



**Office of Temporary  
and Disability Assistance**

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Release Date:

June 7, 2016

Request for Proposals

**Supplemental Nutrition Assistance Program  
Employment and Training Venture IV**

Submission Deadline:

July 21, 2016

**TABLE OF CONTENTS**

**Preface**

**I. Important Information**

A. RFP Summary Information 3  
B. Application Instructions 3  
C. Required Upload Documents 3  
D. Printed Version of Gateway Application 3  
E. Prequalification Requirements 4

**Part A: RFP Summary Information**

**II. Timelines and Proposal Submission**

A. Questions Concerning this Request for Proposals (RFP) 6  
B. Notice of Intent to Bid 6  
C. Proposal Submission and Due Date 6  
D. RFP Timetable 6

**III. Summary of the RFP**

A. Purpose 7  
B. Available Funds/Award Amounts 7  
C. Local Funding Requirement 8  
D. Use of SNAP E&T Funds 9  
E. Contract Period (Multi-Year) 10  
F. Eligible Applicants 10

**IV. Program and Contract Information**

A. Program Background 10  
B. Allowable SNAP E&T Activities 11  
C. Participant Eligibility 11  
D. Coordination With Social Services Districts (Districts) 12  
E. Description of Services 13  
F. SNAP E&T Reimbursement Structure 15  
G. Documentation Requirements 21  
H. Participant Reporting Requirements 23  
I. Milestone Reimbursement for Previously Served Participants 23  
J. Voucher Submittal and Record Keeping 23

**V. Proposal Requirements – Format and Content**

A. Evaluation Process 24  
B. Evaluation Criteria 24  
C. Reimbursement Schedule 27  
D. Required Documents 27  
E. Method of Selection 29  
F. Terms and Conditions Governing this RFP 29

**VI. General Information for Successful Bidders**

A. Contracting Terms/State Payments 30

**Part B: Instructions for Completing the Application** 40

**Part C: Attachments - Required Upload Documents** 42

Attachment 1: Notice of Intent to Bid

Attachment 2: Local Department of Social Services Partnership Form

Attachment 3: Contractor Information

Attachment 4: Contractor/Subcontractor Questionnaire

Attachment 5: EEO Staffing Plan

Attachment 6: MWBE Utilization Plan

Attachment 7: MWBE Quarterly Compliance Report

Attachment 8: Workforce Utilization Report

Attachment 9: Use of Service – DVOBE

Attachment 10: MWBE Equal Employment Opportunity Policy Statement

Attachment 11: Subcontractor and Supplier Identification Form

Attachment 12: Local Funding Agreement

Attachment 13: Local WIB Approval

Attachment 14: SNAP E&T Multi-Year Reimbursement Schedule

Attachment 15: Employment Coaching Plan

**Part D: Printed Version of the Gateway Application** 72

## Preface

### I. IMPORTANT INFORMATION

This page contains information regarding the Supplemental Nutrition Assistance Program Employment and Training Venture IV (SNAP E&T Venture IV) Request for Proposals (RFP) that is essential for any prospective applicant. Since the SNAP E&T Venture IV RFP is released through the New York State Grants Gateway system, the traditional manner of submitting hard copy applications to OTDA is no longer permitted. As a result, OTDA has tailored the design of the RFP to assist applicants in navigating and submitting proposals through the Gateway system correctly. The SNAP E&T Venture IV RFP is categorized into the four sections listed below:

1. PART A: RFP Summary Information
2. PART B: Application Instructions
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. Application Instructions:

All agencies submitting a proposal for this procurement must use the New York State Grants Gateway system at [www.grantsgateway.ny.gov](http://www.grantsgateway.ny.gov). Because this is a new system and many agencies may not have experience 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.

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 is provided so 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.

## **E. Prequalification Requirement**

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State 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.

### **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](mailto: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.

### **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. 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](mailto:grantsreform@budget.ny.gov).

## **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 New York State.

## **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](mailto:helpdesk@agatesoftware.com)

## Part A: RFP Summary Information

### 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 2:00 p.m., June 20, 2016. No handwritten or telephone inquiries will be accepted. Answers to all questions received by this date will be posted in the Grants Gateway website at [www.grantsgateway.ny.gov](http://www.grantsgateway.ny.gov) and on the New York State Office of Temporary and Disability Assistance's website at [www.otda.ny.gov](http://www.otda.ny.gov) no later than June 29, 2016.

New York State Office of Temporary and Disability Assistance  
Center for Employment and Economic Supports

Attn: Elida Tomasulo  
40 North Pearl Street, 11D  
Albany, NY 12243  
Fax: (518) 486-7650  
E-mail: [elida.tomasulo@otda.ny.gov](mailto:elida.tomasulo@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 1. The Notice of Intent to Bid form is **recommended** but is not a requirement.

#### C. Proposal Submission and Due Date

All Proposals must be submitted via the New York State Grants Gateway at [www.grantsgateway.ny.gov](http://www.grantsgateway.ny.gov) and be received no later than 12:00 p.m., July 21, 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 – June 7, 2016
- Deadline Date for Questions – June 20, 2016
- Deadline Date for Responses to Questions – June 29, 2016
- Submission of Notice of Intent to Bid – June 16, 2016
- Proposal Due Date – July 21, 2016
- Date of Notification of Award – August 19, 2016
- Project Start Date – October 1, 2016

### **III. Summary of the RFP**

#### **A. Purpose**

The purpose of the Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) Venture IV Request for Proposals (RFP) is to secure the services of eligible organizations that can assist OTDA in addressing the employment and training needs of SNAP applicants and recipients. SNAP recipients who receive TANF funded public assistance **are not** eligible to participate based on federal rules. This initiative will combine eligible private non-federal funding sources with 50% Federal SNAP E&T funds to expand work focused education and training services to low income households receiving SNAP benefits in New York State. The services funded under this initiative are those of the SNAP Venture IV program.

The target population for the SNAP E&T Venture IV program is individuals with significant barriers to employment, including individuals with a criminal history, a history of substance abuse, work limitations, limited English proficiency, low literacy levels, no high school diploma, adults with limited work histories, and eligible youth between the ages of 16 to 24. Priority will also be given to proposals that will serve unemployed and underemployed parents, including non-custodial parents, so they are best able to financially provide for their children.

Program providers are encouraged to offer both “soft skills” training (workplace preparation training, teamwork, problem solving, time management, conflict resolution, etc.) as well as basic education, and vocational/technical skills training. Training resulting in a credential that is marketable is required. A job development component that identifies how job opportunities will be secured to provide for permanent job placement for program participants must also be included.

#### **B. Available Funds/Award Amounts**

Up to \$16,000,000 in federal SNAP E&T funds will be combined with \$16,000,000 in eligible non-Federal funds identified by applicant organizations to support approved costs of serving program participants for a 12-month period beginning October 1, 2016. Funding for subsequent periods will be based upon performance and funding contribution/availability, State budget authority and the availability of federal funds. The non-federal funds may include cash donations from non-federal third party entities.

Government/public entities may also use in-kind contributions to satisfy all or part of the local funding requirement. Single agency awards may not exceed \$400,000.

Proposals submitted on behalf of a consortium of at least five non-profit agencies can request up to \$400,000 per year for each agency, but no more than \$3,000,000 in federal SNAP E&T funds for each year of the contract term. In a consortium model, one consortium member acts as the lead agency and is responsible for deciding how consortium members are selected. Formal contracts between the lead agency and its members must be developed to outline individual responsibilities as well as payment terms. The lead agency and/or consortium members may provide all or part of the local contribution needed to support approved costs of serving program participants.

Successful applicants will receive a five-year contract to begin on October 1, 2016 and end September 30, 2021. Funding for the initial 12-month period and any subsequent periods is contingent on the continued availability of funding and performance of the contractor. OTDA desires to engage the services of organizations that are successful in helping participants reach the milestones outlined in the RFP, and may initiate contract modifications to reduce or terminate award amounts of those projects that are not on schedule to fulfill contract goals by

the end of each program period. OTDA reserves the right to award contracts in excess of those stated above if funding becomes available. In the event the amount requested by selected organizations exceeds the amount available, OTDA may reduce the award amounts to stay within the overall funding limit. Necessary award reductions may be achieved by a proportionate decrease across selected proposals.

Catalog of Federal Domestic Assistance (CFDA) title and number for SNAP: 10.561, Supplemental Nutrition Assistance Program (SNAP).

### **C. Local Funding Requirement**

Federal SNAP E&T funds are available to reimburse 50% of the costs of eligible services. Each applicant must complete Attachment 12 to identify the source and amount of eligible non-federal funds that will be used to support expenditures required to provide SNAP E&T Venture IV program services. Attachment 14 is then completed to show how the SNAP E&T funds and non-federal funds contributed by the applicant will be used to support the proposed Venture IV Project. Funds are reimbursed on a performance basis as participants achieve contract milestones.

#### **1. Eligible Funding Sources**

Only non-federal funds may be used to access the reimbursement of SNAP E&T funds (with the exception of Community Development Block Grant funds [CDBG]). The non-federal funds may include cash donations from non-federal third parties such as charitable foundations/organizations, but cannot include private cash donations from an individual. Local tax levy dollars such as those provided by the NYC Council Discretionary Funds that are received by the non-profit agency could be used toward the non-federal funding requirement. State funds received by a non-profit or other organization can also be used as the non-federal funding. CDBG funds supporting SNAP E&T services are eligible for 50% SNAP E&T reimbursement. See section (105 (a)(9) of the Community Development Act of 1974.

Government/public entities applying under this initiative may also use eligible in-kind contributions to satisfy all or a portion of the local funding requirement. In-kind contributions are property or services which benefit the project or program and which are contributed by non-federal third parties without charge to the grantee. In-kind contributions must also be funded through eligible non-federal sources. Examples of in-kind benefits may include:

- Use of classroom space from a school district when they do not expect payment for use of the space; and
- Teacher's time donated by a school district.

A governmental entity is defined as any organization of State or local government that is supported by funds derived from general tax revenues of a state or locality specifically allocated from appropriate budgetary authority, such as a state legislature, county or local government. Examples of governmental entities that may receive payments for in-kinds include school districts, BOCES, State universities and State community colleges.

