Yr.)
- Return on Investment;
- Any additional metric to evaluate the performance of the ERN.

Return on Investment (ROI) is the biggest factor in determining continued participation by employers and the success of the ERN. The basis for establishing the ROI should be included in the quarterly reports.

C. Voucher Submittal and Record Keeping

Vouchers for expenses related to the ERN program will be required to be submitted on at least a quarterly basis. The Contractor must ensure that books, records, documents and other evidence pertaining to the claims submitted through the program provide the detail required by OTDA. Additionally, all records pertaining to awards made under this funding opportunity including financial audits, budgets, plans/drafts, supporting documents, statistical records, etc., must be retained for a period of at least six (6) years following submission of the final expenditure report.

In the event that any claim, audit, litigation or State/federal investigation is started before the expiration of the aforementioned record retention period, the records must be retained by the Contractor until all claims or findings regarding the records are resolved.

OTDA shall have access to any records relevant to the project, including books, documents, photographs, correspondence, and records to make audit, examinations, transcripts, and excerpts. If OTDA determines that such records possess long term or historic value, they must be transferred to OTDA.

The Contractor will be monitored by OTDA on a regular basis throughout the term of the contract. Monitoring may include site visits as well as regular telephone contact. The goal of monitoring is to ensure that the terms of the contract are being met. In addition, monitoring enables OTDA to provide technical assistance, where necessary, in order to assist the Contractor in meeting the terms of the contract. It is the responsibility of the Contractor to monitor any and all subcontracts.

V. Proposal Requirements – Format and Content

A. Evaluation of Proposals

Proposals will consist of two parts – a narrative section and a budget section. To ensure that all proposals are evaluated on the same basis, all of the following must be included. OTDA's Center for Employment and Economic Supports will establish Review Committees to evaluate the proposals.

B. Evaluation Process

The evaluation process will abide by the following rules:

- A. All bidders that are determined not to be responsive or responsible will be disqualified after completing a review.
- B. Proposals that fail to meet the requirements may be disqualified after completing a full review.
- C. Applicant organizations must meet the prequalification requirements set forth on pages 4 through 6 of this RFP.

C. Evaluation Criteria

OTDA will evaluate proposals based on the following criteria. The points assigned are reflective of the importance of each item as it relates to the total narrative score. Specific information regarding the evaluation criteria is included in Part D, which contains a printed version of the Gateway Application and the points associated with each question.

- **Statement of Community Need** (5 points)
- **Recruitment Strategies** (10 points + up to 5 priority points for employer letters of interest)
- **Case Management (“Success Coach”)** (12 points)
- **Local Social Services District Coordination** (8 Points)
- **Community Resources/Partnerships** (8 Points)
- **Linkages with Vocational Training and Educational Providers** (5 Points)
- **Organizational Experience/Past Accomplishments** (17 Points)
- **Resource Leveraging Strategy** (10 Points)
- **Budget** (20 points): The operating budget will be examined to determine the extent to which expense projections are reasonable, necessary and allowable. Priority will be given to budgets that minimize administrative costs in favor of direct program costs.

The budget proposal will be developed within the Grants Gateway and will outline the amounts and types of budget items that the applicant requires to operate the program for the 2-year period beginning September 1, 2016.

Applicants are responsible for ensuring that funds provided through this program are spent appropriately. Costs must be directly related to the delivery of the program, services and activities that will take place.

OTDA is requiring that no more than 15% of the total line-item budget be expended on non-program (administrative) related expenses. The following table may be used as a tool to assist in distinguishing program from administrative costs, and is intended to provide guidance in the preparation of the line-item budget:

Administrative Costs	Program Costs
<p>Costs for the general administration and coordination of this program, including contract costs for administrative functions. Examples of administrative costs include:</p> <ul style="list-style-type: none"> • The salaries and benefits of staff performing administrative and coordination functions; • Costs associated with the preparation of program plans, budgets, and schedules; • Costs involved in the monitoring or tracking of programs and projects; • Procurement activities; • Services related to accounting, audits, management of property, payroll and personnel. Costs for the goods or services required for the delivery of the administrative functions, such as the costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space. 	<p>Examples of program costs include:</p> <ul style="list-style-type: none"> • Salary and benefit costs for staff providing program services and direct costs associated with providing direct services, such as costs for supplies, equipment, travel, postage, utilities, rental and maintenance of office space; • Work supports and case management, including the costs of contracts devoted entirely (including incidental administrative costs) to these activities.

Restrictions on the Use of Funds

The following are illustrative of the types of items that **are not** allowable costs:

- paying for fines;
- planning and coordination studies;
- constructing or purchasing facilities or building;
- advertising costs, except for recruitment of personnel or procurement of scarce items or those specifically relating to the RFP;
- capital expenditures for improvement or acquisition of facilities;
- interest costs incurred by provider agencies;
- costs of organized fund raising;
- medical costs;
- costs for attendance at conferences or meetings of professional organizations, unless attendance is necessary in connection with the project; and,
- costs for preparation of continuation agreements and other proposal development costs.

D. Method of Selection

The method of selection will be based on a point system. The award will be based on the highest total points.

As stated previously, should additional funding become available at any time during the period which the RFP covers, in lieu of releasing a new RFP, OTDA may elect to:

- Increase the award to the selected provider; and/or
- Make additional awards based on the remaining unfunded proposals submitted to OTDA as a result of this RFP in a manner consistent with the award methodology set forth;

OTDA reserves the right to solicit and accept new proposals, as funding becomes available, should there not be acceptable remaining proposals.

E. Required Documents

- 1. Department of Social Services Partnership Form** (Attachment A2): This form must be signed by a representative from each district you plan on serving and acknowledge the district's commitment to supporting the program, and a willingness to work with your organization and make a sufficient number of referrals to justify the level of proposed funding.
- 2. Contractor/Subcontractor Background Questionnaire** (Attachment B1): OTDA prefers that applicants complete the online version of the questionnaire through the Office of the State Comptroller's VendRep System at: http://www.osc.state.ny.us/vendrep/vendor_index.htm. If the applicant is unable to complete the form online, the hard copy available as part of the gateway application can be used. This form must be completed by the applicant and any proposed subcontractor if the value of the subcontract is in excess of \$10,000. The Contractor/Subcontractor Background Questionnaire requires an original signature.
- 3. Equal Employment Opportunity Staffing Plan** (Attachment B2): This staffing plan is used to determine applicant's ability to meet the EEO workforce participation goals. All applicants must submit an Equal Employment Opportunity Staffing Plan with their proposals.
- 4. M/WBE – EEO Policy Statement** (Attachment B5): This is an acknowledgement that NYS is an Equal Employment Opportunity employer, and by extension it expects all vendors, contractors, and subcontractors that hold contracts with NYS to ensure the same standard of equal opportunity in their employment practices. Applicants must sign and return the M/WBE – EEO Policy Statement with their proposals.
- 5. Subcontractor and Supplier Identification Form** (Attachment B6): This new form for OTDA For Profit and Not-for Profit procurements (IFB/RFP/Contract Reporter \$50k or more) was created for Offerors to complete as part of the bid solicitation. The form requires Offerors, for each new procurement (IFB/RFP/Contract Reporter Purchases \$50k or more), to list all subcontracts and the requested information for each that is in place to provide the goods and services required by that contract. This form was created to provide OTDA with a list of all subcontracts and key information including dollar value of the subcontracts over the contract term to assist OTDA in assessing the discretionary portion of each contract and overall compliance with NYS/OTDA MWBE requirements.

NYS businesses have a substantial presence in State contracts and strongly contribute to the economies of the State and the nation. In recognition of their economic activity and leadership in doing business in NYS, Offerors for this contract for commodities, services or technology are strongly encouraged and expected to consider NYS businesses in the fulfillment of the requirements of the Contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

The Contractor will be strongly encouraged, to the maximum extent practical and

consistent with legal requirements, to use responsible and responsive NYS businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, Offerors are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing NYS businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its NYS business partners. NYS businesses will promote the Contractor's optimal performance under the Contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses. The State therefore expects Offerors to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

To demonstrate their commitment to the use of NYS Businesses, Offerors are required to submit the Subcontractor and Supplier Identification form located in Attachment B6 of this RFP and submit it with their Proposal.

6. Use of Service-Disabled Veteran-Owned Business Enterprises in Contract

Performance (Attachment B7): OTDA is in full accord with the aims and efforts of the State of New York to promote Service-Disabled Veteran-Owned Businesses (SDVOBs), as enacted in 2014 by Article 17-B of the Executive Law. Offerors will complete Attachment B7, Service-Disabled Veteran-Owned Businesses (SDVOBs) Utilization Plan, to demonstrate their proposed utilization of NYS certified SDVOBs as part of their bid/proposal.

7. Agency Agreement (Attachment B8): This form attests that, to the best of the signatory's knowledge, the information in the application submitted in response to this Request for Proposal is true and correct. It further acknowledges and agrees that OTDA reserves such rights as outlined and binds the applicant organization's offer for a period of at least 180 days.

F. Terms and Conditions Governing this RFP

1. The award will be made to the applicants whose proposal is determined to best meet the criteria for proposal evaluation and selection set forth in this RFP.
2. Any contract awarded pursuant to this RFP will be subject to the Office's processing procedures for contracts of this type, including approval as to form by the State's Attorney General, and as to award by the NYS Division of the Budget and by the NYS Office of the State Comptroller.
3. This RFP does not commit OTDA to award any contracts, to pay the costs incurred in the preparation of a response to this RFP, or to procure or contract for services.
4. OTDA reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time and without notice and without liability to any applicant or other parties for their expenses incurred in the preparation of a proposal.
5. This RFP and any contract resulting from this RFP is subject to all applicable laws, rules and regulations promulgated by any federal, State and municipal authority having justification over the subject matter thereof, including EO-127 requirements for all for-profit contractors.

6. OTDA reserves the right to award contract(s) to as many or as few applicants as it may select, and reject any or all proposals which do not completely conform to the instructions given in the RFP.
7. The proposal of the successful applicant(s) will serve as the basis for the contract, the terms of which will be modified within the context of this RFP.
8. All plans and working documents prepared by the applicant under the contract to be awarded will become the property of the State of New York.
9. Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by OTDA of third parties with regard to applicant's experience or other matters relevant to the proposal.
10. OTDA reserves the right to request and consider additional information from any applicant beyond that presented in the initial proposal. The award of the contract, if any, may be made in reliance on additional information requested. Such information may include budget justification, program information, operation details, personnel information, or other funding source information.
11. All products, deliverable items, and working papers resulting from this contract will be the sole property of OTDA and the applicant is prohibited from releasing these documents to any persons other than the Commissioner of the OTDA or his designee unless authorized by the Office to do so.
12. The proposal shall be signed by an official authorized to bind the applicant and shall contain a statement to the effect that the proposal is a firm offer for a 180-day period. The proposal shall also provide the name, title, address, telephone number, and area code of individuals with authority to negotiate and contractually bind the corporation or municipality and who may be contacted during the period of proposal evaluation.

VI. General Information for Successful Bidders

A. Contracting Terms/State Payment

If you are awarded a contract, you will be required to submit certain forms and comply with the following information.

1. Cost of Proposal Preparation

The OTDA will not be liable for any costs of work performed in the preparation and production of a proposal, or for any work performed prior to the formal execution of a contract. By submitting a proposal, the bidder agrees not to make any claims for, or have any right to, damages because of any misunderstanding or misrepresentation of the specifications, or because of any misinformation or lack of information. The proposals shall become the property of the State of New York.

2. Assurances

The bidder warrants that it has carefully reviewed the needs of the State as described in the RFP, its attachments and other communications related to the RFP and that it has familiarized itself with the specifications and requirements of the RFP and warrants that it can provide such services as represented in bidder's proposal. The bidder agrees that it will perform all of its obligations in the resultant contract in accordance with all applicable federal, State, and local laws, regulations and policies now or hereafter in effect.

The bidder affirms that the terms of the RFP and the attachments do not violate any contracts or agreements to which it is a party, and that its other contractual obligations will not adversely influence its capabilities to perform under the contract.

3. Electronic Files or Data

If electronic files are to be exchanged as a part of this proposal or as a product of the contract, they must conform to agency policy and guidelines.

4. Conflict of Interest

Bidders may be requested to provide evidence that the award of the contract from this RFP will not result in a conflict of interest with regard either to other work performed by the Contractor, or to potential conflict of interest among specific Contractor staff or subcontractors.

5. Ownership of Materials

All materials developed with funding provided by the State and all proposals, work plans and budget become the property of NYS. All materials produced, either in whole or in part, through funding provided by NYS shall belong exclusively to OTDA and to the State of New York. OTDA may use any of the materials developed with project funds for any OTDA or other State purpose.

6. Equal Employment Opportunity

By submission of its bid, the successful bidder warrants that it is an Equal Opportunity Employer and that it does not discriminate in its employment and business practices on any of the bases provided in the NYS Human Rights Law or any applicable federal laws.

7. Prompt Payment Provisions

The payment of interest on certain payments due and owed by the State may be made in accordance with the criteria established in Article XI-A of the State Finance Law.

