RFA # 17842 Grants Gateway # DOH01-HWRI2-2019

New York State Department of Health Office of Primary Care and Health Systems Management Center for Health Care Policy and Resource Development Division of Workforce Transformation

Request for Applications

Health Workforce Retraining Program/Initiative

KEY DATES:

Release Date: May 2, 2018

Questions Due: May 15, 2018

Questions, Answers and

Updates Posted (on or about): May 25, 2018

Applications Due: June 22, 2018 by 4:00 PM

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NYS Department of Health Corning Tower Room 1695 Albany, New York 12237 HWRI2019@health.ny.gov

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I. Introduction

A. Background

The Health Workforce Retraining Program, also known as the Health Workforce Retraining Initiative (HWRI), supports the training and retraining of health and public health industry workers with the skills necessary in the public health and health care market today.

The New York State Department of Health ("the Department"), in consultation with the New York State Department of Labor, is soliciting applications from organizations proposing to train or retrain (hereafter referred to as "train") health industry workers to obtain new positions, meet the new job requirements of existing positions, or otherwise meet the requirements of the changing public health and health care market and the diversity of the populations seeking health care services.

Growth in health care occupations continues to be strong. It is projected that between 2016 and 2026, health sector employment will grow much faster than employment in all other sectors, adding more jobs than any other occupational groups. This trend is reflected in New York State, where health sector employment accounted for over 12% of total employment in 2014, increasing faster than employment in all other sectors.

Despite this job growth, shortages exist in many regions and settings across the state. Health care sectors, including public health, continue to face challenges in recruiting and retaining employees in various health care settings. Health care facilities face increasing pressures to operate more efficiently due to declining inpatient occupancy levels, a continuing need to integrate emerging technologies into the health care delivery system, revenue shortfalls, the continued transition of resources from inpatient and tertiary care to primary care and the risk of destabilization of the health care market due to federal cuts to health care.

In addition, New York State initiatives such as the Delivery System Reform Incentive Payment (DSRIP) Program and the State Health Innovation Program (SHIP), encourage providers to work collaboratively to achieve better health, better health care and lower costs through the development of models of integrated care management such as "patient centered medical homes," advanced primary care models and "health homes." These efforts require the existing workforce to be trained in emerging models of collaborative care, understand how to focus on population health needs, work in interdisciplinary teams, maximize the use of health information technology and prepare for value and outcome based payment systems.

B. Purpose and Availability of Funds

This program is intended to support organizations to train or retrain health industry workers to obtain new positions, meet the new job requirements of existing positions, or otherwise meet the demand for skills and expertise required by the changing public health and health care market, including the diversity of the populations seeking health care services. In particular, this program is intended to address workforce needs including, but not limited to, the following:

- The need for new skills required for existing public health and health care workers to maintain current employment including meeting new job or certification/licensing requirements;
- Additional skills needed to prepare individuals for new job opportunities that are created due to changes in the market, including new employment for laid off workers or workers at risk of

¹ https://www.bls.gov/ooh/healthcare/home.htm

² Martiniano R, Boyd L, Rosario R, Gao J, Liu Y, Harun N, Wang S, Moore J. The Health Care Workforce in New York, 2015-2016: Trends in the Supply and Demand for Health Workers. Rensselaer, NY: Center for Health Workforce Studies, School of Public Health, SUNY Albany; February 2017.

being laid off;

- Occupational shortages, both current and anticipated in the near future;
- Changes in skills required to support models of integrated care management and interdisciplinary team-based care;
- Changes in skills required to support emerging technologies, including telehealth;
- The need for data production and analytic skills that are required to support performance measurement, quality improvement, better population health management and high quality, cost effective health care service delivery;
- The growth of home and community-based long-term care and the need for long term care workers caring for individuals wishing to remain in their homes and communities; and
- Skills needed to ensure safe and effective care transition from one setting to another, to reduce avoidable hospital readmissions and emergency care usage.