## 2. Ineligible Funding Sources

Ineligible funding sources include:

- Federal funds (including, but not limited to, Title II, TANF, ACCES-VR, WIOA, and OASAS other than CDBG funds);
- New York City Adult Literacy Initiative (NYCALI) funded by WIOA;
- Support services such as childcare or transportation; and
- Any funds otherwise used to match federal funds or permit the receipt of federal funds.

### D. Use of SNAP E&T Funds

SNAP E&T funds are available to reimburse the eligible costs associated with operating employment preparation, placement, and retention programs for SNAP applicants and recipients including job readiness assistance, job skills training, education related to employment (including vocational educational training), and work experience. Job retention services may be provided for SNAP E&T IV program participants for up to 90 days following job entry with one exception. SNAP E&T funds **cannot** be used to provide retention services for those participants who were employed at the time of enrollment unless the participant obtains a new job and receives a wage increase of at least 20 percent as compared to the wage at enrollment. Please note: a new job may include a promotion within the same organization, but does not include a raise for the participant's current position within the same organization even if the raise is an increase of at least 20%. Examples of promotions could include a Certified Nurse's Assistant to a Licensed Practical Nurse, A Driver I to a Driver II, or a Sales Associate to an Assistant Manager. The 20 percent increase cannot include an increase resulting from a change to the State or federal minimum wage.

Federal SNAP E&T Venture funds may be used for program costs including staffing, space, utilities and travel directly related to the operation of the program. They may not be used to reimburse for equipment, materials or supplies expenditures related to this project.

Individuals receiving SNAP may be required to participate in employment preparation programs by the social services district (district). SNAP E&T Venture IV providers should coordinate services with the district to determine the extent to which participation in a Venture IV program will satisfy any work requirement that may be required by the district. Districts may require certain types of activities and may require that individuals participate full-time, or up to 30 hours weekly for SNAP E&T Venture IV purposes. Districts will also expect to receive participant attendance and progress reports for mandatory SNAP participants.

While this is a performance based contract and agencies are reimbursed as participants meet established milestones, you are reminded that there are restrictions associated with SNAP E&T Venture funds. By entering into a contract with OTDA, you are attesting that SNAP E&T funds will **not** be used to reimburse expenditures for indirect expenditures including, but not limited to:

- Wage subsidies
- Supervision of individuals participating in unpaid work experience
- Medical services of any kind
- Substance abuse services
- Computers for participants or internet connections for participants
- Activities that exceed 120 hours per month (unless the individual volunteers to

- participate for the additional hours)
- Child care
- Supplantation of non-federal funds for basic educational programs normally available to citizens of a state, county or local jurisdiction that are supported by funds from those entities

Also, by entering into a contract with OTDA for the SNAP E&T Venture IV Program, you will be attesting that all equipment, materials and supplies costs will be paid with the contractor's share of funds and that no federal funds will be used for these purchases.

See allowable SNAP E&T activities in section IV. B. of this RFP.

#### **E. Contract Period (Multi-Year)**

This RFP governs contracts for the cycle starting **October 1, 2016** and ending **September 30, 2021**. At the discretion of OTDA, this multi-year cycle may be shortened if determined that modifications to the program structure are necessary. Funding amounts for the initial and any subsequent periods is contingent on the availability of funding and the degree to which performance outcomes have been achieved.

#### **F. Eligible Applicants**

Organizations eligible to apply for funds under this initiative must be nonprofit organizations such as school districts, Boards of Cooperative Educational Services (BOCES), community colleges and community based organizations that can satisfy the local funding requirement. Since social services districts already have access to SNAP E&T funds, they are not eligible applicants. Applicant organizations will be asked to secure district support of their proposal, and if selected, be required to coordinate with the district to confirm program eligibility and coordinate employment services as requested by the district.

Eligible applicants agree to provide informational materials to program participants regarding how to access various program benefits available to lower income households in New York, including SNAP, health insurance, and Earned Income Tax Credits. Applicants also agree to display and/or distribute materials developed by OTDA related to [myBenefits.ny.gov](http://myBenefits.ny.gov) to program participants. OTDA will provide each grant recipient with informational materials necessary to accomplish this goal.

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**

The SNAP Employment and Training Program was established to help SNAP recipients gain the skills they need to succeed in the labor market. In response to the initial Venture Program RFP, 17 non-profit organizations were selected to engage this SNAP population. This number was expanded to 36 non-profit organizations as a result of the Venture II RFP released in May of 2011, and then further expanded in March 2012 with an additional 25 providers selected for Venture III.

Contracts are performance based. Federal funds are earned as participants complete instructional hours, make educational gains, obtain a high school equivalency diploma or job skills credential, enter and maintain employment for 30 days, complete an Employment Coaching Plan, and maintain 90 days of employment.

While a consistent payment structure is used, flexibility exists in how and what services are delivered and offered. As labor market conditions, training resources and the needs of the target population vary across the State, so too does the makeup of individual Venture programs. Each program is designed in partnership with the Local Workforce Investment Board (WIB's) and requires certification and approval that the credentials being offered are in economic fields that are in demand to the region. Training ranges and may include credentialing in CNA, Retail Management, Home Health Aide, Warehouse Worker, CDLs. Adult Basic Education and English language instruction is also offered.

## **B. Allowable SNAP E&T Activities**

The following are allowable SNAP E&T activities and their definitions:

- Job search and placement - supervised contact of employers in an effort to obtain a job placement in available, appropriate positions.
- Job readiness assistance - preparation for employment through training in areas such as employer expectations, appropriate work-place conduct, personal appearance, job application and resume writing, job interviewing techniques and job seeking skills.
- Job skills training/vocational education - instruction in a specific skill or occupation or programs with a specific vocational objective.
- Education training related to employment-may include literacy training, HSE preparation or English Language Instruction.
- Work Experience - activity that improves the employability of participants through actual unpaid work experience in the public or nonprofit sector. Individuals may not participate in SNAP E&T work experience for hours that exceed the household's SNAP benefit divided by the federal or State minimum wage, whichever is higher.
- Subsidized employment - paid employment in the private or public sector and on-the-job training during a limited period of time during which the wages of the participant are subsidized. SNAP E&T funds may not be used to pay the wages but may be used to support the administration of a subsidized employment program. Please note that subsidized employment does not qualify as a 30-day job entry for milestone reimbursement purposes. If the client is subsequently retained after the subsidy period, a 30-day job entry and/or 90-day job retention may be claimed.

Program providers are encouraged to offer both "soft skills" training as well as vocational/technical skills training. Training that results in a marketable credential is required. A job development component that identifies how job opportunities will be secured to provide for permanent job placement for individuals served must also be included.

Individuals enrolled in any SNAP E&T activity should also receive case management services including employability assessments, assistance with child care and transportation arrangements and financial planning and management as needed to support service delivery.

Eligible SNAP E&T services may be adjusted during the contract term as needed based on federal guidance and/or State requirements.

### **C. Participant Eligibility**

The initiative will serve SNAP applicants and recipients with significant barriers to employment, including individuals with a criminal history, a history of substance abuse, work limitations, limited English proficiency, low literacy levels, no high school diploma, adults with limited work histories, and eligible youth between the ages of 16 to 24. Priority will also be given to proposals that will serve unemployed and underemployed parents, including non-custodial parents, so they are best able to financially provide for their children. Participation in a SNAP E&T program may not exceed the allowable 120 hours monthly unless the additional hours are voluntary.

Additionally, federal rules stipulate that those who are required by the social services district to participate in work activities and fail to comply with program requirements without good cause, (with the exception of volunteers) have their SNAP benefit reduced or discontinued. Any reduction or discontinuance in SNAP would continue until the expiration of any durational sanction and until compliance with SNAP work requirements. Providers will be responsible for reporting the noncompliance to the District along with available information regarding the circumstances of noncompliance, as required by federal regulations.

### **D. Coordination with Social Services Districts (Districts)**

Respondents to the RFP are required to include the LDSS Partnership Form (Attachment 2) completed by each district in which program participants that you plan to serve reside. This form acknowledges their support of your program, and serves as the basis for ongoing coordination and exchange of information. Service providers will be required to report program noncompliance that is without good cause to the district. Further, once a SNAP recipient becomes employed, awardees must submit proof of employment to the district for purposes of required SNAP budgeting and to OTDA for milestone payment purposes.

Selected contractors must have a plan in place with the district for purposes of:

- Receiving referrals of individuals appropriate for the program;
- Coordinating support services;
- Providing case management to help participants, including those who go to work, to access child care and child care subsidies;
- Reporting participant noncompliance; and,
- Providing proof of paid employment on a timely basis to the district when a participant becomes employed.

Applicant organizations should contact their District early in the planning process to learn what elements the program design must include to support participation by eligible SNAP recipients. Additionally, applicant organizations need to be aware of and comply with the district's process for obtaining their support of your proposal, including the need to allow sufficient time for you to obtain the signed Local Department of Social Services Partnership Form (Attachment 2) by the submission deadline.

For example, the NYC Human Resources Administration (HRA) requires that these requests be submitted to the Commissioner/Administrator of the Grants Officer in the Finance Office three weeks prior to the date the letter is required. At the time of the request, HRA also requires the submission of a complete or substantially complete proposal and a one-page summary of the proposal. Applicant organizations awarded a contract will be required to cooperate fully with the District for submitting attendance information within specific timeframes, and maintaining

records of excused absence, if required by the district.

## **E. Description of Services**

### **1. Program Features**

The focus of this RFP is to assist SNAP applicants and recipients acquire job-related education and skills and to become employed or to advance to better paying jobs. Applicant organizations are asked to achieve these outcomes using the following activities and services:

#### **a. Career Plan**

For each SNAP E&T Venture IV participant, providers must develop a Career Plan that identifies the employment goals and education, training and job skills needed to support these goals.