8. Contract Award

Upon receipt of necessary State approvals an award letter will be issued by OTDA to the successful bidder advising them of a contract award. A contract defining all deliverables and the responsibilities of the Contractor and OTDA will then be developed for signature by both parties and for approval and processing in accordance with State policy and practice.

NOTE: The contract does not become legally binding upon the State of New York until it is executed by the Office of the NYS Comptroller.

9. Advances

To the extent allowed by Federal law and regulation, OTDA may grant advances up to 25% of the contract if requested and with sufficient justification. Any unexpended advance balance at the end of the contract period will be refunded by the Contractor to OTDA. In the event either party terminates the contract prior to its expiration, the Contractor agrees to refund any outstanding advance balance to OTDA immediately. The repayment schedule is part of the Master Contract, Attachment D: Payment and Reporting Schedule.

10. Publicity

Publicity includes, but is not limited to, news conferences, news releases, advertising, brochures, reports, discussions and/or presentations at conferences or meetings. The inclusion of our materials, our agency name, or other such reference to NYS and/or OTDA in any document or forum is considered publicity. News releases or any other public announcements regarding this project may not be released without prior approval from OTDA.

11. Freedom of Information Law and Bidder's Proposals

The purpose of NYS's Freedom of Information Law (FOIL), which is contained in Public Officers Law Sections 84-90, is to promote the public's right to know the process of governmental decision making and to grant maximum public access to governmental records. Thus, a member of the public may submit a FOIL request for contracts awarded by the State or for the proposals submitted to the State in response to Requests for Proposals. After formal contract award, the proposal of the successful bidder and the proposals of non-successful bidders are subject to disclosure under FOIL. However, pursuant to Section 87(2)(d) of FOIL, a State agency may deny access to those portions of proposals or portions of a successful bidder's contract which "are trade secrets or submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Please note that information which you may claim as proprietary, copyrighted or rights reserved is not necessarily protected from disclosure under FOIL.

If there is information in your proposal which you claim meets the definition set forth in Section 87(2)(d), you must so inform us in a letter accompanying your proposal.

12. Americans with Disabilities Act (ADA)

The successful bidder shall comply with all applicable requirements of the Americans with Disabilities Act (ADA), codified at Title 42 of the United States Code, section 12101 et seq. and associated regulations, including, but not limited to, those located in 28 C.F.R. Part 36. The successful bidder shall comply with all applicable requirements of the NYS Human Rights Law, codified in the Executive Law sections 290 - 301 and applicable regulations implemented pursuant to that law. The successful bidder shall warrant to OTDA that the successful bidder is in compliance with both the ADA and its regulations and the NYS Human Rights Law and its regulations.

Any products developed as a result of this RFP must be in a format that can be converted for use by individuals with disabilities to meet the reasonable accommodation standards established by the American with Disabilities Act.

13. Responsibility Determination

Article 11 of the NYS Finance Law requires that competitive bids be awarded to responsive and responsible bidders. In order to fulfill this requirement, an applicant must complete the "Contractor/Subcontractor Background Questionnaire" (Attachment B1) or complete the online version which is available through the NYS Office of the State Comptroller's Vend Rep System at http://www.osc.state.ny.us/vendrep/vendor_index.htm. By signing the bid proposal, the applicant hereby authorizes OTDA to review any records in its possession concerning your organization including, but not limited to, wage records, unemployment insurance records, public works records, labor standards and safety and health records. Based on the responses you provide, OTDA will determine whether your organization is a responsible bidder. If you are disqualified based on a determination of non-responsibility, you will be notified in writing and may appeal the determination in writing within 10 days to the Commissioner. If you fail to identify a violation and OTDA discovers the failure to disclose such violation, your contract may be terminated immediately upon written notice.

14. Contract Modification

The contract budget can be modified, upon mutual agreement of the parties, during any term by written amendment. Modifications exceeding 10% will require formal contract amendment and approval by both the NYS Office of the Attorney General and the NYS Office of the State Comptroller.

15. Contract Cancellation

OTDA reserves the right to cancel the contract or any part thereof, at any time, upon thirty (30) days written notice. If, in the judgment of OTDA, the Contractor fails to perform the work in accordance with the contract, OTDA may terminate the contract immediately by written notice for cause. OTDA may elect to suspend contract performance or provide a cure period prior to termination.

16. Iran Divestment Act

By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that it is not on the "Entities Determined To Be Non- Responsive Bidders/Offerers Pursuant to The NYS Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize for such Contract any subcontractor that is identified on the Prohibited Entities List. Additionally, Bidder/Contractor is advised that should it seek to renew or extend a Contract awarded in response to the solicitation, it must provide the same certification at the time the Contract is renewed or extended.

During the term of the Contract, should OTDA receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, OTDA will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then OTDA shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default. OTDA reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

17. OTDA Bid Protest Procedure (12/01/2014)

Procedure for Handling of Protests/Appeals of Bid Specification(s) and Proposed Awards

It is the policy of the OTDA to provide all Offerors with an opportunity to resolve complaints or inquiries related to bid solicitations or pending contract awards administratively. The OTDA encourages all Offerors to seek resolution of complaints concerning the contract award process through consultation with the OTDA. All such matters will be accorded impartial and timely consideration. Detailed procedures are as follows:

Formal Written Protests - Final agency decisions or recommendations for award generally may be reconsidered only in the context of a formal written protest as described below. Any Offeror or prospective Offeror who believes that there are errors or omissions in the procurement process or who otherwise has been aggrieved in the drafting or issuance of this RFP, Proposal evaluation, award, or Contract award phases of the procurement, may present a formal complaint to the OTDA and request administrative relief concerning such action ("formal protest"). A formal protest must be submitted in writing to the OTDA, by ground mail, except where alternate arrangements have been made, to the Director of the OTDA Bureau of Contract Management (BCM), 40 North Pearl Street, 12th Floor, Section D, Albany, NY 12243. A formal protest must include a statement of all legal and/or factual grounds for disagreement with an OTDA specification or purchasing decision; a description of all remedies or relief requested; and copies of any and all applicable supporting documentation.

Deadline for Submission of Formal Protests for Errors or Omissions in the Procurement Process – The OTDA must receive formal protests concerning errors, omissions or prejudice, including patently obvious errors in this RFP specifications or documents, at least ten (10) calendar days before the Bid Submission Date.

Deadline for Submission of Formal Protests of Contract Award – The OTDA must receive a formal protest concerning a contract award within ten (10) business days of the issuance of notice of contract award.

Review and Final Determination of Protests - Protests will be resolved through written correspondence. However, the protester may request a meeting to discuss a formal protest or the OTDA may initiate a meeting on its own accord, at which time the participants may present their concerns. Either the protester or the OTDA may decline such a meeting. Where further formal resolution is required, the Director of BCM may designate an OTDA employee ("designee") to determine and undertake the initial resolution or settlement of any protest. The designee will conduct a review of the records involved in the protest and provide a memorandum to the Director of BCM summarizing the facts as determined by the designee, an analysis of the substance of the protest, and a preliminary recommendation. The Director of BCM shall: (a) evaluate the designee's findings and recommendations, the evaluation team's reports and recommendations; (b) review the materials presented by the protesting party and/or any materials required of or submitted by other Offerors; (c) if necessary, consult with the OTDA Counsel's Office; and, (d) prepare a response to the protest. A copy of the protest decision, stating the reason(s) upon which it is based and informing the protester of the right to appeal an unfavorable decision to the OSC shall be sent to the protester or its agent within forty-five (45) calendar days of receipt of the protest, except that upon notice to the protester such period may be extended. The protest decision will be recorded and included in the procurement record, or otherwise forwarded to the OSC upon issuance.

Appeals - Upon receipt of the OTDA's determination of a protest, a protester has ten (10) business days to file an appeal of the determination with the OSC, Bureau of Contracts. The appeal must be filed with Ms. Charlotte Breeyear, Director, Bureau of Contracts, NYS Office of the State Comptroller, 110 State Street, 11th Floor, Albany, NY 12236. The protester's appeal must contain an affirmation in writing that a copy of the appeal has been served on the OTDA, the successful bidder (except where the contracting agency upholds the protest and the successful bidder is the appealing party), and any other party that participated in the protest. In its appeal, the interested party shall set forth the basis on which it challenges the OTDA's determination. The OSC Bureau of Contracts will conduct a formal review and issue its determination of the appeal in accordance with its established policy and procedures.

Reservation of Rights and Responsibilities of the OTDA - The OTDA reserves the right to waive or extend the time requirements for protest submissions, decisions, and appeals herein prescribed when, in its sole judgment, circumstances so warrant to serve the best interests of the State and the OTDA. If the OTDA determines that there are compelling circumstances, including the need to proceed immediately with the Contract award in the best interest of the State, then these protest procedures may be suspended and such decision shall be documented in the procurement record. The OTDA will consider all information relevant to the protest, and may, at its discretion, suspend, modify, or cancel the protested procurement action including solicitation of bids or withdraw the recommendation of Contract award prior to issuance of a formal protest decision.

Procurement Activity Prior to Final Protest Determination - Receipt of a formal bid protest shall not stay action on a procurement unless otherwise determined by the OTDA. If a formal protest or appeal is received by the OTDA on a recommended award prior to the underlying Contract being forwarded to the OSC, notice of receipt of the protest and appeal must be included in the procurement record forwarded to the OSC. If a final protest decision or final decision on appeal has been reached prior to transmittal to the OSC, a copy of the final decision must be included in the procurement record and forwarded with the recommendation for award.

If a final protest decision is made after the transmittal of a bid package to the OSC, but prior to the OSC approval under State Finance Law § 112, a copy of the final OTDA decision shall be forwarded to the OSC when issued, along with a letter either: a) confirming the original OTDA recommendation for award and supporting the request for final § 112 approval, b) modifying the proposed award recommendation in part and supporting a request for final § 112 approval as modified; or c) withdrawing the original award recommendation.

Record Retention of Bid Protests - All records related to formal Offeror protests and appeals shall be retained for at least one (1) year following resolution of the protest. All other records concerning the procurement shall be retained according to the statutory requirements for records retention.

18. Minority and Women-Owned Business Enterprise (M/WBE) and Equal Employment Opportunity (EEO) Participation Requirements

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NYS CERTIFIED MINORITY-AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN

NYS LAW

Pursuant to NYS Executive Law Article 15-A and 5 NYCRR 140-145 OTDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority and women owned business enterprises and the employment of minority group members and women in the performance of OTDA contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority and women owned business enterprises in state procurement contracting versus the number of minority and women owned business enterprises that were ready, willing and able to participate in state procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of NYS Executive Law Article 15-A, which requires, among other things, that OTDA establishes goals for maximum feasible participation of NYS Certified minority and women owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of NYS contracts.

Business Participation Opportunities for MWBEs

For purposes of this solicitation, OTDA hereby establishes an overall goal of 30% for MWBE participation, 15% for NYS certified minority-owned business enterprises ("MBE") participation and 15% for NYS certified women-owned business enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). A contractor ("Contractor") on the subject contract ("Contract") must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and the Contractor agrees that OTDA may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how OTDA will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the

Contract, such finding constitutes a breach of Contract and OTDA may withhold payment from the Contractor as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a bidder on the Contract (“Bidder”) agrees to demonstrate its good faith efforts to achieve its goals for the utilization of MWBEs by submitting evidence thereof through the NYS Contract System (“NYSCS”), which can be viewed at <https://ny.newnycontracts.com>, provided, however, that a Bidder may arrange to provide such evidence via a non-electronic method by contacting their contract manager. Please note that the NYSCS is a one stop solution for all of your MWBE and Article 15-A contract requirements. For additional information on the use of the NYSCS to meet Bidder’s MWBE requirements please see the attached MWBE guidance, “Your MWBE Utilization and Reporting Responsibilities Under Article 15-A.”

Additionally, a Bidder will be required to submit the following documents and information as evidence of compliance with the foregoing:

- A. An MWBE Utilization Plan with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to OTDA.

OTDA will review the submitted MWBE Utilization Plan and advise the Bidder of OTDA acceptance or issue a notice of deficiency within 30 days of receipt.

- B. If a notice of deficiency is issued, the Bidder will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to the OTDA, [address, phone and fax information], a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by OTDA to be inadequate, OTDA shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

OTDA may disqualify a Bidder as being non-responsive under the following circumstances:

- a. If a Bidder fails to submit a MWBE Utilization Plan;
- b. If a Bidder fails to submit a written remedy to a notice of deficiency;
- c. If a Bidder fails to submit a request for waiver; or
- d. If OTDA determines that the Bidder has failed to document good faith efforts.

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to OTDA, but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a Contractor’s Quarterly M/WBE Contractor Compliance & Payment Report to the OTDA, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All NYS Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women.

The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside NYS.

The Bidder will be required to submit a Minority and Women Owned Business Enterprises and Equal Employment Opportunity Policy Statement, Form OTDA 4970, to OTDA with their bid or proposal.

For purposes of this solicitation, OTDA hereby establishes an Equal Employment Opportunity participation goal of 20%. To ensure compliance with this Section, the Bidder will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan (Form OTDA 4934 - Staffing Plan) identifying the anticipated work force to be utilized on the Contract and if awarded a Contract, will, on a quarterly basis or upon request, submit an Equal Employment Opportunity Workforce Employment Utilization Compliance Report identifying the workforce actually utilized on the Contract, if known, through the NYS Contract System; provided, however, that a Bidder may arrange to provide such report via a non-electronic method by contacting their contract manager.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.