Up to \$18,320,000 is available to support this Request for Applications (RFA) for a two-year period. Regional funding is available based on the amount available in a region and will be awarded on a competitive basis within a region in accordance with the guidelines laid out in RFA Section V.C. (Review and Award Process).

The region in which funding is to be requested is determined by:

- the county of the employer with participants to be trained, or
- the county of residence of laid-off workers to be trained.

For this RFA, each project in each region is considered one application. All materials must be submitted for each project in each region. For example, an applicant that is proposing to train registered nurses (RNs) in the Western, Rochester and Central regions and proposing to train licensed practical nurses (LPNs) in Western, Rochester and Central regions will submit a total of <u>six</u> applications. Applicants may submit a minimum of one application and a maximum of 50 applications.

Table 1 details the counties included and the amount available within each region.

Table 1 Maximum Funding Levels by Region							
Western	Rochester	Central	Utica/ Watertown	Northeastern	Northern Metropolitan	New York City	Long Island
Allegany Cattaraugus Chautauqua Erie Genesee Niagara Orleans Wyoming	Livingston Monroe Ontario Seneca Wayne Yates	Broome Cayuga Chemung Cortland Schuyler Steuben Tioga Tompkins Onondaga	Chenango Franklin Hamilton Herkimer Jefferson Lewis Madison Oneida Otsego Oswego St. Lawrence	Albany Clinton Essex Fulton Greene Montgomery Rensselaer Saratoga Schenectady Schoharie Warren Washington	Columbia Delaware Dutchess Orange Putnam Rockland Sullivan Ulster Westchester	Bronx Kings New York Queens Richmond	Nassau Suffolk
\$526,458	\$1,045,833	\$561,481	\$66,643	\$483,425	\$861,535	\$12,866,527	\$1,908,098

The maximum amount for an award in each region is limited to the amounts listed in Table 2

Table 2							
	Maximum Regional Award Amounts						
Western	Rochester	Central	Utica/Watertown	Northeastern	Northern	New York	Long Island
					Metropolitan	City	
\$67,784	\$135,110	\$73,280	\$8,015	\$63,662	\$109,920	\$1,588,115	\$244,114

II. Who May Apply

A. Eligible Applicants

Organizations eligible to apply for funding under this RFA include:

- Health worker unions;
- General Hospitals;
- Long term care facilities;
- Other health care facilities/agencies, including but not limited to: certified home health agencies, licensed home care services agencies, long term health care programs, hospices, ambulatory care facilities, diagnostic and treatment facilities, providers licensed by the Office of Mental Health or the Office of Alcohol and Substance Abuse Services;
- Health care facilities trade associations:
- Labor-management committees;
- Joint labor-management training funds established pursuant to the provisions of the Federal Taft-Hartley Act; and
- Educational institutions.

Preference will be given to geographic areas and organizations that have experienced or are likely to experience job loss because of changes in the health care system.

B. Minimum Eligibility Requirements

- 1. Applicants must be legally existing organizations located in NYS capable of entering into a Master Grant Contract with the New York State Department of Health.
- 2. Applicants must be pre-qualified in the Grants Gateway, if not exempt, on the date applications are due.
- 3. Applicants must have a minimum of two (2) years of training experience with the target population.
- 4. Applicants must identify a need for training in one or more of these areas for which they propose to train:
 - Provide training in occupations with documented shortages;
 - Provide needed expansion of educational capacity in shortage occupations;
 - Provide training targeted for workers who have experienced or are likely to experience
 job loss, or are recipients of public assistance due to changes in the public health or
 health care system;
 - Provide training for new job certification or licensing requirements; or
 - Provide training in emerging technologies.

Applications that do not meet the above minimum eligibility requirements will not be reviewed.

C. Preferred Application Requirements

Highest points will be awarded to applications that clearly and persuasively demonstrate a need for training in the area(s) identified above in Section II.B.4.