At a minimum, the Career Plan should:

- Be designed in conjunction with the assessment and employability plan developed by the participant and the district, if applicable;
- Include an assessment of individual aptitudes, interests, education, background, work history and acquired job skills;
- Address the barriers that have prevented the participant from successfully participating in employment and training activities or obtaining/retaining a job;
- Identify the individual's employment goals and how the services provided will help the individual attain those goals;
- Identify work skills and skill gaps;
- Contain measurable and verifiable long and short-term goals, such as educational gain, credential achievement, completion of job readiness program, vocational training, job placement/retention or job improvement;
- Specify a timeframe for completing program components and meeting goals;
- For those programs intending to claim for educational gains, include pre-test and post-test results with the corresponding NRS educational functioning level as an indicator of the individual's proficiency at intake and any educational gains made as the result of instruction;
- Describe an individualized and contextualized course of instruction for all pre and/or post-employment components; and,
- Include a description of type, method and location of services and instruction.

Once developed, the Career Plan should follow the individual as he or she moves through the various education, training and employment experiences and settings.

It is strongly recommended that providers offer post-employment components in addition to pre-employment components. The provider's in-depth knowledge of each client's strengths and weaknesses (acquired while providing clients with pre-employment components) may be used to develop a post-employment plan of action that will improve the opportunity for job advancement and promote job retention. Providers are also expected to work with each participant at program entry and exit to develop a resume the individual can use to support current and future job applications.

## **b. Educational Instruction Related to Employment**

Adult education instruction in combination with strong work skills improves the educational levels of participants (reading, math and English language skills) and the economic self-sufficiency of families by empowering participants to set and meet goals.

Educational instruction may include:

- Adult Basic Education (ABE);
- Adult Secondary Education (ASE);
- High School Equivalency (HSE) Diploma preparation; and
- English for Speakers of Other Languages (ESOL).

Instruction may be provided through several methods, including:

- Classroom settings;
- One-on-one tutoring: the participant meets with a literacy tutor; and
- Distance learning: the participant engages in instruction offered through television, internet, or other means from programs such as Learn to Read, Math Basics, GRASP, and Crossroads Café

*Note: One week (seven calendar days) of active enrollment in an SED-approved Distance Learning Program counts as six instructional hours. For Temporary Assistance recipients, NYS policy limits Distance Learning to 10 hours per week. Unless an exception is approved by OTDA, the Distance Learning participation must be combined with face-to-face instructional support.*

## **c. Job Skills Training/Vocational Education**

Job Skills Training includes instruction specific to a particular vocation and provides training in the various skills necessary to successfully perform the functions of the job. Job skills training resulting in a training certificate that will promote advancement in a specific job field is required.

Job skills training must include training courses that are listed on the New York State Workforce Eligible Training Provider List (ETPL). This list can be found at <https://applications.labor.ny.gov/ETPL/> under the heading Eligible Training Providers. Training providers should complete an on-line application provided at the same website to have their courses listed, if not already listed on the ETPL website.

For applicants planning to provide Job Skills Training through SNAP E&T Venture IV, a signed approval from the Local Workforce Investment Board must be submitted (Attachment13). Organizations must be able to demonstrate through consultation with their LWIB that the training being offered will provide workforce skills that are in demand within the local workforce investment area, and with proper preparation, participants will obtain and retain jobs within the local labor market.

#### **d. Employment Coaching**

For each SNAP E&T Venture IV participant who has achieved the 30-Day Job Retention milestone, providers are strongly encouraged to conduct an Employment Coaching meeting with the participant that reviews the participant's:

- Current job and job satisfaction
- Job progress including a discussion of attendance, interactions with co-workers, and ability to successfully complete job assignments
- Barriers to maintaining and advancing in employment
- Strategies and referrals for addressing barriers
- Options for future advancement/goals

The Employment Coaching meeting is designed to help increase retention prospects for this population. The meeting must be completed in conjunction with the participant and the case manager preferably face-to-face, but a phone discussion is also acceptable, and should take approximately 30 to 60 minutes. After the meeting, a signed Employment Coaching Plan providing a summary of the meeting and outcomes must be provided to OTDA. A sample Employment Coaching Plan is included as Attachment 15 of this RFP. The sample or an approved equivalent may be used for this milestone.

#### **e. Connecting Participants with Available Jobs**

Applicant organizations should develop a job placement strategy that matches the skills and abilities of participants with local labor market openings. While the goal for all SNAP E&T Venture IV participants is to find above minimum wage employment with benefits and advancement opportunities, it is understood that their move toward economic independence is a process consisting of a series of steps. Many SNAP E&T Venture IV enrollees may test at low functioning levels, and at the present time may qualify for only certain types of jobs. Applicant organizations need to understand the local labor market and be aware of employers/industries that hire individuals with limited academic or employment achievements. We encourage SNAP E&T Venture IV applicants to engage in discussions with employers who can support this initiative.

### **F. SNAP E&T Venture IV Reimbursement Structure**

The SNAP E&T Venture IV milestones have been designed to promote literacy gains, HSE attainment, and the acquisition of job skills certificates in an in-demand occupation and gainful employment for its participants with a pathway for advanced earnings.

Please note that milestones that are achieved by participants who are in receipt of both SNAP and Safety Net Assistance (SNA) will be reimbursed at a higher level than milestones that are achieved by participants who receive SNAP only. The tables on the following pages describe SNAP E&T Venture IV milestones and their reimbursement values for both categories.

**Milestone Reimbursement Structure-SNAP Applicant/Recipient Only**

Milestone	Value	50% Reimbursement	Definition	Policy
Career Plan Plus 60 Instructional Hours	\$1,000	\$500	A Career Plan includes an assessment of the participant's educational level, and participation in education related to employment ABE, ASE, ESOL, HSE preparation, Job Readiness, vocational training, or job skills training for at least 60 instructional hours.	This SNAP E& T milestone must be achieved before other SNAP E&T milestones can be claimed.
Educational Gain	\$1,000	\$500	Participant advances one ABE, ASE, or ESOL NRS education functioning level as determined by pre-and post-testing.	Up to four Educational Gain SNAP E&T milestones may be claimed per participant.
Credentialed	\$500	\$250	Level 1: Job skills training programs that require less than 60 instructional hours.	Up to two Credential milestones may be claimed for a participant. For example, two milestones may be claimed for the individual who achieves a HSE and completes a job skills course in an in-demand occupation. This milestone may also be claimed twice for an individual who completes an entry level certification and then attains a second certificate at a more advanced level, such as CNA to LPN.
	\$1,000	\$500	Level 2: Job skills training programs that require 60-120 instructional hours.	
	\$1,500	\$750	Level 3: Job skills training programs requiring over 120 instructional hours; may include high school equivalency, Associate's or Bachelor's Degree.	
30-Day Job Entry	\$1,000	\$500	Level 1: Earning between \$180 and \$270 per week.	Only one job entry may be claimed per participant. If a participant is employed at the time of enrollment only the 90-Day retention can be claimed.  If an individual is no longer participating in SNAP E&T Venture IV at the time of job entry, this milestone may only be claimed if it occurs within 90 days from the date the last milestone was achieved.
	\$1,500	\$750	Level 2: Earning between \$270 and \$405 per week.	
	\$2,000	\$1,000	Level 3: Earning about \$405 per week.	
Employment Coaching	\$250	\$125	An Employment Coaching meeting includes an assessment of the participant's current job, barriers to maintaining the job, and plans for advancement and requires a 30-60 minute, face-to-face or by phone discussion with the participant.	This milestone may be achieved 15 calendar days or anytime thereafter following achievement of the job entry milestone, but must be achieved prior to the 90-Day Job Retention milestone.
	\$1,000	\$500	Level 1: Earning between \$180 and \$270 per week.	
	\$1,500	\$750	Level 2: Earning between \$270 and \$405 per week.	
*90-Day Job Retention	\$2,000	\$1,000	Level 3: Earning about \$405 per week.	Only one job entry may be claimed per participant. If a participant is employed at the time of enrollment only the 90-Day retention can be claimed.  If an individual is no longer participating in SNAP E&T Venture IV at the time of job entry, this milestone may only be claimed if it occurs within 90 days from the date the last milestone was achieved.
	\$1,500	\$750	Level 2: Earning between \$270 and \$405 per week.	
	\$1,000	\$500	Level 1: Earning between \$180 and \$270 per week.	

Please note: The weekly earning threshold reflect the \$9.00 minimum wage. Thresholds will increase proportionately when the minimum wage is raised and any subsequent increase thereafter.

\* SNAP E&T funds **cannot** be used to provide retention services for those participants who were employed at the time of enrollment unless the participant obtains a new job and receives a wage increase of at least 20 percent as compared to the wage at enrollment. Please note: a new job may include a promotion within the same organization, but does not include a raise for the participant's current position within the same organization even if the raise is an increase of at least 20%. Examples of promotions could include a Certified Nurse's Assistant to a Licensed Practical Nurse, A Driver I to a Driver II, or a Sales Associate to an Assistant Manager. The 20% increase cannot include an increase resulting from a change to State or federal minimum wage.

**Milestone Reimbursement Structure-SNAP and SNA**

<b>Milestone</b>	<b>Value</b>	<b>50% Reimbursement</b>	<b>Definition</b>	<b>Policy</b>
Career Plan Plus 60 Instructional Hours	\$1,250	\$625	A Career Plan includes an assessment of the participant's educational level, and participation in education related to employment ABE, ASE, ESOL, HSE preparation, Job Readiness, vocational training, or job skills training for at least 60 instructional hours.	This SNAP E& T milestone must be achieved before other SNAP E&T milestones can be claimed.
Educational Gain	\$1,250	\$625	Participant advances one ABE, ASE, or ESOL NRS education functioning level as determined by pre-and post-testing.	Up to four Educational Gain SNAP E&T milestones may be claimed per participant.
Credentialed	\$750	\$375	Level 1: Job skills training programs that require less than 60 instructional hours.	Up to two Credential milestones may be claimed for a participant. For example, two milestones may be claimed for the individual who achieves a HSE and completes a job skills course in an in-demand occupation. This milestone may also be claimed twice for an individual who completes an entry level certification and then attains a second certificate at a more advanced level, such as CNA to LPN.
	\$1,250	\$625	Level 2: Job skills training programs that require 60-120 instructional hours.	
	\$1,750	\$875	Level 3: Job skills training programs requiring over 120 instructional hours; may include high school equivalency, Associate's or Bachelor's Degree.	
30-Day Job Entry	\$1,250	\$625	Level 1: Earning between \$180 and \$270 per week.	Only one job entry may be claimed per participant. If a participant is employed at the time of enrollment only the 90-Day retention can be claimed.
	\$1,750	\$875	Level 2: Earning between \$270 and \$405 per week.	
	\$2,250	\$1,125	Level 3: Earning about \$405 per week.	
Employment Coaching	\$500	\$250	An Employment Coaching meeting includes an assessment of the participant's current job, barriers to maintaining the job, and plans for advancement and requires a 30-60 minute, face-to-face or by phone discussion with the participant.	If an individual is no longer participating in SNAP E&T Venture IV at the time of job entry, this milestone may only be claimed if it occurs within 90 days from the date the last milestone was achieved. This milestone may be achieved 15 calendar days or anytime thereafter following achievement of the job entry milestone, but must be achieved prior to the 90-Day Job Retention milestone.
*90-Day Job Retention	\$1,250	\$625	Level 1: Earning between \$180 and \$270 per week.	Only one job entry may be claimed per participant. If a participant is employed at the time of enrollment only the 90-Day retention can be claimed.
	\$1,750	\$875	Level 2: Earning between \$270 and \$405 per week.	
	\$2,250	\$1,125	Level 3: Earning about \$405 per week.	