19. Service-Disabled Veteran-Owned Business Enterprises in State Contracting

1. The OTDA is in full accord with the aims and efforts of the State of New York to promote Service-Disabled Veteran-Owned Businesses (SDVOBs), as enacted in 2014 by Article 17-B of the Executive Law. This Law acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in NYS, Offerors to this RFP are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the resulting contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at:
http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf
2. Offerors are strongly encouraged, to the maximum extent practical and consistent with legal requirements of the State Finance Law, the Executive Law and any implementing regulations, to use responsible and responsive NYS certified SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Prospective awardees to this RFP are subject to the

provisions of Executive Law Article 17-B and the regulations (9 NYCRR Part 252) issued thereunder. Bidders/proposers are reminded that they must continue to utilize small, and minority and women-owned businesses (M/WBEs), consistent with current State law (Executive Law Article 15-A).

3. Offerors will complete Attachment B7, Service-Disabled Veteran-Owned Businesses (SDVOBs) Utilization Plan, to demonstrate their proposed utilization of NYS certified SDVOBs as part of their bid/proposal. OTDA has set a goal for SDVOB utilization for this procurement of 6%.
4. The successful Offeror/Contractor will report on actual participation by each SDVOB during the term of the contract to the OTDA on a quarterly basis according to policies and procedures to be set by the OTDA.
5. NOTE: Information about set asides for SDVOB participation in public procurement can be found at: <http://www.ogs.ny.gov/Core/SDVOBA.asp>, which provides guidance for State agencies in making determinations and administering set asides for procurements from SDVOBs.

PART B

Instructions for Completing the Application:

The Mohawk Valley ERN Application must be submitted in Grants Gateway. Eligible entities are limited to non-profit organizations. Applicants should submit one application per agency. Read and apply all instructions while completing the screens in Grants Gateway. A printed version of the application appears in Section D. Please note, though others may work on the application, only someone with a **Grantee Signatory** or a **System Administrator** role can submit the application to the State. Applications will not be accepted outside of the Grants Gateway system.

1. Find  Enter your search criteria i.e.: "Mohawk Valley" then click .
2. Select the Link for the opportunity.
3. The Opportunities page provides a synopsis of the grant. Select "Apply for Grant Opportunity".
4. Click the link for your opportunity.
5. From the  , complete the following Forms/Screens listed below. Sections from the Forms Menu do not have to be completed in any specific order. You must save your work before moving onto a new screen. If you do not complete it all in one session, search for the application in progress from the application link at the top of the screen when you return. After each section is completed and saved , return to the Forms Menu and click on the next section to be completed.

Forms/Screens

Project Site Address Screen: Enter all site addresses, one site per screen. Click  .
Click  for additional screens.

Program Specific Questions Screen: Follow instructions at top of screen. Answer all questions in this section. Upload forms when required. Click  .

Expenditure Budget: As indicated in Part A, the Mohawk Valley ERN program is a cost-based program and the selected Contractor will earn funds through the submission of eligible expenditures. Applicants must submit their proposed budget by completing the following budget categories:

Personal Services – Salary screen: List all positions that provide direct services and will be supported with grant funds. Each position should be entered on a separate screen. Briefly describe the role/responsibility of the position in relation to the MV ERN program. Click  .
Click  to open a new screen to enter any additional position etc.

Personal Services – Salary Narrative screen: This screen should be used only if needed to describe or explain things out of the ordinary, exceptions in staffing patterns, unusual staffing costs, justification of staff funded by more than one funding source and explanation of the percent of time allocated to this program, including the percentage of time allocated to administrative and program activities where necessary.

Personal Services – Fringe screen: Provide a brief explanation of the percentage and composition of your fringe benefit structure. Fringe should not exceed the Office of the State Comptroller's rate, currently set at 55.88%. If fringe is not applicable, leave this section blank.

Personal Services – Fringe Narrative screen: This screen should be used only if needed to describe or explain things out of the ordinary, and/or unusual costs.

Contractual Services screen: List services that are provided under a formal or written agreement and will be supported with grant funds. Provide both a description of the services and justification for the services. Each type of contractual cost must be listed on its own screen and the cost justified. Only the pro-rated portion of the entire expenditure that is related to the MV ERN program is allowed. This line includes institutions, individuals or organizations external to the Contractor which have entered into an agreement with the Contractor to provide any services outlined in, or associated with, the MV ERN contract and whose services are to be funded under the budget. This includes any other not-for-profits performing work under the proposed contract. All such agreements are to be bona fide written contracts: OTDA reserves the right to request these documents at any time in the future.

Travel screen: This category includes travel costs for personnel listed under Personal Services Costs, participant travel and other travel expenses. Mileage costs may be reimbursed up to the NY State rate (currently the maximum is \$0.54/mile). In the justification field, explain which staff will be traveling in relation to the project, the destination, purpose and frequency of the travel.

Equipment screen: This category includes the purchase, rental and leasing of equipment. Equipment is any non-consumable, tangible property having a useful life of more than one year. Substantial equipment purchases (costing more than \$5,000) should be avoided. Acquisition costs must be in accordance with NYS requirements and may be evaluated to determine if leasing is a practical and cost-effective alternative. If the only alternative is to purchase equipment using contract funds, an applicant organization is required to obtain 3 competitive bids and must receive OTDA prior approval. All things being equal, the Contractor must purchase equipment from the lowest bidder. Complete the Equipment form for requested equipment. Complete the Equipment Narrative form if there is any substantial equipment costing more than \$5,000 per item. Requests in support of this grant category, if not with another not-for-profit or unit of local government, are required to demonstrate how they will use these purchases to meet MWBE goals.

Equipment Narrative screen: Provide information on bids received and provide explanation/justification as required.

Other screen: This category should include grant-funded program items that do not fit in the other categories such as postage, copies, office supplies and administrative costs. Each cost must be listed on its own screen. Allowable administrative costs are those directly related to administering the MV ERN program, as detailed in Part A, Section IV-C of the RFP. The total combined administrative costs may not exceed 15% of the annual requested funds. Administrative costs must be itemized. Indirect Cost Rates are not allowed.

Other Narrative screen: Use this section to provide details for any staff/position listed as administrative under Other. List the title, annual salary, and the percentage of time spent on MV ERN administrative activities; also include a brief description of those activities.

Expenditure Summary: You must select the Expenditure Summary screen and save .

Work Plan: Grant Opportunity Defined Screens: Section consists of the workplan overview form, objectives, tasks and performance measures.

Workplan Overview Screen: This section should be completed from the contract period's perspective. Therefore, Work Plan Period should be 9/1/16 - 8/31/18.

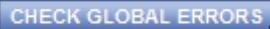
1. In the Project Summary section please type in the answer field: "Please see Program Specific Questions 1 – 10".
2. In the Organizational Capacity section, please type in the answer field: "Please see Program Specific Questions 9 & 10".

Objectives and Tasks:

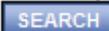
You do not need to complete any information for the objectives or tasks for the RFP. You can view the objectives and task that will be part of the selected provider's contract. The objectives and tasks may be added, deleted or modified during contract negotiations.

Pre-Submission Uploads Screen: Download all forms by following the links available on the Upload Screen, or print the forms in Part C of this application. Upload all required forms in the places designated throughout the application. If required information is not available or cannot be produced, an explanation must be uploaded.

Application Submission: When you have completed your application, click



If you receive any error messages, all items must be addressed prior to submitting your application. The system will let you know when there are no outstanding items.

Remember only the **Grantee Signatory** or **System Administrator** may **submit** the application. To do so, the appropriate person must sign into the Gateway with their credentials. This likely is someone other than the person who created the application, so at this juncture, log out. Once the appropriate person logs in, to submit the application, click  and  for your application. When you find it, click . When you are ready to submit, click  **Status Changes** then . Prior to submission, you will need to certify the agreement as stated. You must click I Agree for your application to be submitted. You will know your application has been submitted successfully if you hover your mouse over  **Status Changes** and it shows "There are no available status options at this time".

PART C

Required Uploaded Documents:

All required forms must be completed and uploaded where requested.

1. Notice of Intent to Bid (Attachment A1)
This form is not uploaded in the Gateway system but is faxed or mailed to OTDA as indicated on the form.
2. Department of Social Services ERN Contact Form (Attachment A2)
3. Contractor/Subcontractor Background Questionnaire (Attachment B1)
4. Equal Employment Opportunity Staffing Plan (Attachment B2)
5. M/WBE – EEO Policy Statement (Attachment B5)
6. Subcontractor and Supplier Identification Form (Attachment B6)
7. SDVOB In Contract Performance (Attachment B7)
8. Agency Agreement (Attachment B8)

Mohawk Valley ERN

NOTICE OF INTENT TO BID

This confirms our intent to respond to the Mohawk Valley Employer Resource Network Request for Proposals issued by the NYS Office of Temporary and Disability Assistance and to submit a proposal.

Signed:

(Name/Title/Organization/Bidder Name)

(Address/Phone)

Please respond by April 25, 2016 by faxing or mailing this form to:

NYS Office of Temporary and Disability Assistance
Center for Employment and Economic Supports
Attn: Luke Posniewski
40 North Pearl Street, 11D
Albany, New York 12243

Fax: (518) 486-7650

Department of Social Services Employer Resource Network (ERN) Contact Form

Agency: _____

The _____ County Department of Social Services has reviewed the proposal developed by the above referenced agency and agrees to provide a contact to assist said agency in providing services to ERN member employees. The designated contact will provide direct access to the social services district and provide information, referral and support to help support job retention and alleviate the need for ERN employees to be absent from work.

Comments:

Department of Social Services Contact:

Contact Name: _____
(Please print)

Title: _____

Phone: _____

Date: _____

Authorized Signature: _____

District Commissioners

<p>Albany County DSS 162 Washington Avenue Albany, New York 12210</p> <p>Eric Ehrmann, Commissioner (518) 447-7333</p>	<p>Allegany County DSS 7 Court Street Belmont, New York 14813</p> <p>Vicki Grant, Commissioner (585) 268-9622</p>
<p>Broome County DSS 36-42 Main Street Binghamton, New York 13905</p> <p>Arthur Johnson, Commissioner (607) 778-2600</p>	<p>Cattaraugus County DSS One Leo Moss Drive, Suite 6010 Olean, New York 14760</p> <p>Dan Piccioli, Commissioner (716) 701-3553</p>
<p>Cayuga County Department of Health and Human Services 160 Genesee Street Auburn, New York 13021</p> <p>Raymond Bizzari, Commissioner (315) 253-1365</p>	<p>Chautauqua County Department of Health and Human Services H.R. Clothier Building, 7 North Erie Street Mayville, New York 14757</p> <p>Christine Schuyler, Commissioner (716) 753-4590</p>
<p>Chemung County DSS Human Resource Center P.O. Box 588, 425 Pennsylvania Avenue Elmira, New York 14902</p> <p>Jennifer Stimson, Commissioner (607) 737-5309</p>	<p>Chenango County DSS P.O. Box 590, 5 Court Street Norwich, New York 13815</p> <p>Bette Osborne, Commissioner (607) 337-1552</p>
<p>Clinton County DSS 13 Durkee Street Plattsburgh, New York 12901</p> <p>John Redden, Commissioner (518) 565-3221</p>	<p>Columbia County DSS P.O. Box 458, 25 Railroad Avenue Hudson, New York 12534 (518) 828-9411</p> <p>Kary Jablonka, Commissioner, Ext 2103</p>
<p>Cortland County Human and Health Services 60 Central Avenue Cortland, New York 13045-5590</p> <p>Kristen Monroe, Commissioner (607) 753-5303</p>	<p>Delaware County DSS 111 Main Street Delhi, New York 13753-0469</p> <p>Dana Scuderi-Hunter, Commissioner (607) 832-5206</p>
<p>Dutchess County DSS 60 Market Street Poughkeepsie, New York 12601</p> <p>Sabrina Marzouka, Commissioner (845) 486-3001</p>	<p>Erie County DSS 95 Franklin Street Buffalo, New York 14202</p> <p>Al Dirschberger, Commissioner (716) 858-7511</p>
<p>Essex County DSS P.O. Box 217, 7551 Court Street Elizabethtown, New York 12932</p> <p>John P. O'Neill, Commissioner (518) 873-3302</p>	<p>Franklin County DSS 355 West Main Street, Suite 331 Malone, New York 12953</p> <p>Michele Mulverhill, Commissioner (518) 481-1873</p>