Additional Preference points will be awarded to projects that, in addition to demonstrating one or more of the training needs in Section II.B.4., also provide training that will result in an increase in the supply of the following disciplines where there is reported difficulty in recruitment that is related to a shortage of workers, and/or significant growth is projected:

- Clinical laboratory technologists
- Registered Nurses
- Licensed Practical Nurses
- RN Care coordinators
- Certified Nursing Aides
- Nurse Practitioners
- o Psychiatric Nurse Practitioners
- Nurse Managers/Directors
- o Physician Assistants
- Licensed Masters Social Workers
- Licensed Clinical Social Workers
- Minimum Data Set Coordinators
- Home Health Aides
- Emergency Medical Technicians and Paramedics
- Physical Therapists
- Occupational Therapists
- Diagnostic Medical Sonographers

III. Project Narrative/Work Plan Outcomes

A. Contractor Expectations

Awards will be made to train public health and health care workers in skills that address evolving workforce demands, and will be made on a competitive basis by project and by region in accordance with Section V.C. (Review and Award Process).

Contractors will be expected to:

- 1. Develop and manage the administrative structure necessary to implement proposed projects in a timely manner. This includes commitment of staffing adequate to:
 - develop relationships and contracts with partners for assessments, training or other functions necessary for the successful implementation of the project;
 - manage and coordinate the project;
 - meet fiscal and programmatic contract requirements; and
 - evaluate the project.
- 2. Complete start-up activities, including curriculum development and participant selection, within three months of contract execution as specified in the Program Implementation Attestation (Attachment 3) developed by the applicant and uploaded in the pre-submission section of the Grants Gateway as Attachment 3.
- 3. Ensure the cost-effective provision of assessment, training and placement services to the numbers of participants proposed in the application.
- 4. Provide the Department of Health with monthly or quarterly outcome and expenditure reports, and a two-year final report, in a timely manner as described in Section IV. (Administrative Requirements).
- 5. Fully cooperate with Department of Health and Department of Labor representatives during contractor assistance program reviews, including the provision of supporting documentation of outcomes and expenditures and other data or information as may be necessary to help assess the success of the project and monitor project expectations.

B. Eligible Activities

Activities eligible for funding under HWRI training projects may include, but are not limited to those described below.

In-service training provided by a staff development department will <u>not</u> be funded including training required by accreditation organizations e.g. The Joint Commission (JCAHO). *PLEASE NOTE:* Training for new mandates required by laws enacted since January 1, 2016 are eligible for funding.

Funds also may <u>not</u> be used to train physicians and physicians in training.

1. Assessment and Intake

As part of a training project, assessment and intake may include activities to determine training needs and class placement, including the use of such tools as:

- Test of Adult Basic Education (TABE) to assess literacy, math/reading level and/or job skills;
- AHRQ Health Literacy Universal Precautions Tool Kit to assess health literacy; and/or
- · Other relevant assessment tools,

Activities may also include counseling and guidance activities related to pre-intake assessment, but not ongoing evaluation of progress during training.

2. Remediation

Remediation activities include preparation in English for speakers of other languages, taking into consideration limited English Proficiency (LEP) populations when developing instructions in basic reading or mathematics, or completion of requirements for a General Equivalency Diploma (GED). Remediation may be provided as part of a training project which includes health literacy, where it is necessary for redeployment to new jobs or required to maintain current employment.

3. Basic Skill Development

Basic skill development activities include training in such skills as work processing, data entry, computer-based calendaring and scheduling, reception and customer service, language development and communication skills.

4. Reorientation

Reorientation activities include short-term preparation of public health and health care workers to transition to other health sectors. For example, this may include preparing a medical-surgical nurse as a public health nurse, or preparing bilingual community health workers as medical interpreters, or preparing a nurse to be a care coordinator.