Please note: The weekly earning threshold reflect the \$9.00 minimum wage. Thresholds will increase proportionately when the minimum wage is raised and any subsequent increase thereafter.

\* SNAP E&T funds **cannot** be used to provide retention services for those participants who were employed at the time of enrollment unless the participant obtains a new job and receives a wage increase of at least 20% as compared to the wage at enrollment. Please note: a new job may include a promotion within the same organization, but does not include a raise for the participant's current position within the same organization even if the raise is an increase of at least 20%. Examples of promotions could include a Certified Nurse's Assistant to a Licensed Practical Nurse, A Driver I to a Driver II, or a Sales Associate to an Assistant Manager. The 20% increase cannot include an increase resulting from a change to State or federal minimum wage.

### **a. Career Plan Plus 60 Instructional Hours Milestone**

The Career Plan plus 60 instructional hours milestone must be claimed before any other milestones may be claimed. Other milestones may be achieved before the 60 hours of instruction is completed, but these milestones may not be claimed until the Career Plan plus 60 instructional hours milestone is claimed.

The Career Plan plus 60 Instructional Hours milestone will be paid when:

- An initial Career Plan has been completed, and
- The individual participates in an education program related to employment, High School Equivalency Diploma Preparation, Job Readiness Training, or Job Skills Training/Vocational Education program for at least 60 hours. Work Experience (WEP) and employment are also countable activities for up to 30 hours when combined with education, job skills and/or job readiness services.

For Venture IV providers the 60-hour count must start October 1, 2016 or later, even if participants have been enrolled prior to that date.

Reminder: One week (seven calendar days) of active enrollment in an SED-approved Distance Learning Program counts as six instructional hours.

The Career Plan plus 60 Instructional Hours milestone reimbursement value is \$1,000 for SNAP only or \$1,250 for SNAP/SNA recipient.

### **b. Educational Gain**

An Educational Gain is achieved when an individual advances one English for Speakers of Other Languages (ESOL), Adult Basic Education (ABE) or Adult Secondary Education (ASE) National Reporting System (NRS) educational functioning level from the NRS level determined at the start of the program, as evidenced by pre- and post-testing.

Test results obtained prior to October 1, 2016 may be used as the pre-test score if the scores are no more than three months old.

If the results of pre- and post-testing indicate an individual has achieved more than one NRS educational functioning level, the organization may claim reimbursement for each NRS level gained, up to a maximum of four levels. All four educational gains may be claimed at one time if appropriate documentation is submitted and test levels demonstrate that the participant has increased four functioning levels. Separate gains may be claimed for reading and math, up to a total of four gains for one individual.

Educational gains are valued at \$1,000 for SNAP only or \$1,250 for SNAP/SNA recipient.

The following tests may be used to determine educational gain:

- BEST Plus
- Test of Adult Basic Education (TABE) Battery, Form 9/10
- Best Literacy

- Any other test approved by the New York State Education Department

Providers should refer to the New York State Education Department for additional Information regarding NRS guidelines and procedures for administering the TABE and Best Plus/Best Literacy testing instruments. Information on assessments in adult education can be found on their website at <http://www.acces.nysed.gov/aepp/mandated-tests>

### **c. Credentials**

Credentials serve as the formal recognition that an individual has demonstrated a specific set of skills and competencies to be successful in a particular industry or occupation, and can show the individual's readiness for advanced training in that field. The Credential milestone is achieved when the participant obtains a High School Equivalency Diploma or Test Assessing Secondary Completion (TASC), a Secondary School Diploma through an External Diploma Program, an Associate or Baccalaureate Degree, or an approved job skills certificate.

A Credential milestone may be claimed when the participant has completed a Career Plan, at least 60 instructional hours, and has achieved a credential.

Credentials will be reimbursed using the following ranges:

- Level 1: Job skills training programs that require less than 60 instructional hours has a reimbursement value of \$500 for SNAP only or \$750 for SNAP/SNA recipient;
- Level 2: Job skills training programs that require 60-120 instructional hours has a reimbursement value of \$1,000 for SNAP only or \$1,250 for SNAP/SNA recipient;
- Level 3: Job skills training programs requiring over 120 instructional hours; may include high school equivalency, Associate's or Baccalaureate Degree has a reimbursement value of \$1,500 for SNAP only or \$1,750 for SNAP/SNA recipient.

Job skills training must include instruction specific to the particular vocation or field, and provide training in the various skills necessary to successfully perform the functions of the job. The job skills/occupational training certificate must be awarded by the appropriate training entity for that discipline or field.

The date the milestone is achieved is the date the high school equivalency diploma or other credentialing program was taken and passed, the date the diploma was awarded for the Associate or Baccalaureate Degree, or the date the job skills certificate was issued.

Up to two Credential milestones may be claimed, in any combination. For example, an individual may achieve multiple job skills training certificates in the same occupational field or with the subsequent Credential milestone(s) being for higher level certifications, such as Certified Nurse's Assistant and Licensed Practical Nurse.

### **d. 30-Day Job Entry Milestone**

The 30-Day Job Entry milestone may be claimed when the participant has obtained unsubsidized employment earning at least \$180 per week (average) and has retained the job for at least 30 calendar days.

30-Day Job Entry will be reimbursed using the following ranges:

- Level 1: jobs with gross average weekly earnings between \$180 and \$270 per week have a reimbursement value of \$1,000 for SNAP only or \$1,250 for SNAP/SNA recipient;
- Level 2: jobs with gross average weekly earnings between \$270 and \$405 per week have a reimbursement value of \$1,500 for SNAP only or \$1,750 for SNAP/SNA recipient;
- Level 3: jobs with gross average weekly earnings over \$405 per week have a reimbursement value of \$2,000 for SNAP only or \$2,250 for SNAP/SNA recipient.

The 30-day job Entry milestone may only be claimed under the following circumstances:

- At least 60 instructional hours have been completed and
- A Career Plan has been developed

If a gap in employment occurs that is less than 45 days, the 30-day count includes all the days worked minus the gap period. If the gap in employment is longer than 45 days, the 30-day count must start over again when employment resumes.

If an individual is no longer participating in SNAP E&T Venture IV activities, this milestone may only be claimed within 90 days from the date the last milestone was achieved.

#### **e. Employment Coaching Milestone**

In an effort to maintain contact with the participants and assist them in maintaining employment, an Employment Coaching milestone is available and is reimbursable at a value of \$250 for SNAP only or \$500 for SNAP/SNA recipient. Selected providers are strongly encouraged to take advantage of this milestone.

To claim this milestone the following conditions must be met:

- 30-Day Job Entry milestone achievement
- At least 30 minute Employment Coaching meeting with participant to discuss the following:
  - Current job and job satisfaction
  - Job progress including a discussion of attendance, interactions with co-workers, and ability to successfully complete job assignments
  - Barriers to maintaining and advancing in employment
  - Strategies and referrals for addressing barriers
  - Options for future advancement/goals
- A completed Employment Coaching plan documenting outcomes of the meeting. A sample Employment Coaching Plan (Attachment 15) can be found in the Attachments section of this RFP. The sample or an approved equivalent may be used for this milestone.

This milestone can be achieved 15 calendar days or anytime thereafter following achievement of the 30-Day job Entry milestone, but must be achieved prior to the 90-Day Job Retention milestone.

**f. 90-Day Job Retention Milestone**

The 90-Day Job Retention milestone may be claimed when the participant has maintained unsubsidized employment earning at least \$180 per week (average) and has retained the job for at least 90 calendar days.

90-Day Job Retentions will be reimbursed using the following ranges:

- Level 1: jobs with gross average weekly earnings between \$180 and \$270 per week have a reimbursement value of \$1,000 for SNAP only or \$1,250 for SNAP/SNA recipient;
- Level 2: jobs with gross average weekly earnings between \$270 and \$405 per week have a reimbursement value of \$1,500 for SNAP only or \$1,750 for SNAP/SNA recipient
- Level 3: jobs with gross average weekly earnings over \$405 per week have a reimbursement value of \$2,000 for SNAP only or \$2,250 for SNAP/SNA recipient

If a participant is employed upon enrollment, the 90-day job retention milestone may only be claimed under the following circumstances:

- At least 60 instructional hours have been completed,
- A Career Plan has been developed, and
- The participant obtains a **new** job and receives a wage increase of at least 20% as compared to the wage at enrollment.

Please note: a new job may include a promotion within the same organization, but does not include a raise for the participant's current position within the same organization even if the raise is an increase of at least 20%. Examples of promotions could include a Certified Nurse's Assistant to a Licensed Practical Nurse, A Driver I to a Driver II, or a Sales Associate to an Assistant Manager.

If a gap in employment occurs that is less than 45 days, the 90-day count includes all the days worked minus the gap period. If the gap in employment is longer than 45 days, the 90-day count must start over again when employment resumes.

**G. Documentation Requirements**

The following table provides the documentation requirements for each SNAP E&T Venture IV Program milestone.