<p>Fulton County DSS P.O. Box 549, 4 Daisy Lane Johnstown, New York 12095</p> <p>Sheryda Cooper, Commissioner (518) 736-5640</p>	<p>Genesee County DSS 5130 East Main Street, Suite 3 Batavia, New York 14020</p> <p>Eileen Kirkpatrick, Commissioner (585) 344-2580</p>
<p>Greene County DSS P.O. Box 528, 411 Main Street Catskill, New York 12414</p> <p>Kira Pospesel, Commissioner (518) 719-3646</p>	<p>Hamilton County DSS P.O. Box 725, White Birch Lane Indian Lake, New York 12842-0725 (518) 648-6131</p> <p>Roberta A. Bly, Commissioner</p>
<p>Herkimer County DSS 301 N. Washington Street, Suite 2110 Herkimer, New York 13350</p> <p>Timothy Seymour, Commissioner (315) 867-1222</p>	<p>Jefferson County DSS 250 Arsenal Street Watertown, New York 13601</p> <p>Teresa Gaffney, Commissioner (315) 785-3101</p>
<p>Lewis County DSS P.O. Box 193, 5274 Outer Stowe Street Lowville, New York 13367</p> <p>Jennifer Jones, Commissioner (315) 376-5703</p>	<p>Livingston County DSS 3 Murray Hill Drive Mount Morris, New York 14510-1699</p> <p>Diane Deane, Commissioner (585) 243-7300</p>
<p>Madison County DSS Madison County Complex, Bldg. 1 P.O. Box 637, North Court Street Wampsville, New York 13163</p> <p>Michael Fitzgerald, Commissioner (315) 366-2248</p>	<p>Monroe County Dept. of Human Services 111 Westfall Road Rochester, New York 14620</p> <p>Kelly A. Reed, Commissioner (585) 753-6298</p>
<p>Montgomery County DSS County Office Building, P.O. Box 745 Fonda, New York 12068-0745</p> <p>Michael McMahon, Commissioner (518) 853-8291</p>	<p>Nassau County DSS 60 Charles Lindbergh Blvd., Suite 160 Uniondale, NY 11553-3686</p> <p>John Imhof, Commissioner (516) 227-7471</p>
<p>New York City Human Resources Administration 150 Greenwich Street, 42nd Floor New York, New York 10007</p> <p>Steven Banks, Commissioner (929) 221-7315</p>	<p>Niagara County DSS P.O. Box 506, 20 East Avenue Lockport, New York 14095</p> <p>Anthony Restaino, Commissioner (716) 439-7604</p>
<p>Oneida County DSS 800 Park Avenue Utica, New York 13501</p> <p>Lucille Soldato, Commissioner (315) 798-5733</p>	<p>Onondaga County DSS Civic Center, 421 Montgomery Street Syracuse, New York 13202</p> <p>Sarah Merrick, Commissioner (315) 435-2985</p>

<p>Ontario County DSS 3010 County Complex Drive Canandaigua, New York 14424-1296</p> <p>Eileen M. Tiberio, Commissioner (585) 396-4014</p>	<p>Orange County DSS Box Z, 11 Quarry Road Goshen, New York 10924</p> <p>Darcie Miller, Commissioner (845) 291-4311</p>
<p>Orleans County DSS Orleans County Administration Building 14016 Route 31 West Albion, NY 14411</p> <p>Thomas Kuryla, Commissioner (585) 589-7000, Ext. 3228</p>	<p>Oswego County DSS P.O. Box 1320, 100 Spring Street Mexico, New York 13114</p> <p>Marti Babcock, Acting Commissioner (315) 963-5435</p>
<p>Otsego County DSS 197 Main Street Cooperstown, New York 13326</p> <p>Eve Bouboulis, Commissioner (607) 547-7594</p>	<p>Putnam County DSS 110 Old Route Six Center Carmel, New York 10512</p> <p>Michael J. Piazza, Jr., Commissioner (845) 808-1651</p>
<p>Rensselaer County DSS 127 Bloomingrove Drive Troy, New York 12180</p> <p>Randy Hall, Commissioner (518) 833-6005</p>	<p>Rockland County DSS Building L, Sanatorium Road Pomona, New York 10970</p> <p>Susan Sherwood, Commissioner (845) 364-3300</p>
<p>St. Lawrence County DSS 6 Judson Street Canton, New York 13617</p> <p>Christopher Rediehs, Commissioner (315) 386-3276 Ext. 3318</p>	<p>Saratoga County DSS 152 West High Street Ballston Spa, New York 12020</p> <p>Tina Potter, Commissioner (518) 884-4140</p>
<p>Schenectady County DSS 797 Broadway Schenectady, New York 12308</p> <p>Paul J. Brady, Commissioner (518) 388-4206</p>	<p>Schoharie County DSS P.O. Box 687 Schoharie, New York 12157</p> <p>Ruey Schell, Commissioner (518) 295-8334</p>
<p>Schuyler County DSS Human Services Complex 323 Owego Street, Unit 3 Montour Falls, NY 14865</p> <p>JoAnn Fratarcangelo, Commissioner (607) 535-8303</p>	<p>Seneca County DSS P.O. Box 690, 1 DiPronio Drive Waterloo, New York 13165-0690</p> <p>Charles L. Schillaci, Commissioner (315) 539-1870</p>
<p>Steuben County DSS 3 East Pulteney Square Bath, New York 14810 Kathryn A. Muller, Commissioner (607) 664-2444</p>	<p>Suffolk County DSS 3085 Veterans Memorial Highway Ronkonkoma, New York 11779 John F. O'Neill, Commissioner (631) 854-9930</p>

<p>Sullivan County Department of Health and Family Services Box 231, 16 Community Lane Liberty, New York 12754</p> <p>Joseph Todora, Commissioner (845) 292-0100, Ext. 2201</p>	<p>Tioga County DSS P.O. Box 240 Owego, New York 13827</p> <p>Shawn Yetter, Commissioner (607) 687-8301</p>
<p>Tompkins County DSS 320 West Martin Luther King Jr. State Street Ithaca, New York 14850</p> <p>Patricia Carey, Commissioner (607) 274-5252</p>	<p>Ulster County DSS 1061 Development Court Kingston, New York 12401-1959</p> <p>Michael A. Iapocce, Commissioner (845) 334-5221</p>
<p>Warren County DSS Warren County Human Services Building 1340 State Route 9 Lake George, New York 12845</p> <p>Maureen Schmidt, Commissioner (518) 761-6362</p>	<p>Washington County DSS Washington Municipal Center 383 Broadway Fort Edward, New York 12828</p> <p>Tammy DeLorme, Commissioner (518) 746-2323</p>
<p>Wayne County DSS P.O. Box 10, 77 Water Street Lyons, New York 14489-0010</p> <p>M. Josh McCrossen, Commissioner (315) 946-7600</p>	<p>Westchester County DSS County Office Building #2 Employment Operations 112 E. Post Road, 6th floor White Plains, NY 10601</p> <p>Kevin McGuire, Commissioner (914) 995-5502</p>
<p>Wyoming County DSS P.O. Box 231 Warsaw, New York 14569-0231</p> <p>David Rumsey, Commissioner (585) 786-8901</p>	<p>Yates County DSS 417 Liberty Street, Suite 2122 Penn Yan, New York 14527</p> <p>Amy Miller, Commissioner (315) 536-5183</p>

NYS
OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE
CONTRACTOR/SUBCONTRACTOR BACKGROUND QUESTIONNAIRE

General Information

Federal Identification Number: _____

Name of Firm: _____

Mailing Address: _____

Actual Location: _____

City: _____ **State:** _____ **Zip code:** _____

Fax Number: () _____ **Telephone Number:** () _____

Background Questionnaire	
<p>The following section must be fully completed by the Bidder or bid will be deemed non-responsive. Where appropriate, provide additional details using space provided or by inserting additional sheets following this part. Any proposed subcontractor must also complete this form if the value of that subcontract will be in excess of \$10,000.</p>	
1a. If you, the bidder, are a natural person, are you a NYS resident?	_____NO _____YES
1b. If you are a corporation, are you a NYS corporation?	_____NO _____YES
1c. Are you registered with the NYS Department of State (DOS) to do business in NYS? If no, you will be required to comply with the NYS Department of State guidelines for doing business in NYS before you will be eligible for a Contract award. Do you agree to these conditions?	_____NO _____YES _____NO _____YES
2. How many years has the bidder been in business?	_____ Years
3a. Are you a certified minority owned business enterprise, certified by the NYS Department of Economic Development? (Your company is eligible to be certified if it is at least 51% owned and controlled by minority group members (i.e. Black, Hispanic, Asian, Pacific Islander, American Indian or Alaskan Native)?)	_____NO _____YES
3b. Are you a woman owned business enterprise, certified by the NYS Department of Economic Development? (Your company is eligible to be certified if it is at least 51% owned and controlled by	_____NO _____YES
4. How many people are employed by the bidder?	_____ Employees
5. Total number of people employed by the bidder: * Within NYS? * Outside of NYS? * Outside of United States?	_____ _____ _____
6. Is the bidder independently owned and operated?	_____NO _____YES (If no, provide details.)
7. List and describe any liquidated damages assessed, and/or liens or claims over \$25,000 filed against the bidder and remaining undischarged or unsatisfied for more than 90 days, on any contracts within the past five years.	_____NO _____YES

9. Does your company retain partnership or reciprocal agreements with hardware and/or software companies, or with associated manufacturers in this industry?	_____ NO _____ YES
10. Does the bidder hold any current contracts with the State of New York, its departments or political subdivisions, valued in excess of \$100,000?	_____ NO _____ YES (If yes, provide details.)
11. Does the bidder hold any current contracts with governmental entities outside of NYS, valued in excess of \$100,000?	_____ NO _____ YES (If yes, provide details.)
12. Your firm is responsible for providing worker's compensation insurance pursuant to State law. The State has the option to require proof of current worker's compensation insurance or proof of exemption if applicable. Do you comply with this requirement?	_____ NO _____ YES
13. Your firm is responsible for providing disability insurance pursuant to State law. The State has the option to require proof of current worker's compensation insurance or proof of exemption if applicable. Do you comply with this requirement?	_____ NO _____ YES
14. Does your firm employ any non-U.S. citizens or resident legal aliens?	_____ NO _____ YES
15. If yes, are the forms on file and available for inspection?	_____ NO _____ YES

CERTIFICATION

The undersigned: 1) recognizes that this questionnaire is submitted for the express purpose of inducing the NYS Office of Temporary of Disability Assistance to award a contract or approve a subcontract; 2) acknowledges that the Office may in its discretion, by means which it may choose, determine the truth and accuracy of all statements made herein; 3) acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law 210.40 or a misdemeanor under Penal Law 210.35 or 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of up to five years under 18 U.S.C. 1001; 4) states that the information submitted in this questionnaire and any attached pages is true, accurate and complete; and, 5) acknowledges that submission of false or misleading information will constitute grounds for the Office to terminate its contract (or revoke its approval of a subcontract) with the undersigned or the organization of which s/he is an officer.

Authorized Signature: _____

Name: _____

Title: _____

Date: _____

Revised September 2005

STAFFING PLAN

Submit with Bid or Proposal – Instructions on page 2

Solicitation No.:	Reporting Entity:	Report includes Contractor's/Subcontractor's:
Offeror's Name:	<input type="checkbox"/> Workforce to be utilized on this contract <input type="checkbox"/> Offeror <input type="checkbox"/> Subcontractor	
Offeror's Address:	Subcontractor's name _____	

Enter the total number of employees for each classification in each of the EEO-Job Categories identified

EEO-Job Category	Workforce by Gender		Race/Ethnic Identification					Veteran								
	Total Male (M)	Total Female (F)	White (M)	White (F)	Black (M)	Black (F)	Hispanic (M)	Hispanic (F)	Asian (M)	Asian (F)	Native American (M)	Native American (F)	Disabled (M)	Disabled (F)	(M)	(F)
	Officials/Administrators															
Professionals																
Technicians																
Sales Workers																
Office/Clerical																
Craft Workers																
Laborers																
Service Workers																
Temporary /Apprentices																
Totals																

PREPARED BY (Signature):	TELEPHONE NO.:
	EMAIL ADDRESS:
	DATE:
NAME AND TITLE OF PREPARER (Print or Type):	
Submit completed with bid or proposal	

General Instructions: All Offerors and each subcontractor identified in the bid or proposal must complete an EEO Staffing Plan (04-10) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the Contractor's or subcontractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the Contractor's or subcontractor's total work force, the Offeror shall complete this form for the Contractor's or subcontractor's total work force.

Instructions for completing:

1. Enter the Solicitation number or RFP number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the Contractor or a subcontractor.
3. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Offerors' total work force.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and enter under the heading 'Work force by Gender'
6. Break down the total work force by race/ethnic background and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the Designated Contact(s) for the solicitation if you have any questions.
7. Enter information on disabled or veterans included in the work force under the appropriate headings.
8. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this report, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

- **WHITE** (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **BLACK** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN & PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- **NATIVE INDIAN (NATIVE AMERICAN/ALASKAN NATIVE)** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

OTHER CATEGORIES

- **DISABLED INDIVIDUAL** any person who:
 - has a physical or mental impairment that substantially limits one or more major life activity(ies)
 - has a record of such an impairment; or
 - is regarded as having such an impairment.
- **VIETNAM ERA VETERAN** a veteran who served at any time between and including January 1, 1963 and May 7, 1975.
- **GENDER** Male or Female

M/WBE UTILIZATION PLAN

INSTRUCTIONS: This form must be submitted with any bid, proposal, or proposed negotiated contract or within a reasonable time thereafter, but prior to contract award. This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each certified Minority and Women-owned Business Enterprise (M/WBE) under the contract. Note – A dually certified firm cannot be counted toward both the MBE and WBE participation goals. Attach additional sheets if necessary.