5. Counseling

Counseling activities include culturally and linguistically appropriate counseling, mentoring, and precepting for employees who are learning new skills.

6. Skill Development and Enhancement

Skill development and enhancement activities include training that develops or enhances new skills in areas such as care coordination, team-based care, chronic disease management, language development and communication skills, cultural competency and health literacy. This might include, for example, care coordination skills for outpatient medical assistants, communication skills to promote transfer between acute and post-acute facilities, or training to enhance skills among Community Health Workers/Promotoras.

7. Career Advancement

Career advancement activities include training for public health or health care career ladder and degree programs, e.g., RN training or LPN training. Expenses may include tuition, books, fees, etc., paid to an accredited program.

8. Expansion of Educational Capacity

Includes support for faculty, clinical instructors, preceptors and others to create added training slots that meet the educational, cultural, linguistic and health literacy needs of the public health and health care workforce.

C. Project Expectations

Applicants most likely to be selected for funding are those that best address the following areas:

1. Need for Training

Applicants should identify the training need or needs which will be addressed by the proposed project, document the existence of such need or needs and explain how the proposed project will help to meet such need or needs. Because of regional variations in job markets, applicants who cite local and regional employment trends will score higher than those who refer to national or statewide trends. Highest points will be awarded to applications that clearly and persuasively demonstrate a need for training in one or more of the following areas:

a. Training in Occupations with Documented Shortages

Applicants should demonstrate shortages in the occupations for which training is proposed. Such documentation may be through local, regional, national state labor statistics, vacancy rates, long recruitment times, local studies/surveys, letters from employers, or other appropriate mechanisms. Training for shortage occupations can include offering health care workers upgrades or enhanced skills through degree or non-degree educational programs or through tailored instructional programs.

b. Training for Workers Facing Job Loss

Applicants may propose to train workers who have experienced job loss, are likely to experience job loss, or are receiving public assistance due to changes in the health care system (e.g., facility closures) and should document how the training will promote the employment of participants when training is completed. Applicants should identify the specific health care facilities where such workers are or were employed and, where applicable, document facility plans to downsize or close, such as by referencing Certificate of Need applications for reduced beds or approved hospital closure plans. If jobs are being transformed due to system transformation, e.g., inpatient positions reduced and community-based positions created, applicants should provide details of the system transformation, including location(s) where positions are being reduced and created and titles affected.

c. Expansion of Educational Capacity in Shortage Occupations

Applicants may propose to expand educational capacity for occupations where training opportunities have been limited by the lack of faculty, clinical instructors or clinical affiliation slots. The expansion of educational capacity can involve nursing, such as Master of Science in Nursing (MSN) programs with educational concentrations, or other occupations where opportunities have been limited. Applicants should document the need for additional capacity via waiting lists for training slots, numbers of qualified applicants turned away, and other program specific statistics that indicate the need for more training capacity. Projects requesting funding under this category should, in addition to expanding capacity, train participants during the grant cycle in the new training slots created.

d. Training for New Job Certification or Licensing Requirements

Applicants should document changes in certification, licensing requirements, or other upgraded job requirements of current positions or job titles. Applicants should describe how the training will benefit the employees and positively affect the patient population or quality of care at the care setting. Training in this category may include, for example, cross-training of staff in multiple disciplines or other strategies that assist employees to meet new job requirements or upgraded credentials for a current position. It does not apply to all certificate training or licensed training, only to training that upgrades skills to meet new requirements of an existing position.

e. Training for Emerging Technologies

Applicants should document the needs of the facilities for training workers in emerging technologies. Such documentation can be project, facility or job specific. For example, an applicant could discuss specific job titles identified for training and why it is needed for those titles, or why the installation of a new hospital wide system creates a need for training for all titles. Training in this category may include telehealth/telecommunications, new coding systems, upgrading to electronic health records, or training on a new hospital information system. HWRI funding will only support equipment directly associated with training and not equipment which will be used for ongoing operational activities.