## Documentation Requirements

<b>Milestone</b>	<b>Documentation</b>
Career Plan Plus 60 Instructional Hours	The Career Plan must be completed and maintained in the participant's file. Attendance records (class sign-in sheets, instructor rosters, or computer-generated records) must be maintained in order to document 60 hours of participation.
Educational Gain	For ESL, the test answer sheets indicating the number correct on the pre-test and post-test and the corresponding NRS levels must be documented in the participant's case record. For ABE and ASE, the test answer sheets indicating the number of correct responses, scale score or grade equivalent, and corresponding NRS level must be documented in the file.
Credential	<p>Maintain in the participant's file:</p> <ul style="list-style-type: none"> <li>▪ A copy of the High School Equivalency Diploma (HSE), Secondary School Diploma; or</li> <li>▪ A copy of the HSE quarterly report; or</li> <li>▪ A copy of a HSE pass/fail report provided by SED upon request at 518-485-2182 for the purposes of a case audit.</li> <li>▪ A copy of the certificate of completion of a vocational or job skills training program awarded by the governing agency. Note: For trainings that also require licensure, if a certificate of completion has been claimed as a credential milestone, the attainment of the license does not constitute a second credential.</li> </ul>
30-Day Job Entry	Wage stubs verifying 30 days of employment, an Employment Verification Form, or an equivalent employer statement must be completed and maintained in the participant case file.
Employment Coaching	Signed Employment Coaching plan documenting outcomes of the 30-60 minute coaching meeting (Attachment 15 or approved equivalent).
90-Day Job Retention	Wage stubs verifying 90 days of employment, an Employment Verification Form, or an equivalent employer statement must be completed and maintained in the participant case file.

## **H. Participant Reporting Requirements**

Selected organizations will be required to comply with participant reporting requirements outlined by OTDA and the District. Information may include, but is not limited to, client demographics, attendance records, employment and wage verification.

## **I. Milestone Reimbursement for Previously Served Participants**

SNAP E&T Venture IV participants may have been served previously through another program with the same or similar milestones. If a provider has a participant that was previously served under Venture II or III, the following conditions must be in place in order to serve the participant again and receive reimbursement for milestones achieved:

- The participant enrolls in your program a year or more after they last achieved a milestone;
- The participant meets all other eligibility requirements; and,
- The participant is not currently being served by another program with similar milestones.

## **J. Voucher Submittal and Record Keeping**

Vouchers for claims for the SNAP E&T Venture IV program will be required to be submitted on at least a quarterly basis. Contractors must ensure that books, records, documents, and other evidence pertaining to milestones achieved 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 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 historic value, they must be transferred to OTDA.

Projects 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

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 sections must be included. Proposals must also be organized in the sequence described below. OTDA’s Center for Employment and Economic Supports will establish Review Committees to evaluate the proposals.

### A. 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 3 and 4 of this RFP.

### B. Evaluation Criteria

#### Narrative Section

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.

- **Priority Feature** (5 points) –The description of the population served should include a percentage of participants anticipated to be served through the SNAP E&T Venture IV program who meet the priority feature criteria which includes participants who:
  - Have a history of substance abuse
  - Have a criminal history
  - Have limited English proficiency
  - Are unemployed or underemployed parents
  - Are in receipt of Safety Net Assistance

In order to be awarded all 5 points, the total percentage of hard-to-serve participants must equal 80% or more. Partial points will be awarded on the following basis:

- 65%-79%: 4 points
  - 50%-64%: 2 points
  - Under 50%: 0 points
- **Recruitment and Marketing Strategies** (10 points) – Describe how your SNAP E&T Venture IV program will be marketed and how potential participants will be recruited. Programs serving individuals with barriers to employment are preferred, including, but not limited to those providing services to SNAP recipients who are also public assistance (Safety Net) recipients, ex-offenders, individuals with limited English proficiency, individuals without a high school diploma, non-custodial parents, and eligible youth. Preference will also be provided to programs that provide training to support wage

advancement by employed SNAP recipients who volunteer to participate in training and education services to support wage advancement. Provide an outline of the process that has been developed with the area district for the identification and referral of SNAP work registrants who would benefit from the program services and the coordination of reporting hours of engagement when needed.

- **Case Management** (15 points) – Provide a detailed synopsis of the case management approach to service delivery that strives to ensure that participants with complex needs receive timely and coordinated services to support program completion, educational advancement and job placement and retention. Include a detailed description of the case management portion of the program that includes the intake and assessment process, service plan development, and on-going monitoring of the participants' progress and needs and strategies for addressing those needs. Define the key functions of the case manager and include coordinating necessary services as defined by both the program participant and the case manager.
- **Project Strategy, Design and Instructional Methodology** (35 points) –

The project strategy, design and instructional methodology sections of your SNAP E&T Venture IV proposal should include the following:

- A description of the roles and responsibilities of partner agencies;
  - An LDSS Partnership Form from each district in which program participants you plan to serve reside and acknowledgement of the districts' commitment to supporting the program;
  - A description of how the Career Plan will be developed and used including how services will support employment goals;
  - A list of the specific instructional programs or job skills training that will be provided to help participants make educational advances and obtain job related skills;
  - An outline of the related work activities that will be used in conjunction with educational activities; the job placement, retention and improvement strategies that will be used to help participants enter and retain employment, receive raises and advance on the job;
  - A description of strategies and best practices for completing the Employment Coaching meeting and Plan;
  - An explanation of how each participant will be connected with the support services needed to participate;
  - A description of job placement services to enable each program participant enter employment; and,
  - A description of job retention services.
- **Organizational Experience and Past Accomplishments** (15 points) – Provides evidence to demonstrate your organization's capability and relevant experience in developing and operating employment and training programs and providing job placement/retention services for low-income individuals.
  - **Budget** (20 points) – Proposals will be rated based on the proposed number of participants per Attachment 14 who will reach the following milestones divided by the total funds requested.
    - Educational Gain and/or Credential (EG+C) = 10 points (Low EG+C Bid ÷ EG+C Bid Being Evaluated) x 10 points = Points Earned

- Job Entry (JE) +Retention (JR) = 10 points (Low JE+JR Bid ÷ JE+JR Bid Being Evaluated) x 10 points = Points Earned

To illustrate how budget points would be earned, the following example is provided.

Proposal # 1 requests \$100,000 and expects that 100 individuals will meet the EG+C milestone (average cost = \$1,000). Proposal # 2 asks for \$150,000 and expects that 75 individuals will meet this milestone (average cost = \$2,000). Proposal # 3 asks for \$125,000 and expects that 50 individuals will meet the milestone (average cost = \$2,500).

The scores assigned to the Ed Gain & Credential budget sections would be determined as follows:

<b>Ed Gain &amp; Credential Sample Calculations</b>			
<b>Proposal</b>	<b>Average Cost Per Educational Gain+ Credential</b>	<b>Formula</b>	<b>Score out of 10 Points</b>
#1	\$1,000	$\$1,000/\$1,000 \times 10$	10
#2	\$2,000	$\$1,000/\$2,000 \times 10$	5
#3	\$2,500	$\$1,000/\$2,500 \times 10$	4

The remaining points are earned based on the average cost per JE+JR. Proposal # 1 requests \$100,000 and expects that a total of 50 individuals will meet the Job Entry/Job Retention goal (average cost = \$2,000). Proposal # 2 requests \$150,000 and expects that a total of 75 individuals will meet the Job Entry/Job Retention goal (average cost = \$2,000) and Proposal # 3 requests \$125,000 and expects that 40 individuals will meet the Job Entry/Job Retention goal (average cost = \$3,125).

JE+JR points would be earned as follows:

<b>Job Entry &amp; Retention Sample Calculations</b>			
<b>Proposal</b>	<b>Average Cost Per JE+JR</b>	<b>Formula</b>	<b>Score out of 10 Points</b>
#1	\$2,000	$\$2,000/\$2,000 \times 10$	10
#2	\$2,000	$\$2,000/\$2,000 \times 10$	10
#3	\$3,125	$\$2,000/\$3,125 \times 10$	6.4

The EG+C and JE+JR points would then be added to arrive at a total cost score, with proposal #1 receiving the highest score.

Total Cost Score		
Proposal	Scores	Total Score
#1	10 + 10	20
#2	5 + 10	15
#3	4 + 6.4	10.4

These scores and examples are used for illustrative purposes only. The actual scores will be derived from the submitted proposal budgets and scored, relative to one another, per the formulas provided.

### C. Reimbursement Schedule

The contractor will earn payment for program costs as participants achieve milestones. Attachment 14 provides a payment schedule for applicants to complete to calculate the number of milestones they expect SNAP E&T Venture IV participants to reach during the program period and the maximum number of payments that will be earned as a result.

When processing milestone levels, it is understood that every participant who achieves the Career Plan Plus 60 Instructional Hours SNAP E&T milestone may not achieve all of the other milestones.

### D. Required Documents

- **LDSS Partnership Form (Attachment 2):** This form must be completed and signed by each district you intend to partner with.
- **Contractor Information Form (Attachment 3)**
- **Contractor/Subcontractor Background Questionnaire (Attachment 4):** This form must be completed by the Bidder, 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. This form is **not** required if the Bidder has an up-to-date questionnaire on the VendRep System. **The online version is preferred and is available through the Office of the State Comptroller’s Vend Rep System at: [http://www.osc.state.ny.us/vendorrep/vendor\\_index.htm](http://www.osc.state.ny.us/vendorrep/vendor_index.htm).**
- **Equal Employment Opportunity (EEO) Staffing Plan (Attachment 5):** 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.
- **M/WBE-EEO Policy Statements (Attachment 10):** This is an acknowledgement that New York State is an Equal Employment Opportunity employer, and by extension it expects all vendors, contractors, and subcontractors that hold contracts with New York State 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.

- **Subcontractor and Supplier Identification Form (Attachment 11):** This new form for OTDA For Profit and Nonprofit 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 Subcontractors 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 subcontractors 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.

New York State 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 New York State, Offerors for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State 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 New York State 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 New York State 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 New York State business partners. New York State 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 New York State Businesses, Offerors are required to submit the Subcontractor and Supplier Identification form located in Attachment 11 of this RFP and submit it with their Proposal.