Offeror's Name:
Address:
City, State, Zip Code:
Telephone No.:
Region/Location of Work:

Federal Identification No.:
Solicitation Name/Contract No.:
M/WBE Certified Y/N
M/WBE Goals in the Contract: MBE % WBE %

1. Certified M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary)	5. Dollar Value of Subcontracts/Supplies/Services and intended performance dates of each component of the contract.
A.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
B.	NYS ESD CERTIFIED <input type="checkbox"/> MBE <input type="checkbox"/> WBE			

6. IF UNABLE TO FULLY MEET THE MBE AND WBE GOALS SET FORTH IN THE CONTRACT, OFFEROR MUST SUBMIT A REQUEST FOR WAIVER FORM - OTDA - 4969.

PREPARED BY (Signature): _____ **TELEPHONE NO.:** _____ **EMAIL ADDRESS:** _____
DATE: _____

NAME AND TITLE OF PREPARER (Print or Type): _____ **DATE:** _____

SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE-REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND POSSIBLE TERMINATION OF YOUR CONTRACT.

UTILIZATION PLAN APPROVED: YES NO **Date:** _____
Contract No.: _____

Contract Award Date: _____
Estimated Date of Completion: _____
Amount Obligated Under the Contract: _____
Description of Work: _____

NOTICE OF DEFICIENCY ISSUED: YES NO
Date: _____

NOTICE OF ACCEPTANCE ISSUED: YES NO
Date: _____

**M/WBE SUBCONTRACTORS AND SUPPLIERS
LETTER OF INTENT TO PARTICIPATE**

Contractor: _____ Contract No.: _____

Address: _____ Federal ID#: _____

Dear Contractor:

I, _____ intend to perform work for _____
(Name of Subcontractor/Supplier) (Name of Prime Contractor)

My Minority/Women Business Enterprise (M/WBE) status as a MBE () and/or WBE () is certified as of
(Check One)

(Certification date)

_____ is prepared to do the following:
(Name of Subcontractor/Supplier)

(Describe work to be performed on the above project)	Unit Price	Total Amount

You have projected _____ for such work to start.
(Commencement Date)

_____ will sign a formal contract for the above work conditioned
(Name of Subcontractor/Supplier)

upon the approval of your executed contract with the Contractor.

Please choose one of the following categories:

MBE: Subcontractor [] Supplier []
WBE: Subcontractor [] Supplier []

Company Official's Name: _____ Title: _____

Company Official's Signature: _____ Date: _____

Address: _____

*****This section is to be completed by the prime Contractor*****

Company Official's Name: _____ Title: _____

Company Official's Signature: _____ Date: _____

Telephone Number: () _____ Email Address: _____

MINORITY/WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

M/WBE AND EEO POLICY STATEMENT

I, _____, the (Awardee/Contractor) _____ agree to adopt the following policies with respect to the project being developed or services rendered at _____

M/WBE This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs from OTDA and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO (a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.

(c) At the request of the OTDA, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization’s obligations herein.

(d) The Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

Agreed to this _____ day of _____,

By _____

Print: _____ Title: _____

_____ is designated as the Minority Business Enterprise Liaison
(Name of Designated Liaison)

responsible for administering the Minority and Women-Owned Business Enterprises- Equal Employment Opportunity (M/WBE-EEO) program.

M/WBE Contract Goals

_____ 30% Minority and Women's Business Enterprise Participation

_____ % Minority Business Enterprise Participation

_____ % Women's Business Enterprise Participation

PLEASE NOTE THAT THIS REQUIREMENT "EEO CONTRACT GOALS" IS ONLY APPLICABLE WHERE A STATE AGENCY REQUIRES SUCH A PROVISION. NOTE: THIS LANGUAGE SHOULD BE DELETED FROM THE FINAL CONTRACT]

EEO Contract Goals

_____ % Minority Labor Force Participation

_____ % Female Labor Force Participation

(Authorized Representative)

Title: _____

Date: _____

SUBCONTRACTOR AND SUPPLIER IDENTIFICATION FORM

INSTRUCTIONS: This form must be submitted with any bid, proposal, or proposed negotiated contract. This identification form must contain a detailed description of the supplies and/or services to be provided by each subcontractor or supplier under the contract. Offerors must indicate by checking the box(es) below which business designation(s) each listed Subcontractor/Supplier meets. Attach additional sheets if necessary.

Offeror's Name:

Federal Identification Number:

Address:

Telephone Number:

City, State, Zip Code:

Email:

Region/Location of Work:

Will NYS businesses be used in the performance of this contract? YES NO

1. Subcontractors/Suppliers Business Name, Address, Email Address, Telephone No.	2. Service/Product Provided	3. Federal ID No.	4. Business Designation Check all that apply	5. Dollar Value of Subcontracts/Supplies/Services over the term of the contract.
A.			MBE WBE NYS Business** NYS	
B.			MBE WBE NYS Business** NYS Small Business**	
C.			MBE WBE NYS Business** NYS Small Business**	
D.			MBE WBE NYS Business** NYS Small Business**	
E.			MBE WBE NYS Business** NYS Small Business**	

Please Identify ALL subcontracting and supplier purchasing opportunities.
NOTE: Any Subcontractor or Supplier purchases in excess of \$100,000 must comply with NYS Vendor Responsibility Requirements.

**NYS businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in NYS, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider NYS businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive NYS businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing NYS businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its NYS business partners. NYS businesses will promote the Contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public Procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects bidders/proposers to provide maximum assistance to New York businesses in their use of the contract. The Potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

NAME AND TITLE OF PREPARER (Print or Type):

**Signature:
Authorized Signature**

Date:

Telephone Number:

Email Address:

Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran-Owned Businesses (SDVOBs) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in NYS, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at:

http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and

functionality to those that may be obtained from non-SDVOBs. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

Utilizing SDVOBs in State contracts will help create more private sector jobs, rebuild NYS's infrastructure, and maximize economic activity to the mutual benefit of the Contractor and its SDVOB partners. SDVOBs will promote the Contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated public procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of SDVOBs by its contractors. The State, therefore, expects bidders/proposers to provide maximum assistance to SDVOBs in their contract performance. The potential participation by all kinds of SDVOBs will deliver great value to the State and its taxpayer

Bidders/proposers can demonstrate their commitment to the use of SDVOBs by responding to the questions below and including the responses with their bid/proposal:

Are you a bidder/proposer that is a NYS-certified SDVOB? Yes. No. If yes, what is your DSDVBD Control #? _____

Will NYS-certified SDVOBs be used in the performance of this contract? Yes. No.

If yes, identify the NYS-certified SDVOBs that will be used below (if more than 4 identified, please attach an additional form):

NYS - Certified SDVOB 1:

Name

Address

Control #	Contract #	Total % Work Performed	\$ Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Nature of Participation

NYS - Certified SDVOB 2:

Name

Address

Control #	Contract #	Total % Work Performed	\$ Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Nature of Participation

NYS - Certified SDVOB 3:

Name

Address

Control #	Contract #	Total % Work Performed	\$ Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Nature of Participation

NYS - Certified SDVOB 4:

Name

Address

Control #	Contract #	Total % Work Performed	\$ Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Nature of Participation

Contractor will report on actual participation by each SDVOB during the term of the contract to the contracting agency/authority on a quarterly basis according to policies and procedures set by the contracting agency/authority.

NOTE: Information about set asides for SDVOB participation in public procurement can be found at: <http://www.ogs.ny.gov/Core/SDVOBA.asp>, which provides guidance for State agencies in making determinations and administering set asides for procurements from SDVOBs.

AGENCY AGREEMENT

It is understood and agreed to by the applicant that: (1) This RFP does not commit the NYS Office of Temporary and Disability Assistance (OTDA) to award any contracts, pay the costs incurred in the preparation of response to this RFP, or to procure or contract services. (2) OTDA reserves the right to amend, modify or withdraw this RFP and to reject any proposals submitted, and may exercise such right at any time and without notice and without liability to any Offeror or other parties for their expenses incurred in the preparation of a proposal or otherwise. Proposals will be prepared at the sole cost and expense of the Offeror. (3) OTDA reserves the right to accept or reject any or all proposals that do not completely conform to the instructions given in the RFP, including time frames for submission thereof. (4) Submission of a proposal will be deemed to be the consent of the applicant to any inquiry made by OTDA of third parties with regard to the applicant's experience or other matters deemed by OTDA relevant to the proposal. (5) Funds awarded for this project will be used only for the conduct of the project as approved. (6) The contract may be terminated in whole, or in part, by OTDA. Such termination shall not affect obligations incurred under the contract prior to the effective date of such termination. (7) When funds are advanced any unexpended balance or funds unaccounted for at the end of the approved period must be returned. (8) Any significant revision of the approved project proposal must be requested in writing by the Contractor prior to enactment of the change. (9) Progress reports must be submitted as required by OTDA. The final program and financial reports must be submitted within a specified time period after the project terminates. Necessary records and accounts including financial and property controls will be maintained and made available to OTDA for audit purposes. (10) All reports of investigations, studies, and publications made as a result of this proposal must acknowledge the support provided by OTDA. (11) All personal information concerning individuals served or studies conducted under the project are confidential and such information may not be disclosed to unauthorized persons, corporations, or agencies. (12) OTDA reserves a royalty free non-exclusive license to use and to authorize others to use all copyrighted material resulting from this project. (13) Successful applicants will be subject to the State's prompt contracting law. (14) Selected Contractors agree to be bound by the Minority and Women-Owned Business Enterprises/Equal Employment Opportunity anti-discrimination provisions as more fully set forth in the RFP. (15) Selected Contractors agree to be bound by the Service Disabled Veterans Owned Business provisions as more fully set forth in the RFP.

As described in the RFP, OTDA reserves the right, if funds become available, to increase the award to the selected provider or make additional awards based on the remaining unfunded proposals submitted to OTDA as a result of this RFP in a manner consistent with the award methodology set forth in the RFP. OTDA shall also reserves the right to solicit and accept new proposals, as funding becomes available, should there not be acceptable remaining proposals.

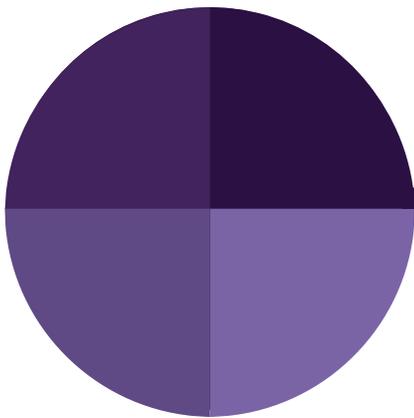
OTDA anticipates making an award to administer a project(s) for twenty-four (24) months. The project may be renewed for additional periods depending on the continued need for the services, achievement of anticipated outcomes, continued availability of funding and at the sole discretion of OTDA.

The applicant certifies that to the best of his/her knowledge and belief the information contained in this application is true and correct, that he/she will comply with the above agreement if a contract is awarded and that this constitutes a firm offer for at least 180 days.

(Signature of official authorized to sign for applicant)

(Date)

(Type name and title)



The DISC Locator/Scaling Tool for Employer Resource Networks

Guidebook for Dialogue and Assessment



About DISC

Disruptive Innovations for Social Change

What we do: We help workers, employers and communities succeed.

How we do it: We work with leaders and apply the principles of disruptive innovation to create lasting change.

What we mean by disruptive innovation: It involves introducing change to a system on a small scale, then perfecting and expanding the change to create a new system that delivers far better results.

Our work helps: Workers gain economic self-sufficiency for themselves and their families. Employers retain an engaged and skilled workforce. Public agencies and nonprofits get better outcomes from programs that advance economic independence. Community colleges add students and build closer ties to area businesses.

Three things to know about DISC: We are a social enterprise. We apply business practices to achieve goals that communities define as vital to their well-being. We facilitate cross-sector partnerships. We make it easy for corporations, governments, community colleges and nonprofits to do more together. We work with ideas and action. We are a think tank, incubator and implementer focused on innovative practice that transforms results.

Why does it work? We catalyze the development of community-wide social capital both within and across sectors, professions, organizations and individuals.

Contact Information:

James Vander Hulst

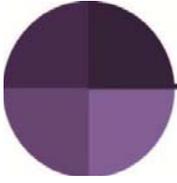
PO Box 6164

Grand Rapids, MI 49516-6164

877.625.9564

James@DISC-L3C.com

<http://www.disc-l3c.com/>



What is the ERN?

The DISC Employer Resource Network Model

The Employer Resource Network (ERN) model is a new approach to workforce development that was initiated in Grand Rapids, Michigan in 2001. As of November 2011, the model has been adopted and implemented at six sites within four different counties in the state of Michigan with 45 employers involved. Other regions seeking innovative ways to blend the efforts of businesses, social service and workforce development agencies have expressed interest in learning more about how to launch an ERN initiative in their own communities.