2. Capability and Commitment of the Applicant to Implement the Project

a. Description of Capability

Applicants should clearly describe their ability to train the target population. Applicants may subcontract or collaborate on components of the project. For those applicants that propose subcontracting or collaboration, it is expected that the application state the specific parts of the project to be performed through subcontracts or collaboration and identify all subcontracting or collaborating organizations. Applicants should note that the lead organization (contractor) will have overall responsibility for all contract activities, including those performed by subcontractors, and will be the primary contact for the DOH. All subcontractors should be approved by the Department of Health.

If an applicant is relying upon subcontracting or collaborative relationships with other organizations or internal affiliates to help it conduct such training, it should upload a letter dated subsequent to the release of the RFA from each such organization that sufficiently describes the specific role of the organization in the proposed project, including the following:

- Applicants that are health care facilities should submit letters of participation from all training organizations that will conduct training as part of the proposed project, including a description of how training will be implemented and the number of students expected to be served by the organization;
- Applicants that conduct training should submit letters from all health care facilities and public health agencies for which it will conduct training, including a description of the job titles and skills of trainees proposed to participate in training, the rationale for selecting those trainees, and the institution's capacity to train the stated number of trainees; and
- All other applicants should submit letters of participation from all training organizations and health care facilities which include the descriptions listed above.

All subcontracting and collaborating organizations should be listed on the Application Cover Page (Attachment 1), including the type of organization.

b. Description of Past Training Success

Applicants should describe their experience in conducting training projects, including projects previously funding by HWRI, either in the area being proposed or other areas, and demonstrate that they have achieved measurable outcomes. For each specific training project cited in the past 4 years, include the number of participants that were projected to receive training, the number of participants that actually received training, and the percent of participants that completed training within the project period.

In addition to providing the specific outcomes above, an applicant may also demonstrate that it achieved measurable outcomes by documenting, for example:

- The number of workers trained and hiring rates for upgrading projects;
- The number of workers retained in health care facilities as a result of past training projects, such as:
 - number of school-based graduates that were hired by a facility or collaborative partners;
 - number of workers trained who are still employed in their field; and/or
 - statistics from employee satisfaction surveys that could be utilized as retention documentation for non-upgrading projects;
- Reductions in denied claims for a period after enhanced billing/coding training was conducted;
- Reductions in patient waiting times attributable to training projects; and/or
- Surveys or other means that demonstrate increases in patient satisfaction after training was conducted.

If applicants were unable to fully implement past training projects, they should explain the reasons for the lack of implementation or challenges faced, and describe why they will not have similar issues with the implementation of their proposed project under this solicitation.

c. Ability to Meet Contract Requirements

- Applicants should demonstrate their ability to implement the project within a threemonth period of time from the date of contract execution (Attachment 3 Timeline for Project Attestation). Implementation may include time for planning activities such as curriculum development, participant selection, or structuring the training to reflect the academic calendar.
- 2. Applicants should show that the organization's corporate structure is committed to the project and that there is an administrative structure that is adequate for the scope of the project, and include a brief description of staff responsible for the administration of the project and for complying with contractual requirements.

d. Labor Organization Support

Applicants whose project will train workers represented by labor organizations should provide letters of concurrence from relevant bargaining agent(s) or, if there are no labor organizations representing the proposed participants at the health care facilities, state such fact.

3. Training Strategy

Applicants should define how the strategy of the training project will facilitate training and assure employment for participants, including a description of:

- **a.** The process to select training participants, as well as any other start-up activities such as curriculum development and the use of an assessment tool or process;
- **b.** The proposed curriculum and how it provides participants with the skills that meet the employers' needs;
- **c.** The length of training, its appropriateness to the curriculum, and how it will provide the targeted skills to meet project goals; and
- **d.** Plans to monitor the progress of training participants while in training, including any mentoring, tutoring or counseling services to be provided.