- **SNAP E&T Local Funding Requirement (Attachment 12):** This form identifies the type and amount of non-federal funds that the applicant organization will contribute to meet the 50% non-federal local funding requirement.
- **Local Workforce Investment Board (LWIB) Approval (Attachment 13):** For applicants planning to provide Job Skills Training through SNAP E&T Venture IV, this form signifies the Local Workforce Investment Board assurance that the training being offered is related to employment in demand within the local workforce

investment area.

- **SNAP E&T Multi-Year Reimbursement Schedule (Attachment 14):** Providers indicate the program costs, number of individuals they anticipate serving by milestone and the total funds requested.

OTDA reserves the right to:

- Seek clarifications and revisions of applications and
- Award grants based on geographic or regional considerations to serve the best interests of the State, including awarding contracts to bidders that score fewer points than others in order to ensure all geographical areas of the State are covered.

#### **E. Method of Selection**

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

#### **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 Office of Temporary and Disability Assistance 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 Office of Temporary and Disability Assistance (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 New York State. All materials produced, either in whole or in part, through funding provided by New York State 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 New York State 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 New York State Comptroller.

#### **9. 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 New York State 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.

## **10. Freedom of Information Law and Bidder's Proposals**

The purpose of New York State'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.

## **11. 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 New York State 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 New York State 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.

## **12. Responsibility Determination**

Article 11 of the New York State Finance Law requires that competitive bids be awarded to responsive and responsible bidders. In order to fulfill this requirement, you must complete the "Contractor/Subcontractor Background Questionnaire" (Attachment 4). By signing the bid proposal, you hereby authorize 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.

### **13. Contract Modification**

The contract budget can be modified, upon mutual agreement of the parties, during any term by written amendment.

### **14. 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.

### **15. 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 New York State 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.

### **16. 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, New York State 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.

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

### **CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES AND EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND WOMEN**

#### **NEW YORK STATE LAW**

Pursuant to New York State 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 New York State Executive Law Article 15-A, which requires, among other things, that OTDA establishes goals for maximum feasible participation of New York State Certified minority and women owned business enterprises (“MWBE”) and the employment of minority groups members and women in the performance of New York State contracts.

#### Business Participation Opportunities for MWBEs

For purposes of this solicitation, OTDA hereby establishes an overall goal of 0% for MWBE participation, 0% for New York State certified minority-owned business enterprises (“MBE”) participation and 0% for New York State 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 New York State 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 New York State 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 New York State.

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 New York State 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.

#### **18. Service-Disabled Veteran-Owned Business Enterprises (SDVOBs) Utilization**

1. Contractor agrees, to the maximum extent practical and consistent with legal requirements of the State Finance Law, the Executive Law and any implementing regulations, to use NYS certified Service-Disabled Veteran-Owned Business Enterprises (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. Contractor acknowledges being subject to the provisions of Executive Law Article 17-B and the applicable regulations (9 NYCRR Part 252), and that the directory of NYS certified SDVOBs is located at: [http://ogs.ny.gov/Core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf). Contractor acknowledges that the SDVOB utilization goal for this Agreement is 6%. Contractor further acknowledges that this requirement is separate and distinct from the similar requirement elsewhere in this Agreement to utilize small, and minority and women-owned businesses (M/WBEs), consistent with current State law (Executive Law, Article 15-A).

2. Contractor agrees to 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.

3. Contractor agrees that, following contract execution, if the OTDA determines that the contractor may not have acted in good faith, has failed, is failing, or is refusing to comply with the participation or utilization contractual goals for SDVOB participation, the OTDA may after giving the contractor an opportunity to be heard, make a determination that Contractor has failed to meet the contract goals and may be in breach of contract.

4. Upon determination that the Contractor is in breach of contract, as set forth in this Article, the OTDA may require the submission of a corrective action plan for meeting the contractual goals, and may also assess actual damages as authorized by regulation [9NYCRR Section 252.2 (s)] based on the actual cost incurred by the State agency,

related to the State agency's expenses for personnel, supplies and overhead related to establishing, monitoring, and reviewing certified service-disabled veteran-owned business enterprise programmatic goals.

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

## PART B

### Instructions for Completing the Application:

The SNAP E&T Venture IV Application must be submitted in Grants Gateway. Eligible entities are not-for-profit community-based 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 may not be accepted outside of the Grants Gateway system.

1. Find . Enter your search criteria then click .
2. Click the link for your opportunity.
3. From the  [Forms Menu](#) complete the following Forms/Screens listed below. Sections from the  [Forms Menu](#) do not have to be completed in any particular 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 , 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. Note that most narrative answer spaces allow unlimited text; however, OTDA expects answers to be concise. Upload forms when required. Click .

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

Work plan Overview Screen: This section will be used to create the Work Plan portion of the contract. Some of the information requested will be duplicative of information provided earlier in the application. You may copy/paste previous responses where appropriate when developing your Project Summary and/or Organizational Capacity narratives. **Please ensure your responses to questions number 1 through 9 are copied and pasted into the Project Summary section.** This section should be completed from an annual perspective. Therefore, the first annual Work Plan should be October 1, 2016 – September 30, 2017.

In the Project Summary section, include a high level overview of the project as instructed. The narrative should also identify:

- Service area
- Target population and annual number of individuals to be served
- Client eligibility guidelines
- Services offered
- How the program operates and a description of what funds will pay for
- Number of vehicles to be provided

- How the success of the program is determined/evaluated

In the Organizational Capacity section, include the information requested and a brief description of any other services/programs offered by the organization.

Objectives and Tasks: Complete Performance Measures for each of the tasks listed. For Participants Served, click . Type the objective name again and in the narrative section, enter the estimated enrollment goal. Click . For each task listed, repeat the process of clicking on the task name, then . Type the objective name and enter the goal for that task. Remember to click  after each task.

Pre-Submission Uploads Screen: Download all forms by following the links available on the Upload Screen, or print the forms from 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: Attachments

### Forms to Upload

All forms that are in bold are required and must be uploaded in the New York State Grants Gateway. Forms that are not in bold are either applicable in specific circumstances, optional, or for your reference.

#### SNAP E&T Venture IV Proposal Forms

Attachment 1: Notice of Intent to Bid

**Attachment 2: Local Department of Social Services Partnership Form**

**Attachment 3: Contractor Information**

**Attachment 4: Contractor/Subcontractor Questionnaire**

**Attachment 5: EEO Staffing Plan**

Attachment 6: MWBE Utilization Plan

Attachment 7: MWBE Quarterly Compliance Report

Attachment 8: Workforce Utilization Report

Attachment 9: Use of Service – SDVOB

**Attachment 10: MWBE Equal Employment Opportunity Policy Statement**

Attachment 11: Subcontractor and Supplier Identification Form

**Attachment 12: Local Funding Agreement**

**Attachment 13: Local WIB Approval**

**Attachment 14: SNAP E&T Multi-Year Reimbursement Schedule**

Attachment 15: Employment Coaching Plan

## NOTICE OF INTENT TO BID

This form confirms our intent to respond to the Supplemental Nutrition Assistance Program Employment and Training Venture IV Request for Proposals issued by the New York State Office of Temporary and Disability Assistance, Center for Employment and Economic Supports.

Signed: \_\_\_\_\_  
(Name/Title/Organization/Bidder Name)

\_\_\_\_\_  
(Mailing Address)

\_\_\_\_\_  
(Phone # and E-Mail Address)

Please respond by June 3, 2016 by faxing, e-mailing or mailing this form to:

New York State Office of Temporary and Disability Assistance  
Center for Employment and Economic Supports  
Attn: Elida Tomasulo  
40 North Pearl Street, 11<sup>th</sup> Floor  
Albany, New York 12243

Fax: (518) 486-7650  
E-mail: [Elida.Tomasulo@otda.ny.gov](mailto:Elida.Tomasulo@otda.ny.gov)

## Local Department of Social Services Partnership Form

Agency: \_\_\_\_\_

The \_\_\_\_\_ County Department of Social Services (district) has reviewed the proposal developed by the above referenced agency and has no outstanding concerns regarding the provision of services in this county. The district may identify and refer appropriate Supplemental Nutrition Assistance Program applicants and recipients during the program period. The district has also identified a district contact(s) to permit the program provider to report program noncompliance and/or program participation information as determined necessary by the district.

Comments:

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### Local Social Services Department Representative

Name: (print) \_\_\_\_\_

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Phone: \_\_\_\_\_

Date: \_\_\_\_\_

## APPENDIX D CONTRACTOR INFORMATION

### Contractor Information

<p>1. Incorporated Agency Name: _____</p>
<p>2. Street Address: _____ City, State, Zip Code: _____ County(ies) Served: _____</p>
<p>3. Agency Contact: _____ Title: _____ Phone #: _____ FAX #: _____ Email Address: _____ Mailing Address: _____</p> <p>Program Contact: _____ Title: _____ Phone #: _____ FAX #: _____ Email Address: _____ Mailing Address: _____</p>
<p>4. Federal Employer Identification #: _____ State Registered Charitable Organization #: _____ Municipality #: _____ Community District(s): _____ Federal Congressional District(s): _____ State Senate District(s): _____ State Assembly District(s): _____</p>

5. Award Amount: \_\_\_\_\_

Catalog of Federal Domestic Assistance (CFDA) title and number for FSP: 10.561, Supplemental Nutrition Assistance Program (SNAP)

Award Name: Supplemental Nutrition Assistance Program Employment and Training Venture IV

Awarding Agency: United States Department of Agriculture

6. Organization Information

For statistical purposes, check yes or no for *each* of the following items as it relates to your organization. See the instructions for definitions. LEAVE NO BLANKS.