- Employer Resource Networks are employer-based.
- They usually include six to ten small-to mid-sized companies interested in forming a network to create economies of scale in accessing resources that benefit employees and by extension their own bottom lines.
- ERNs pull together job retention services, work supports, and education and training.
- While the focus is on entry-level and low wage employees, the services are available to all who work for ERN member companies.
- Because the target employees may be receiving or eligible for public assistance, ERNs also include strong partnerships with community service providers such as social service agencies, workforce development groups, chambers of commerce and economic development groups and community and technical colleges or other training institutions.

Please contact us to see if there is an ERN being explored near you.



What is the ERN?

The DISC Employer Resource Network Model



Benefits

Employers	Employees	Providers
<p>Employers benefit from ERNs when job turnover rates and the cost of skill building and training decrease and productivity increases. ERN member businesses average 150-334% return on their investment following the initial startup period.</p>	<p>When entry-level wages are insufficient or there are barriers to consistent and successful job performance, employees get help accessing public benefits, ongoing skills training and counseling to overcome challenges to a successful and productive life.</p>	<p>Community Colleges, public agencies and nonprofit organizations benefit from the ERN when local businesses appreciate and support the services they offer. They also grow the population of people they serve due to ERN participants, which may result in additional grant funding.</p>



Employer Resource Network Drivers

What drives a community to consider an Employer Resource Network? Consider these questions:

1. What would the barriers be to establishing an ERN in your community?
2. What are the assets your community would leverage to establish an ERN?
3. Would the DISC Model for Employer Resource Networks be something your community would support?
4. Where do these issues “rate” in your community? Are they a priority? Do they current receive funding and support?
5. Are they covered in local media and discussed in political arenas?
6. To what degree are personal and family challenges contributing to job turnover among low-wage and entry-level workers in your community?
7. Is employee retention an issue with small to mid-sized businesses in your community?



The Locator Tool

Determining community readiness for an ERN

The Locator is a tool designed to help communities assess their capacity and readiness for an ERN and is a prelude to the DISC Employer Resource Network Model which includes:

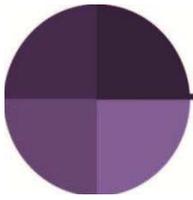
- A collaborative network of 6-10 small- to mid-sized businesses, often in retail, hospitality, manufacturing or healthcare.
- A focus on successful employment for low-wage, entry-level workers.
- Partnerships with community service providers.

The Locator Tool includes five elements - a core and four components:

1. The core consisting of a theory of change and a set of competencies and capacity-building activities.
2. Champions – those who promote, encourage, prod and support the development of the ERN.
3. Community Assets – resources, skills and capacities that enable achievement of community vision for the ERN.
4. Corporate Commitment – the ability for businesses to find opportunities and manage their operations such that they sustain themselves and are valued in the community.
5. Collaborative Skills – the ability to form coalitions and learn and work together.

The ERN Locator Tool is designed to be administered by a DISC team member. The tool asks a series of dialogue questions for each of its five elements. Each element can be discussed and scored to assess a community's readiness for an ERN. The Locator is a framework developed by Dr. Lynn Wooten, from the Ross School of Business of the University of Michigan and based on the experiences of the DISC team in developing the six ERN sites to date.

DISC has contracted Professor Lynn Perry Wooten, University of Michigan Business School with product design assistance from Barbara Demarest to conceive of and develop the Locator Tool. This work is supported by the W.E. Upjohn Institute for Employment Research with funding from the Ford Foundation.



The Locator Tool

Determining community readiness for an ERN

The Locator Tool was designed for group discussion. The purpose of the Locator Tool is to:

- Understand where the workforce issues of a community may be addressed via this new approach called an Employer Resource Network.
- Identify areas of strength and readiness for an ERN as well as those components that are in need of development or improvement in order for an ERN to be successful.
- Offer a way to measure, over time, changes in a community's capacity for hosting an ERN.
- Point out where differences of opinion and information lie within the group interested in addressing workforce development issues in a given community.
- Begin the process of coalition building in support of an ERN and to identify potential Champions

The Locator Tool is not a scientific diagnostic. It is a tool for supporting organized dialogue and discussion and catalyzing decisions and action. It is extremely difficult and subjective to ascertain readiness and capacity. The Locator Tool score sheet is meant to help provide general direction and reminders, not to be an exact science. It is understood that the Locator Tool will be used in a variety of contexts and stages of readiness. It is meant to be a starting point only. We encourage you to adapt and add to the Locator Tool to make it work more effectively in your community.

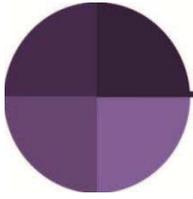
Instructions

First determine who will be a part of the dialogue about workforce development in your community. Then, for each element of the Locator Tool, answer the related dialogue questions. You can have individuals read through the questions and answer them on their own as pre-work or you can choose to gather a group and share the tool without pre-reading. Ideally, the people you gather for dialogue should have the knowledge, experience and connections in the community to engage in a lively and informed discussion. We do provide a score sheet to help capture an assessment.

There are ten questions for each element of The Locator Tool. Each question is scored on a scale from: not at all (0) to some (1) to definitely (2). The total number of points for each element that can be scored is 20 and the Locator total score that can be achieved is 100. Because some questions may not be applicable to your community or to the goals you have for workforce development, there is an option on the score sheet to check N/A for not applicable. In addition, the consensus of those involved may be that they do not have the knowledge to make a judgment. There is also a box that can be checked for these questions.

Use the score sheet to determine whether your group sees your community as having no capacity, some capacity or definite capacity for each question. Then tally up the scores of the five elements of the Locator Tool. In the summary section of the score sheet note totals for each element and then the sum of all elements for a final score.

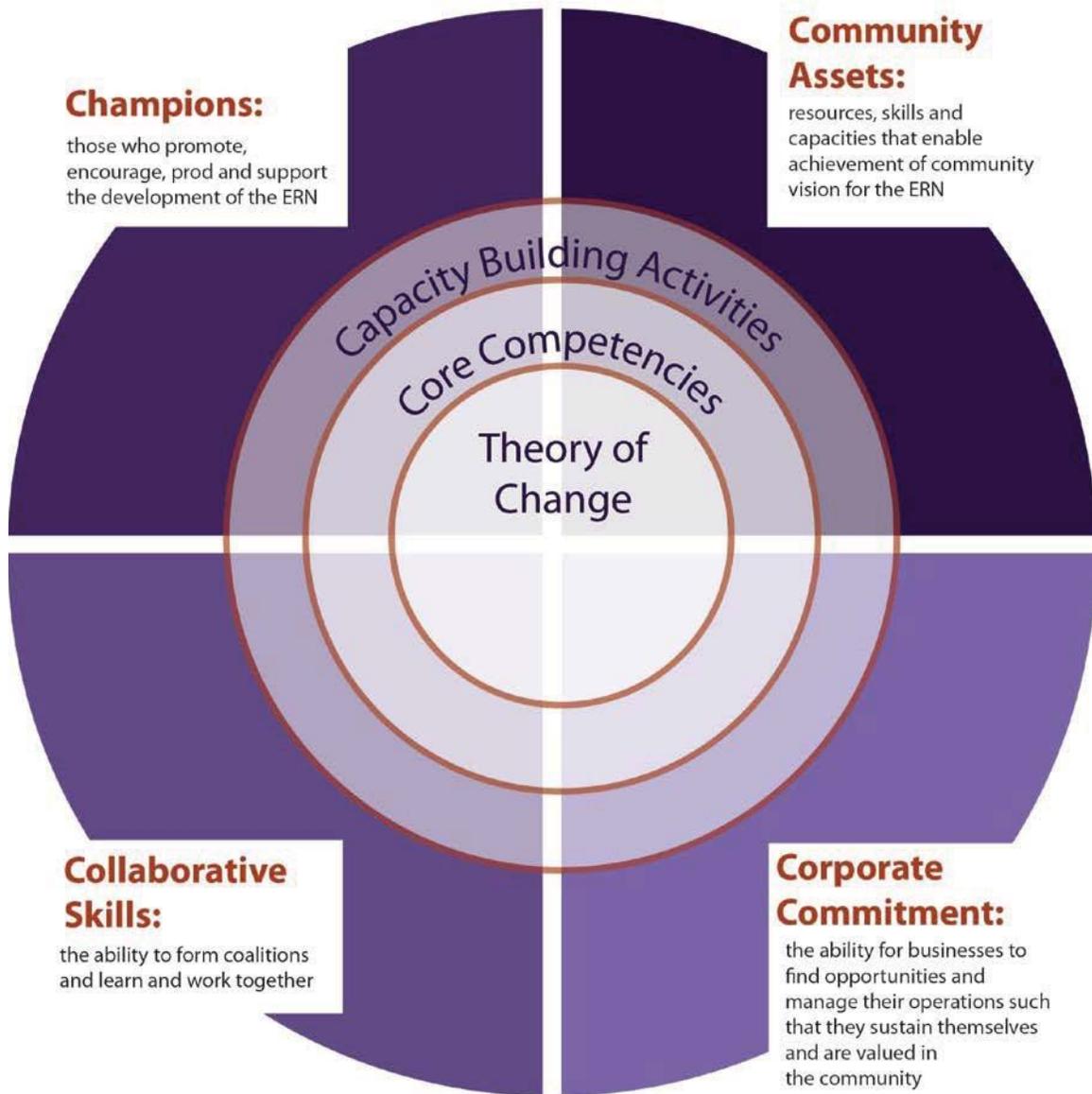
In addition to the total score which will range between 0 and 100, it is important to note which questions are not applicable and which questions are flagged as needing to get more information.

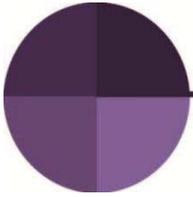


The Locator Tool

Determining community readiness for an ERN

Interpret the questions broadly and do not get caught up in splitting hairs over language. The questions are primarily intended to assist in discussions about workforce development and readiness for an ERN, they are not meant to be a challenge to the process. Using numerical scoring is less about “grading” your community and more about capturing the tone and tenor of the discussions.





ERN Locator

A tool for determining community readiness

The Locator Core consists of:

Theory of Change:

The process that will result in productivity and job retention improvements for low-wage and entry-level workers in ERN member organizations.

Core Competencies

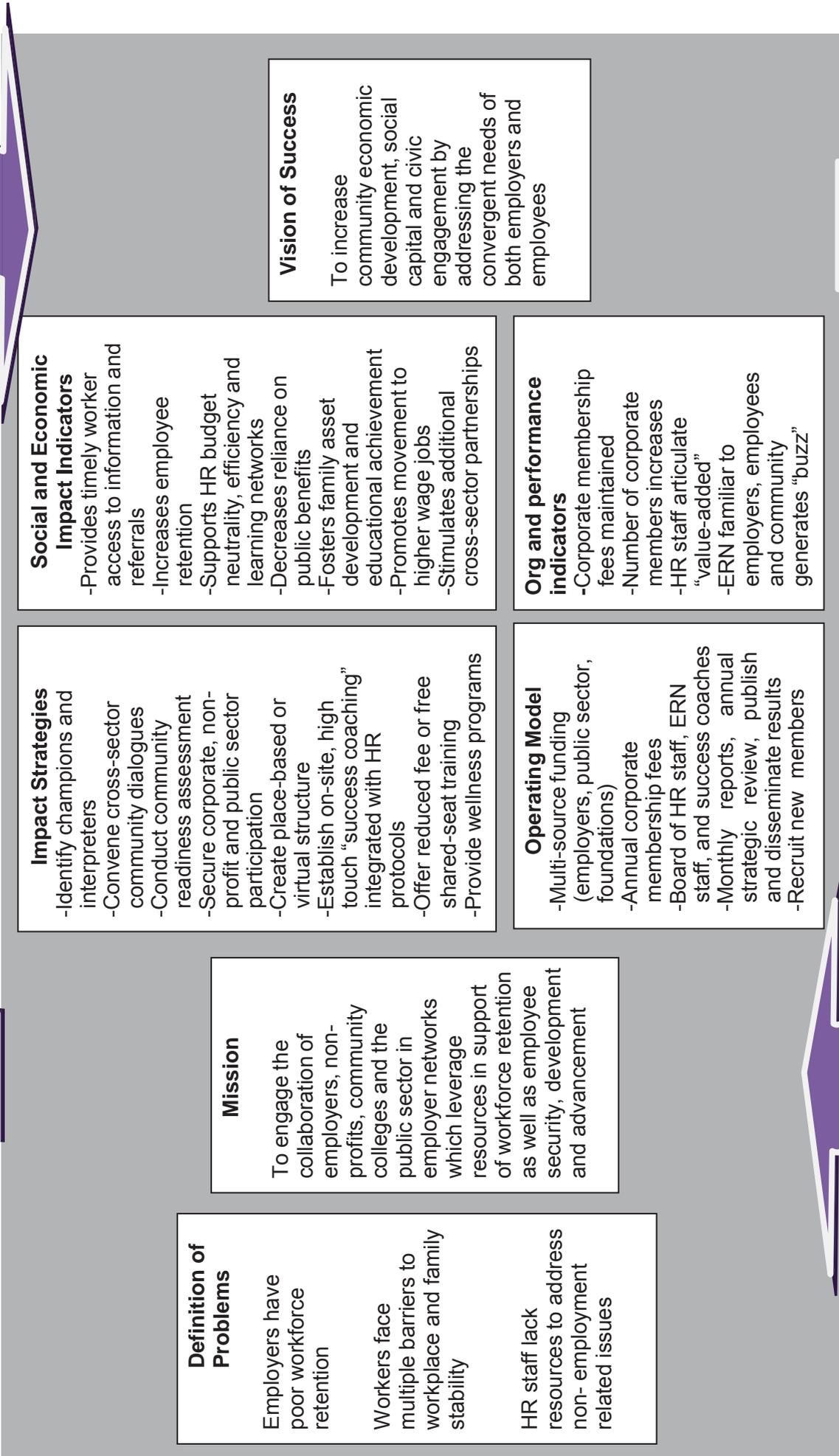
The collective strengths and talents of the ERN that will transform resources into processes, services, and products to achieve improvements in job retention and productivity.

- Organizing ERN board meetings
- Identifying community resources
- Organizing training
- Fundraising
- Retention specialists available onsite at employers
- Managing 100-150 employee cases at any given time
- Helping eligible employees connect with social services
- Assisting in resolving personal and motivational barriers to work
- Offering free or reduced-fee basic education and industry-specific training
- Providing health and wellness services and support
- Providing social supports such as financial literacy, housing assistance and domestic violence counseling

Capacity Building Activities

Activities that strengthen the ERN and help it better fulfill its mission.

- Create an administrative infrastructure
 - Create a customized service model
 - Decide whether to outsource or share responsibility among ERN members for administrative infrastructure and service model
 - Map which services will be delivered at a central, convenient location and which services will be delivered onsite with ERN member organizations
 - Calculate return on investment fee structure to determine how much ERN members will contribute annually to the initiative
 - Use job retention statistics, collaborative share-seat training fees and the cost of direct support to make the contribution calculation
 - Base on how much and what types of services employees use
 - Create an ERN design that is flexible enough to respond to the changing economic conditions and employer needs
-



Employer Resource Network (ERN) Success Coach Job Description

Position: Success Coach
 Reports To:
 Location:

Summary:

The Success Coach provides complex information and referral services to workers affiliated with an Employer Resource Network (ERN) that helps employees of member companies connect to community resources and assists with removing barriers. Employees within the ERN network request social service assistance from the Success Coach through the established network within each worksite. The work involves interviewing clients to identify problems, determining the level of assistance needed, and referring clients to the appropriate agency or other follow-up service in areas such as child care, transportation, housing, domestic violence, education and career advancement. Responsibilities require considerable contact with employee-members of various socio-economic groups, as well as interaction with other agencies, anti-poverty workers, and the general public.

Specific Responsibilities:

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and / or ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

- Participates and upholds the values and processes devoted to continuous quality improvement in all ERN activities;
- Helps ERN employees in access services needed or otherwise manage to overcome barriers to employment;
- Develops a client action plans after conducting assessments and interviews;
- Works in conjunction with human resources, supervision and management to help identify employees in crisis;
- Identifies additional barriers to employment and assesses appropriateness of training/educational services and facilitate connections to program services;
- Creates and updates manuals and/or computer database client files by recording each contact made with ERN employees and maintains records required for follow-up;
- Keeps current and relevant information of available community and social services to ERN employees and provides information on how to obtain services;
- Arranges services with providers as required by case notes and plans;
- Assists ERN employees in completing written applications for social services when needed.
- Provides emergency assistance and crisis intervention to employees when necessary;
- Produces reports to be presented at ERN board meetings detailing the number and type of services provided and outcomes;
- Demonstrates continuous effort to improve the process, decrease turnaround times, streamline work methods, and work cooperatively and jointly to provide value-added customer service to employees;
- Maintain and manage regular contact with assigned ERN contacts to reinforce and monitor work progress and to ensure quality / coordinated and timely service delivery to ERN employees;
- Establish, nurture and maintain appropriate linkages to internal and external employee resources.

Position Requirements and Qualifications:

- Bachelor's degree in Human Services or related field or two to five years related experience and / or training or equivalent combination of education and experience;
- Work with limited supervision;
- Ability to work well in a team environment;
- Demonstrated ability to track progress and maintain employee contact;
- Ability to communicate effectively (oral and written) with staff, employees, management, referral sources, public;
- Ability to write accurate and concise case notes;
- Proficient in Microsoft WORD, EXCEL and POWERPOINT;
- Must have a valid driver's license and must travel to ERN sites;
- Ability to work with and be sensitive to people from diverse backgrounds or who have disabilities and/or barriers to employment;
- Ability to attend meetings, trainings, and professional development opportunities as required;
- Creativity and flexibility;
- Ability to comply with policies and procedures at various employer locations, as well as federal and state, confidentiality laws as described in HIPPA (Health Insurance Portability Accountability Act).

Employer Champion Attributes

- Entrepreneurial
- Respected in Community
- Invests in Social Capital
- Leverages Business Value
- Measures & Learns from Success & Failure
- Seeks Continuous Improvement
- Embraces Organizational Culture Transformation
- Drives Change throughout Organization
- Pursues Competitive Advantage
- Values each Employees Contribution

Business Profile

- Privately Held or Locally Headquartered
- Invests in Employee Training and Benefits
- Established Alliances and Collaborative
- Medium-sized based on employment (50-500)
- Lean in Human Resource Staffing
- Business in Transition (Growth or Decline)
- Understands the cost of turnover, absenteeism & low employee engagement
- Good Corporate Citizen / Corporate Social Responsibility
- Corporate Culture Awareness
- Diversity Initiatives
- Benchmark Best Practices

Employer Resource Network

- 5 to 10 Companies with a range of wage and skill
- Articulate similar needs around turnover or skills shortage / development (value proposition)
- Companies who need each other to create economies of scale
- Willing to fund shared staff / resources to increase efficiency & diversify cost
- Companies who are not direct competitors
- Willing to establish public, private & government partnerships
- Willing to share information confidentially with non-business partners and track and report agreed upon metrics
- Leadership willing to commit to networking with peer leaders
- Leadership willing to empower HR, Managers and Employees to develop and participate in collaborative training & programs
- Leadership willing to sanction the Mission of the ERN collaborative and recruit peer business members

Printed Version of Gateway Application:

Organization	Grant Opportunity	Document #	Document Role	Current Status
	Mohawk Valley Employer Resource Network			

PROJECT/SITE ADDRESSES

Instructions:

1. Please complete all required fields.
2. If Project Statewide is "Yes", do not enter Address information. If Project Statewide is "No", Address information is required.
3. Select the **Save** button above to save your work frequently.
4. Click Forms Menu to return to the navigation links.

Name/Description:

Project Statewide

Address 1

Address 2

City

County

State

NY

Zip
Regional Council:
Agency Specific Region:

PROGRAM SPECIFIC QUESTIONS

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.

Project Title

Proposals will consist of two parts – a narrative section and a budget section. To ensure that all proposals are evaluated on the same basis, all of the following questions must be answered. OTDA's Center for Employment and Economic Supports will establish Review Committees to evaluate the proposals. The evaluation process will abide by the following rules:

- 1 Fully describe the community's need for an Employer Resource Network (ERN) in the specific area of Mohawk Valley that will be targeted for program operation. Detail the issues that small to mid-sized employers in the targeted service area face in retaining their entry-level workers, who are often disadvantaged.
- 2 Identify the type of businesses/particular business sectors that will be focused on as potential member agencies of the ERN and how participation in the ERN to pool resources would be beneficial to its members. Describe the size and employee demographics of the businesses. Use labor market information and statistics to describe current job vacancies, turnover, skills gaps and the educational and training requirements for entry-level positions.
- 3 Clearly describe your recruitment methods to garner employer interest or participation in the ERN model. Demonstrate your linkages to the employer community and ability to effectively communicate and work collaboratively. Provide a description of your current/past relationships with employers in the community to support employment efforts.
- 4 Business Interest priority points: Applicant organizations can receive up to 5 priority points for letters of interest from employers who indicate an interest in joining the ERN. 1 point will be awarded for each letter of interest up to a maximum of 5 points. Please enter the number of interest letters from employers included with the application. (You must upload the letters in the upload section for this question. Only one document may be uploaded. If you have more than one letter, you must scan them all as one document first.)

Upload

- 5 Provide a detailed description of the case management approach the Success Coach will utilize for employees to help them overcome work-related issues and barriers to foster improved job retention.
- 6 Describe how your organization will partner with the local department of social services (district) to ensure ERN employee needs in relation to district programs are coordinated in order to support job retention and family stability. A letter of support from the local district in the ERN targeted area is required. At a minimum, letters of support from districts should include their willingness to work with your organization to help facilitate job retention and

lists a specific point person/liaison for the project who will handle inquiries from the ERN/Success Coach. A sample template for district/ERN coordination is included as Attachment A2. This form or a letter of support from the local district is required to be uploaded in the pre-submission uploads section of this application.

- 7 Describe other available community resources available such as, financial education, legal assistance, housing, food pantries, clothes closets, etc., that will be leveraged to support referrals to ERN employees. Please describe your experience working with these types of community based programs.

- 8 Describe local training/education/vocational services available in the target community and how your organization plans to access them to assist ERN employers / employees. Please describe your organization's experience with providing, or referring clients to educational / vocational training.

- 9 Describe your organization including the services it provides and the typical clientele. Explain how the ERN project fits into your overall organization's mission/goals. Fully describe your organization's administrative and programmatic capabilities that provide justification the program will have the proper support, resources and commitment to be implemented /maintained effectively. Describe accomplishments of past performance including statements of specific program outcomes from funding organizations and other reliable and verifiable sources. Organizations with current or prior successful experience operating employment and retention programs for low-income populations are preferred.

- 10 Describe your sustainability strategy to support the ERN after the initial phase. The goal of an ERN is for the employer members to sustain the initiative long-term after the 1st year of operation. At the same time, the ERN seeks to leverage additional funds, whether in-kind, such as, meeting, training space or office space at each employer and training and support funds to remove barriers and provide advancement opportunities. Preference will be awarded to organizations that can contribute funds to the project, including but not limited to the applicant supporting project administration costs, philanthropic support, partnering with BOCES or community colleges to provide training courses to support job retention and advancement at reduced rates, partnering with banks/financial institutions to waive fees or offer reduced /no fees for loan processing and loans, savings/checking accounts, etc. Leveraged funds must be quantified with a clear explanation of how the value was determined.

PERSONAL SERVICES - SALARY

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Salary position has been saved successfully, select the **Add** button above to add additional Salary position.
4. Click Forms Menu to return to the navigation links.

Salary Detail

In the Salary section only include staff positions related to the implementation and administration of the program. If Salary is not applicable leave this section blank.

Details

Position/Title

Role/Responsibility

in Title

Financial

Annualized Salary Per Position

STD Work Week (hrs)

% Funded %

Months Funded

Total Grant Funds

Total Match Funds

Match % %

Total Other Funds

Line Total	\$0
Category Total	\$0.00

[Click here to see a summary of the detail entered for this category.](#)

| CATEGORY TOTAL SUMMARY |

PERSONAL SERVICES - SALARY NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.

3. Click Forms Menu to return to the navigation links.

Salary Narrative

Provide an explanation of any exceptions in staffing patterns and/or annual salary costs.

PERSONAL SERVICES - FRINGE

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Fringe item has been saved successfully, select the **Add** button above to add additional Fringe items.
4. Click Forms Menu to return to the navigation links.

Fringe Detail

Fringe Benefits should be budgeted in line with your organization's Standard Fringe Benefit Policy and/or Negotiated Bargaining Agreements and should not exceed the current NYS rate. Provide a brief explanation of the percentage and composition of the fringe benefit structure. If fringe is not applicable, leave this section blank.

[Details](#)

**Fringe -
Type/Description
Justification**

[Financial](#)

Total Grant Funds

Total Match funds

Match % %

Total Other funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.
[| CATEGORY TOTAL SUMMARY |](#)

PERSONAL SERVICES - FRINGE NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Fringe Narrative

Fringe Benefits should be budgeted in line with your organization's Standard Fringe Benefit Policy and/or Negotiated Bargaining Agreements and should not exceed the current NYS rate. Provide a brief explanation of the percentage and composition of the fringe benefit structure. If the budgeted fringe benefits represent an exception of the current NYS rate, please explain the difference.

CONTRACTUAL

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Contractual item has been saved successfully, select the **Add** button above to add additional Contractual items.
4. Click Forms Menu to return to the navigation links.

Contractual Detail

In the Contractual Services section should include costs for services rendered to the project under a format or written agreement such as direct provision of services by contractual arrangement. If Contractual is not applicable leave this section blank.

[Details](#)

**Contractual -
Type/Description
Justification**

[Financial](#)

Total Grant Funds
Total Match Funds
Match % %
Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

[CATEGORY TOTAL SUMMARY](#)

TRAVEL

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Travel item has been saved successfully, select the **Add** button above to add additional Travel items.
4. Click Forms Menu to return to the navigation links.

Travel Detail

This section is used to itemize travel costs. If Travel is not applicable leave this section blank.

[Details](#)

Travel - Type/Description
Justification

[Financial](#)

Total Grant Funds
Total Match Funds
Match % %
Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

[CATEGORY TOTAL SUMMARY](#)

EQUIPMENT

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once an Equipment item has been saved successfully, select the **Add** button above to add additional Equipment items.
4. Click Forms Menu to return to the navigation links.