Non-Profit Organization      Yes  No       Women-Owned Business      Yes  No

Minority Business      Yes  No       Municipality      Yes  No

Small Business      Yes  No

7. Non-Discrimination/Sectarian Organization Compliance Justification

	Yes	No
a. According to your Certificate of Incorporation, are your organization's purposes sectarian? (For example, are you a corporation organized under the religious corporation law or a corporation that has a corporate purpose to serve a particular religious group or promoting the doctrine of a particular religion in general?)		
b. Are any of the proposed services in your project sectarian in nature?		
c. Does your organization have as its goal the furthering of any sectarian purpose?		
d. Are the services to be provided by sectarian staff?		
e. Are services being delivered in a building owned by a sectarian organization?		
If no, proceed to letter (f.). If yes, are services educational in nature?		
f. Will the proposed services be provided on the basis of race, religion, color or national origin?		
g. If the contract is with a sectarian organization, is the amount and comprehensiveness of the surveillance necessary to insure the contract does not foster or inhibit religion greater than the contract necessary to administer a similar contract with a non-sectarian agency?		

**If any of the above answers are Yes, please justify the recommendation for funding below:**

8. LIST OF AUTHORIZED SIGNATORIES

List all individuals who are authorized by the Board of Directors to sign this contract and related documents on behalf of the organization. *Should any individual be added to or removed from the list, inform the Bureau in writing immediately.*

Name _____ (Printed) _____ Title _____ <b>Signature</b> _____ Restrictions _____
Name _____ (Printed) _____ Title _____ <b>Signature</b> _____ Restrictions _____
Name _____ (Printed) _____ Title _____ <b>Signature</b> _____ Restrictions _____

The individuals listed above are authorized to sign on behalf of the Contractor in all matters regarding the Agreement with the NYS Office of Temporary and Disability Assistance except where restrictions are shown. The recipient certifies that to the best of his/her knowledge and belief the information in the contract is true and correct. The recipient certifies that he/she has reviewed the contract, understands the terms, and agrees to be bound by the same.

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(Signature of Official Authorized to Sign for Applicant)      (Printed Name)      (Date)

**NEW YORK STATE  
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**

**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.**

1a. If you, the bidder, are a natural person, are you a New York State resident?  1b. If you are a corporation, are you a New York State corporation?  1c. Are you registered with the New York State Department of State (DOS) to do business in New York State?  If no, you will be required to comply with the New York State Department of State guidelines for doing business in New York State before you will be eligible for a Contract award. Do you agree to these conditions?	_____ NO    _____ YES  _____ NO    _____ YES  _____ 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)?  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 women.)	_____ NO    _____ YES  _____ NO    _____ YES
4. How many people are employed by the bidder?	_____ Employees
5. Total number of people employed by the bidder: * Within New York State? * Outside of New York State? * 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 New York State, 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 New York State 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:** \_\_\_\_\_

**STAFFING PLAN**

Submit with Bid or Proposal – Instructions on page 2

**Solicitation No.:** [Redacted] **Reporting Entity:** [Redacted] **Report includes Contractor's/Subcontractor's:**  
 Workforce to be utilized on this contract

**Offeror's Name:** [Redacted]  Offeror  
 Subcontractor

**Offeror's Address:** [Redacted] **Subcontractor's name:** [Redacted]

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

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

**PREPARED BY (Signature):** [Redacted] **TELEPHONE NO.:** [Redacted] **DATE:** [Redacted]  
**EMAIL ADDRESS:** [Redacted]

**NAME AND TITLE OF PREPARER (Print or Type):** [Redacted] **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 (MWBE 101) 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 and/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 and/or subcontractor's total work force, the Offeror shall complete this form for the contractor's and/or subcontractor's total work force.

**Instructions for completing:**

1. Enter the Solicitation number that this report applies to along with the name and address of the Offeror.
2. Check the box acknowledging work force to be utilized on the contract.
3. Check off the appropriate box to indicate if the Offeror completing the report is the contractor or a subcontractor.
4. Enter the total work force by EEO job category.
5. Break down the anticipated total work force by gender and enter under the heading 'Work force by Gender'.
6. Break down the anticipated total work force by race/ethnic identification and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the OMWBE Permissible contact(s) for the solicitation if you have any questions.
7. Enter information on disabled or veterans included in the anticipated 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 form, 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.:  
 MWBE 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):  
 DATE:

TELEPHONE NO.:

EMAIL ADDRESS:

FOR M/WBE USE ONLY

REVIEWED BY:

DATE:

NAME AND TITLE OF PREPARER (Print or Type):

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: \_\_\_\_\_

OTDA - 4968 (Rev. 1/2016)

Office of Temporary and Disability Assistance  
 40 North Pearl Street, Albany, NY 12243  
[www.otda.ny.gov](http://www.otda.ny.gov)

Failure to submit this form will result in non-compliance

**M/WBE Quarterly Compliance Report**

NYS OTDA Contract No. \_\_\_\_\_

Is this a final report? Check One  
 Yes  No

The following information indicates the payment amounts made by the grantee/contractor to the NYS Certified M/WBE subcontractor on this project. The payments as shown made are in compliance with contract documents for the above referenced project.

Contractors Name and Address	Federal ID#	Goals/\$ Amt.		Contract Type _____ Paid to Contractor This Quarter _____ Total Paid to Contractor To Date _____		
		MBE _____ % = _____	WBE _____ % = _____			
Expenditure Code	Project Completion Date	Work Location		REPORTING PERIOD (BEGINNING 10 DAYS FOLLOWING THE END OF THE FIRST CALENDAR QUARTER): <input checked="" type="radio"/> 1 <sup>st</sup> Quarter (4/1-6/30) <input type="radio"/> 3 <sup>rd</sup> Quarter (10/1-12/31) <input type="radio"/> 2 <sup>nd</sup> Quarter (7/1-9/30) <input type="radio"/> 4 <sup>th</sup> Quarter (1/1-3/31)		
		MBE	WBE			
M/WBE Subcontractor/Vendor	Product Code*	Work Status This Report	Total Subcontractor Contract Amount	Payments this Quarter	Previous Payments	Total Payment Made to Date
			MBE	WBE	MBE	WBE
Name: _____		<input type="checkbox"/> Active <input type="checkbox"/> Inactive <input type="checkbox"/> Complete				
FED ID# _____						
Name: _____		<input type="checkbox"/> Active <input type="checkbox"/> Inactive <input type="checkbox"/> Complete				
FED ID# _____						
Name: _____		<input type="checkbox"/> Active <input type="checkbox"/> Inactive <input type="checkbox"/> Complete				
FED ID# _____						
<b>Totals</b>						

QUARTERLY REPORTS MUST BE SUBMITTED TO OTDA's PROGRAM/CONTRACT MANAGER

Date \_\_\_\_\_ Name \_\_\_\_\_ Title \_\_\_\_\_ Signature \_\_\_\_\_

Office of Temporary and Disability Assistance  
40 North Pearl Street, Albany, NY 12243  
[www.otda.ny.gov](http://www.otda.ny.gov)

### MWBE EEO WORKFORCE EMPLOYMENT UTILIZATION REPORT

<b>Contract No.:</b>	<b>Reporting Entity:</b> <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor	<b>Reporting Period:</b> <input type="checkbox"/> January 1, 20__ <input type="checkbox"/> April 1, 20__ <input type="checkbox"/> July 1, 20__ <input type="checkbox"/> October 1, 20__ <input type="checkbox"/> March 31, 20__ <input type="checkbox"/> June 30, 20__ <input type="checkbox"/> September 30, 20__ <input type="checkbox"/> December 31, 20__
<b>Contractor's Name:</b>		
<b>Contractor's Address:</b>		
<b>Report includes:</b> <input type="checkbox"/> Workforce to be utilized on this contract <input type="checkbox"/> Contractor/Subcontractor's total workforce		

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

EEO-Job Category	Workforce by Gender		Workforce by Race/Ethnic Identification						Workforce by Disability		Workforce by Veteran Status								
	Total Work force	Male (M)	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)	Veteran (M)	Veteran (F)		
Officials/Administrators																			
Professionals																			
Technicians																			
Sales Workers																			
Office/Clerical																			
Craft Workers																			
Labore's																			
Service Workers																			
Temporary /Apprentices																			
Totals																			
<b>PREPARED BY (Signature):</b>													<b>TELEPHONE NO.:</b>					<b>DATE:</b>	
													<b>EMAIL ADDRESS:</b>						

<b>NAME AND TITLE OF PREPARER (Print or Type):</b>	<b>Submit completed form to:</b>
	Office of Temporary and Disability Assistance 40 North Pearl Street, Albany, NY 12243-0001 Contract Manager's Name   E-mail <a href="http://www.otda.ny.gov">www.otda.ny.gov</a>

**General Instructions:** The Workforce Employment Utilization Report (OTDA – 4971) is to be submitted on a quarterly basis during the life of the contract to report the actual workforce utilized in the performance of the contract broken down by the specified categories. When the workforce utilized in the performance of the contract can be separated out from the contractor's and/or subcontractor's total workforce, the contractor and/or subcontractor shall submit a Utilization Report of the workforce utilized on the contract. When the workforce to be utilized on the contract cannot be separated out from the contractor's and/or subcontractor's total workforce, information on the total workforce shall be included in the Utilization Report. Utilization reports are to be completed for the quarters ended 3/31, 6/30, 9/30 and 12/31 and submitted to the MWBE Program Management Unit within 10 days of the end of each quarter. If there are no changes to the workforce utilized on the contract during the reporting period, the contractor can submit a copy of the previously submitted report indicating no change with the date and reporting period updated.

**Instructions for completing:**

1. Enter the number of the contract that this report applies to along with the name and address of the Contractor preparing the report.
2. Check off the appropriate box to indicate if the entity completing the report is the contractor or a subcontractor.
3. Check off the box that corresponds to the reporting period for this report.
4. Check off the appropriate box to indicate if the workforce being reported is just for the contract or the Contractor's total workforce.
5. Enter the total workforce by EEO job category.
6. Break down the total workforce by gender and enter under the heading "Workforce by Gender".
7. Break down the total workforce by race/ethnic background and enter under the heading "Workforce by Race/Ethnic Identification". If you have any questions, please contact the MWBE Program Management Unit at (212) 961-8217.
8. Enter information on any disabled or veteran employees included in the workforce under the appropriate heading.
9. 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

USE OF SERVICE-DISABLED VETERAN-OWNED BUSINESS ENTERPRISES  
IN CONTRACT PERFORMANCE – OTDA-4200 (1/16)

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 New York State, 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](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 New York State'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 taxpayers.