Equipment Detail

This section is used to itemize both purchased and rental equipment costs. If Equipment is not applicable leave this section blank.

[Details](#)

Equipment - Type/Description
Justification

Purchase/Rent? *

[Financial](#)

Total Grant Funds
Total Match Funds
Match % %
Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

[CATEGORY TOTAL SUMMARY](#)

EQUIPMENT NARRATIVE

Instructions:

1. Please complete narrative field.

2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Equipment Narrative

Provide documentation regarding bids received for equipment purchases. This field can be used to reference additional documents that are submitted with the application/contract.

Provide a justification for any exceptional equipment purchase/rental costs as related to the program needs. For example, a program may have a dollar threshold whereby equipment purchases of a certain amount must be justified. For ongoing or multiyear contract, justification is required for new items of equipment only.

SPACE/PROPERTY RENT

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Space/Property: Rent item has been saved successfully, select the **Add** button above to add additional Space/Property: Rent items.
4. Click Forms Menu to return to the navigation links.

Space/Property: Rent Detail

This section is used to itemize costs associated with Space/Property: Rent. If Space/Property: Rent is not applicable leave this section blank.

[Details](#)

Space/Property: Rent - Type/Description

Justification

[Financial](#)

Total Grant Funds

Total Match Funds

Match % %

Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

| CATEGORY TOTAL SUMMARY |

SPACE/PROPERTY: RENT NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Space/Property: Rent Narrative

Provide a detailed explanation of any extraordinary costs or significant changes to the original contract. For example, a program may have a dollar threshold whereby space/property expenditures of a certain amount must be justified.

SPACE/PROPERTY: OWN

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Space/Property: Own item has been saved successfully, select the **Add** button above to add additional Space/Property: Own items.
4. Click Forms Menu to return to the navigation links.

Space/Property: Own Detail

This section is used to itemize costs associated with Space/Property: Own. If Space/Property: Own is not applicable leave this section blank.

[Details](#)

Space/Property: Own - Type/Description

Justification

[Financial](#)

Total Grant Funds

Total Match Funds

Match % %

Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

| CATEGORY TOTAL SUMMARY |

SPACE/PROPERTY: OWN NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Space/Property: Own Narrative

Provide a detailed explanation of any extraordinary costs or significant changes to the original contract. For example, a program may have a dollar threshold whereby space/property expenditures of a certain amount must be justified.

UTILITIES

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once a Utility item has been saved successfully, select the **Add** button above to add additional Utility items.
4. Click Forms Menu to return to the navigation links.

Utility Detail

This section is used to itemize costs associated with Utilities. If Utility is not applicable leave this section blank.

[Details](#)

Utilities - Type/Description

Justification

[Financial](#)

Total Grant Funds

Total Match Funds

Match % %

Total Other Funds

Line Total	\$0
Category Total	\$0.00

Click here to see a summary of the detail entered for this category.

| CATEGORY TOTAL SUMMARY |

UTILITIES NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Utilities Narrative

Provide a detailed explanation of any extraordinary costs or significant changes to the original contract. For example, a program may have a dollar threshold whereby space/property expenditures of a certain amount must be justified.

OPERATING EXPENSES

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once an operating expense item has been saved successfully, select the **Add** button above to add additional operating expense items.
4. Click Forms Menu to return to the navigation links.

Operating Expenses Detail

This section is used to itemize costs associated with the operation of the program, including but not limited to insurance/bonding, photocopying, advertising, and supplies. If Operating Expenses are not applicable leave this section blank.

[Details](#)

Operating Expenses -
Type/Description
Justification

[Financial](#)

Total Grant Funds

Total Match funds

Match % %

Total Other funds

Line Total	\$0
Category Total	\$0

[Click here to see a summary of the detail entered for this category.](#)

| CATEGORY TOTAL SUMMARY |

OPERATING EXPENSES NARRATIVE

Instructions:

1. Please complete narrative field.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Operating Expenses Narrative

If applicable, please provide an explanation of any extraordinary costs or significant changes to the original contract. For example, a program may have a dollar threshold whereby operating expenses of a certain amount must be justified.

OTHER EXPENSES DETAIL

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Once an other expense item has been saved successfully, select the **Add** button above to add additional other expense items.
4. Click Forms Menu to return to the navigation links.

Other Expenses Detail

If Other Expenses is not applicable, leave this section blank.

[Details](#)

Other Expenses -
Type/Description
Justification

[Financial](#)

Total Grant Funds

Total Match funds

Match % %

Total Other funds

Line Total	\$0
Category Total	\$0

[Click here to see a summary of the detail entered for this category.](#)

| CATEGORY TOTAL SUMMARY |

OTHER NARRATIVE

Instructions:

1. Please complete all the required fields.
2. Select the **Save** button above to save your work frequently.
3. Click Forms Menu to return to the navigation links.

Other Expenses Narrative

If applicable, please provide an explanation of any extraordinary costs or significant changes to the original contract. For example, a program may have a dollar threshold whereby the other cost category expenses of a certain amount must be justified.

EXPENDITURE SUMMARY

Instructions:

1. Save this form to display a roll-up of the category budget details.
2. Click Forms Menu to return to the navigation links.

Category of Expense	Grant Funds	Match Funds	Match % Calculated	Match % Required	Other Funds	Total
1. Personal Services						
a) Salary	\$0	\$0	%	%	\$0	\$0
b) Fringe	\$0	\$0	%	%	\$0	\$0
Subtotal	\$0	\$0	%		\$0	\$0
2. Non Personal Services						
a) Contractual	\$0	\$0	%	%	\$0	\$0
b) Travel	\$0	\$0	%	%	\$0	\$0
c) Equipment	\$0	\$0	%	%	\$0	\$0
d) Space/Property & Utilities	\$0	\$0	%	%	\$0	\$0
e) Operating Expenses	\$0	\$0	%	%	\$0	\$0
f) Other	\$0	\$0	%	%	\$0	\$0
Subtotal	\$0	\$0	%		\$0	\$0
Total	\$0	\$0	%	%	\$0	\$0
PERIOD TOTAL	\$0					

WORK PLAN OVERVIEW FORM

Instructions:

The purpose of this form is to capture organizational information necessary for application processing, as well as a detailed accounting of the proposed or funded project. It is made up of three sections:

1. Project Summary
2. Organizational Capacity
3. Project Details - Objectives, Tasks and Performance Measures

If applicable, specific instructions/requirements for completing these sections may be found in the Grant Opportunity under which you are applying. Click Forms Menu to return to the navigation links.

Work Plan Period From To

Project Summary

Provide a high-level overview of the project, including the overall goal and desired outcomes. Include information such as location, target population, overall number of persons to be served, service delivery method and hours of operation.

Organizational Capacity

Describe the staffing, qualifications and ongoing staff development/training activities, and relevant experience of the provider organization to support the project.

OBJECTIVES AND TASKS

Instructions:

1. Select the **View/Add** link next to a Task to add or edit the Performance Measures for that Task.
2. Click Forms Menu to return to the navigation links.

Objective
Objective Name
Startup / Development Report
Objective Description
<p>During the initial phase, the contractor will provide OTDA with a quarterly narrative report detailing the progress in establishing the ERN. The report will consist of, but not be limited to, information regarding the following: (if applicable)</p> <ul style="list-style-type: none"> • The hiring of a "Success Coach"; • Details of contacts with potential employers; • Summary of any meetings/presentations with prospective employers, community based providers, training and education organizations and local social services district(s); • Summary of meetings/trainings with DISC and/or SAERN regarding the development of the ERN; • Feedback, if provided, from any potential employer on their reception of the ERN model.

OBJECTIVES AND TASKS

Instructions:

1. Select the **View/Add** link next to a Task to add or edit the Performance Measures for that Task.
2. Click Forms Menu to return to the navigation links.

Objective
Objective Name
Implementation / Performance Phase
Objective Description
Once the ERN has secured employer participation and established its governing principles, the selected contractor will provide OTDA: <ul style="list-style-type: none">• Details to the design, structure and management of the ERN with employers who have committed to the project;• The established cost of a "Share" for member businesses. It is important to note that funding from the State is a single issue occurrence and will not maintain the ERN. The establishment of Share costs should be sufficient to maintain services once State funding has ceased. If a reduced initial rate is used to garner employer participation, this should be noted including the duration of the reduced rate.

OBJECTIVES AND TASKS

Instructions:

1. Select the **View/Add** link next to a Task to add or edit the Performance Measures for that Task.
2. Click Forms Menu to return to the navigation links.

Objective
Objective Name
Statistical Reporting
Objective Description
In addition to providing OTDA with the previously mentioned reports, the contractor will provide quarterly statistical reports that include, but are not limited to, the following: <ul style="list-style-type: none">• Number of employees served by employer;• Number of employees served with active public assistance cases vs. individuals not in receipt of public assistance;• Number of referrals made for, and type of, support services;• Number of referrals made for, and type of, education/training;• Number of retentions (jobs saved) through involvement (6 Mo. / Yr.)• Return on Investment;• Any additional metric to evaluate the performance of the ERN. Return on Investment (ROI) is the biggest factor in determining continued participation by employers and the success of the ERN. The basis for establishing the ROI should be included in the quarterly reports.

DEFINE TASKS

Objective: Startup / Development Report

Task

Describe your efforts and progress in the establishment of the ERN as outlined by the Objective. There is a 1,000 character limit. If your narrative exceeds that limit, please upload the report and write "See Uploaded Narrative" in the text box.

DEFINE TASKS

Objective: Implementation / Performance Phase

Task

Provide the required information as outlined by the Objective. There is a 1,000 character limit. If your narrative exceeds that limit, please upload the report and write "See Uploaded Narrative" in the text box.

DEFINE TASKS

Objective: Statistical Reporting

Task

Provide the required information as outlined by the Objective. There is a 1,000 character limit. If your narrative exceeds that limit, please upload the report and write "See Uploaded Narrative" in the text box.

PERFORMANCE MEASURE

Instructions:

1. Enter a *Performance Measure* in the field(s) provided below.
2. Select the **Save** button.
3. To add another *Performance Measure*, when applicable, select the **Add** button above.
4. Click Forms Menu to return to the navigation links.

Objective:

Task:

Performance Measure Name

Integer

PRE-SUBMISSION UPLOADS

Instructions:

1. Select the **Browse** button to locate an upload.
2. Select the **Save** button above to load it into the system.
3. If the Grant Opportunity you are applying for requires that a specific document be uploaded, a link to the Document Template will appear under the upload row. Click the link to download and save the Document Template to your computer. Once you have filled out the Document Template you can use the associated **Upload** row to upload the document as part of your application.

Please read the descriptions and whether a document is required to be uploaded or not in this section. Some are for informational purposes or required only if the information can not be submitted through other means. Upload the required documents in this section. Each question will only allow one uploaded document. If you have a form that may require multiple instances (i.e. the Department of Social Services Partnership Form) you must scan those forms together and upload as one document.

NYS Grants Gateway Vendor's Quick Start Guide

This document is not a required upload. It is provided as a "quick start" guide for grantees who want to apply for a grant opportunity online via the Grants Gateway. A comprehensive vendor system user manual (Grantee User Guide) can be found at www.grantsreform.ny.gov/Grantees.

Document Template: [Click here](#)

Notice of Intent to Bid (Attachment A1)

The Intent to Bid (Attachment A1) template can be accessed here. You do not upload the Intent to Bid into the Grants Gateway system. You should fax the completed form to (518) 486-7650 by the date indicated.

Document Template: [Click here](#)

Department of Social Services Partnership Form (Attachment A2)*

Please complete and upload the Department of Social Services Partnership Form (Attachment A2) here. If you are serving multiple counties you must acquire a form from each county you intend to serve. You must also scan all the partnership form together to upload as one document. The gateway system only allows for one scanned document per upload question.

Document Template: [Click here](#)

Contractor/Subcontractor Background Questionnaire (Attachment B1)

OTDA prefers that applicants complete the online version of the questionnaire through the Office of the State Comptroller's VendRep System at: http://www.osc.state.ny.us/vendrep/vendor_index.htm. If you cannot complete online, please complete and upload the Contractor/Subcontractor Background Questionnaire (Attachment B1) here if applicable.

Document Template: [Click here](#)

Employment Opportunity Staffing Plan (Attachment B2)*

Please complete and upload the Employment Opportunity Staffing Plan (Attachment B2) here.

Document Template: [Click here](#)

Equal Employment Opportunity Policy Statement (Attachment B5)*

Please complete and upload the M/WBE – EEO Policy Statement (Attachment B5) here.

Document Template: [Click here](#)

Subcontractor and Supplier Identification Form (Attachment B6)*

Please complete and upload the Subcontractor and Supplier Identification Form (Attachment B6) here.

Document Template: [Click here](#)

Service-Disabled Veteran-Owned Business Enterprises in Contract Performance (Attachment B7)*

Please complete and upload the Service-Disabled Veteran-Owned Business Enterprises in Contract Performance Form (Attachment B7) here.

Agency Agreement*

Please complete and upload the Agency Agreement (Attachment B8) here.