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 additional space is required, please add to the table below).

SDVOB Name	SDVOB Address	DSDVBD Control #	Contract #
Nature of Participation	% of Total Work Performed	\$ Amount	

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.

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*NOTE: Information about set asides for SDVOB participation in public procurement can be found <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.*

**MINORITY AND 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 \_\_\_\_\_, 20\_\_\_\_

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:**

**Address:**

**City, State, Zip Code:**

**Region/Location of Work:**

**Federal Identification Number:**

**Telephone**

**Email:**

**Will New York State 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 Description Check all that apply	5. Dollar Value of Subcontracts/Supplies/Services over the term of the contract.
<b>A.</b>			<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> NYS Business** <input type="checkbox"/> NYS Small Business**	
<b>B.</b>			<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> NYS Business** <input type="checkbox"/> NYS Small Business**	
<b>C.</b>			<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> NYS Business** <input type="checkbox"/> NYS Small Business**	
<b>D.</b>			<input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> NYS Business** <input type="checkbox"/> 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.

**\*\*New York State 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 New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State 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 New York State 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 New York State 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 New York State business partners. New York State 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:**

## SNAP E&T Local Funding Agreement

Reimbursement through the SNAP E&T Venture IV program is contingent upon the applicant organization(s) ability to produce a specific amount of eligible non-federal (except CDBG) local funding to support the program. OTDA will reimburse each SNAP E&T Venture IV lead organization 50% of the earned SNAP E&T milestone value, up to the maximum amount listed on the approved Reimbursement Schedule.

The required local funding will be derived as follows:

Name of Eligible Funds	Funding Source (Name of Foundation, origin of funds)	Type of Funding / Description of Funding (Cash / In-Kind) (Describe)	Amount
<b>Total</b>			

I understand that SNAP E&T reimbursement from OTDA is contingent on our ability to obtain sufficient eligible non-federal local funds to support 50% of earned SNAP E&T milestone values. I attest that to my knowledge, the funds listed above are not being used as a match for federal funding purposes. I agree to retain and make available to representatives of OTDA and/or USDA evidence that the total value of the milestones has been expended in support of the SNAP E&T Venture IV program.

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(Signature of Lead Organization)

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(Title)

## Local Workforce Investment Board (LWIB) Approval

For applicants planning on providing Job Skills Training through FSET Venture II, approval from the Local Workforce Investment Board must be obtained to demonstrate that the training being offered is related to employment in demand within the local workforce investment area. Use the table below to list the types of job skills training to be offered, the skills to be acquired by participants, and the types of job openings. Submit the completed form to the appropriate LWIB for review and approval. In the event that the LWIB does not respond within 14 calendar days, submit a copy of the correspondence sent to the LWIB with the FSET Venture II application.

<b>Applicant Agency:</b>		
<b>Contact, Address &amp; Phone #:</b>		
<b>Training Program</b>	<b>Job Skills &amp; Types of Job Openings</b>	<b>LWIB Approval</b>
		YES ( ) NO ( )
		YES ( ) NO ( )
		YES ( ) NO ( )
		YES ( ) NO ( )
		YES ( ) NO ( )

### LWIB Approval

Name (print): _____ Signature: _____ Date: _____ Phone #: _____
Additional Comments:

## SNAP E&amp;T Venture IV Multi-Year Reimbursement Schedule

(1) Milestone Category	(2) Milestone Goal	(3) Milestone Value	(4) Total Funds Requested By Category (2) x (3)
Career Plan + 60 Instructional Hours		\$1,250*	
Educational Gain		\$1,250*	
Credential		\$1,250*	
Employment Coaching		\$500*	
Job Entry**	Entry + Retention*	\$2,250*	
Job Retention***			
		<b>Total Milestone Value Amount</b>	
		<b>Minus 50% Non-Federal Funds</b>	
		<b>Total Milestone Reimbursement Amount</b>	

\*While there are separate reimbursement levels for individuals in receipt of SNAP only, for planning purposes agencies should estimate milestone goals based on the highest (SNAP/SNA) reimbursement value.

\*\*Job entry and retention milestones will be added together for planning purposes

\*\*\*Although the reimbursement values vary for job entry and job retention milestones based on average weekly earnings, for planning purposes, agencies should estimate the number of milestones to be achieved at the highest reimbursement value. (\$2,250 for jobs with average weekly earnings above \$405)

Please note that the milestone values include the SNAP E&T funds + the non-federal funds.

## Employment Coaching Plan

**Participant Name:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Face-to-Face or Telephone**  
(Circle one)

**Time in:** \_\_\_\_\_ **Time Out:** \_\_\_\_\_

Based on the information collected in the initial Career Plan, complete the following:

**A. Goals and Preferences**

Describe the participant's employment goals and any additional goals (i.e. educational, personal, family) and whether these goals have been achieved.

1. Employment goal(s):

- What are some things you do well on that job?
- Are there any job duties that are not going well?
  - How can we assist you in doing things better?
- Are you getting along with your coworkers?
- So far, have you missed any days of work?

- So far, have you been on time for work each day?

2. Additional goal(s):

**B. Challenges/barriers**

1. Indicate the challenges and barriers the participant faces to maintaining and advancing in employment.
  - language barrier
  - literacy levels
  - lacks necessary education
  - lacks necessary training
  - lacks necessary license
  - lacks necessary credential
  - criminal history/restrictions
  - lacks necessary work experience
  - lacks necessary job skills
  - health-related barrier
  - other-describe
  - none

2. Describe how barriers will be addressed per the discussion:

3. What would be the most difficult thing about working more hours?

4. If you cannot cover all of your expenses each month, what does not get paid or what do you cut back on? Describe.

**C. Supportive Services**

1. Child Care Services: Is the participant in need of district supported child care services?

Yes

No; reason child care is not needed

In receipt of child care provided through district

Child care not required

2. Transportation Services: Indicate any transportation related supportive services that the district or your agency is providing.

public transportation pass/tokens

mileage reimbursement

taxi fare

county provided transportation

car insurance

car repairs

gas cards

driving permit/license fees/renewal

driving lessons

other-describe

none

3. Other Supportive Services: Indicate any supportive services other than child care and/or transportation that the district or you agency is providing.

- work related clothing/shoes
- license renewal
- fingerprinting fee
- books
- professional licensing fee
- tools
- utilities
- housing
- legal assistance
- financial literacy
- other-describe
- none

**D. Outcomes**

Select all that apply.

- enrolled in/referred to applicable education/training activity
- enrolled in/referred to applicable work activity
- currently unable to participate in education/training
- preferences/goals cannot be accommodated; do not reflect local employment opportunities; describe
- preferences/goals cannot be accommodated; are inconsistent with career plan results; describe
- preferences/goals cannot be accommodated; other-describe

**E. Referrals and Follow-Up**

List any information and referrals provided to the participant including agency referred to and any additional follow-up required.

**F. Worker Notes**

**G. Signatures**

Participant Signature: \_\_\_\_\_

Case Manager Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **Part D**

Please see the following pages to view the printed version of the Grants Gateway application.

**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 2 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 evaluations 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 pre-qualification requirements set forth of pages 4 and 5 of the RFP.

1 Describe the intended population to be served through your organization's SNAP E&T Venture IV program. Include the percentage of anticipated participants who have a history of substance abuse, have a criminal history, have limited English proficiency, are unemployed or underemployed parents and/or are in receipt of Safety Net Assistance. Priority will be given to those organizations who are targeting hard-to-serve participants as described above. \*

2 Describe the methods of outreach that will be used to recruit eligible SNAP E&T Venture IV participants. Include strategies that will be used by your organization to recruit target groups identified in the RFP including: Safety Net recipients, eligible youth, have a criminal history, limited English, no high school diploma, non-custodial parents, and those with a history of substance abuse. \*

3 Provide an outline of the process that has been developed with the area local district(s) for the identification and referral of SNAP work registrants who would benefit from program services. Include how your organization will monitor and coordinate each SNAP work registrant's countable hours of activities and how the hours will be provided to the district(s). \*

4 Provide a detailed synopsis of the case management approach to service delivery that strives to ensure that participants with complex needs receive timely and coordinated services to support program completion, educational advancement and job placement and retention services. \*

5 Provide a detailed description of the case management portion of the program that includes the intake and assessment process, service plan development, and on-going monitoring of the participants' progress and needs and strategies for addressing those needs. \*

6 Define the key functions of the case manager and include coordinating necessary services as defined by both the program participant and the case manager. \*

7 Describe the roles and responsibilities of partner agencies including the local district(s). An LDSS partnership form from each district in which program participants you plan to serve reside and acknowledgment of the districts' commitment to supporting the program must be included and uploaded to the Pre-Submission Uploads section. \*

8 Describe your intake and assessment process and how the Career Plan will be developed and used. Describe how the agency will provide Employment Coaching to participants who have obtained a job. Include in your description staff responsible for completion of the plan and strategies for staying connected with participants who have become employed. \*

9 Provide a list of instructional programs or job skills training that will help participants make educational advances and obtain job related skills. Outline the work activities that will be used in conjunction with educational activities, and the job placement, retention and improvement strategies that will be used to help participants enter and retain employment, receive raises, and advance on the job. Include a detailed description of the job retention services available to participants. \*

10 Describe your organization and why your organization is uniquely qualified to provide the services sought in this RFP. Describe your organization's experience providing educational and job skills training and job placement and retention services to low-income individuals with varying barriers to employment. \*

11 Describe and provide evidence of your organization's experience and accomplishments relevant to the services sought under this RFP including specific outcome data related to education and job skills training and job placement and retention of the target population. Include names and contact information of agencies for verification of performance. Indicate if you would be able to begin service delivery October 1, 2016. Uploaded information from funding agency such as letters that include evidence of performance are strongly encouraged. Uploads can be added to the Pre-Submission Uploads section of the proposal. \*

12 The reimbursement schedule will be used to score your budget compared to other applicants. Your budget score will be rated based on the proposed number of participants who will reach the milestones as outlined under this RFP. Upload the completed Reimbursement Schedule (Attachment 14) to the Pre-Submission Uploads section. \*