Length of training is defined as the total number of hours (for programs not resulting in a college degree) or years (for academic programs resulting in a college degree) in which any one participant should complete all modules of training, and only actual hours in training should be counted. Examples:

- One month of full time training in a 37.5 or 40-hour work week would be 160 to 170 hours; six weeks of training at one hour per day, four days per week, would be listed as 24 hours of training, NOT six weeks of training.
- If there are multiple components or modules of training, count hours for the entire series of training modules (e.g., if a dietary clerk receives 40 hours of computer training followed by 10 hours of on the job precepting, they are receiving 50 hours of training).
- Length of training for academic training programs should be described as the number
 of years it takes to complete if the participants attend full time. Applicants should also
 describe how long they anticipate it will take participants to complete the training if
 attending less than full time (an average length of training is acceptable).

4. Work Plan and Performance Measures

Applicants should provide a detailed overview of project objectives, tasks and performance measures that are consistent with the objectives of the RFA, using the format in the Grants Gateway.

The work plan should identify the objectives, tasks and performance measures that will be achieved during the project period; a feasible timeline for initiating and completing deliverables; and performance measures that will be used to assess the effectiveness of the project.

For training projects focused on upgrading or enhancing skills, such performance measures should, at a minimum, identify the number of participants who will enter training, the number who will complete training, and the number who will be hired or retained after successfully completing training.

For projects involving the expansion of educational capacity projects, such performance measures should include, at a minimum, the number of current slots, the number of qualified candidates turned away, the number of slots to be created by the expansion, and the number of participants who will enter and complete training as a result of the expansion.

Successful applicants may be asked to modify work plans prior to initiation of the contract to address issues identified during the review process and the amount of funding awarded.

IV. Administrative Requirements

A. Issuing Agency

This RFA is issued by the New York State Department of Health, Office of Primary Care and Health Systems Management, Center for Health Care Policy and Resource Development, Division of Workforce Transformation. The Department is responsible for the requirements specified herein and for the evaluation of all applications.

B. Question and Answer Phase

All substantive questions must be submitted in writing or via email to:

Susan Mitnick
New York State Department of Health
Corning Tower, Room 1603
Empire State Plaza
Albany NY 12237
HWRI2019@health.ny.gov

To the degree possible, each inquiry should cite the RFA section and paragraph to which it refers. Written questions will be accepted until the date posted on the cover of this RFA. This includes Minority and Women Owned Business Enterprise (MWBE) questions and questions pertaining to the MWBE forms.

Questions of a technical nature can be addressed in writing or via telephone by calling Susan Mitnick at 518-473-4700. Questions are of a technical nature if they are limited to how to prepare your application (e.g., formatting) rather than relating to the substance of the application.

Some helpful links for questions of a technical nature are below. Questions regarding specific opportunities or applications should be directed to the DOH contact listed on the cover of this RFA.

https://grantsreform.ny.gov/grantees

 Grants Gateway Videos (includes a document vault tutorial and an application tutorial) on YouTube: https://grantsreform.ny.gov/youtube

Grants Gateway Team Email: grantsgateway@its.ny.gov

Phone: 518-474-5595

Hours: Monday thru Friday 8am to 4:30pm

(Application Completion, Policy, and Registration questions)

Agate Technical Support Help Desk

Phone: 1-800-820-1890

Hours: Monday thru Friday 8am to 8pm Email: helpdesk@agatesoftware.com

(Technical questions)

Prospective applicants should note that all clarifications and exceptions, including those relating to the terms and conditions of the contract, are to be raised prior to the submission of an application.

This RFA has been posted on the NYS Grants Gateway website at:

https://grantsgateway.ny.gov/IntelliGrants NYSGG/module/nysgg/goportal.aspx and a link provided on the Department's public website at: https://www.health.ny.gov/funding/. Questions and answers, as well as any updates and/or modifications, will be posted on the Grants Gateway. All such updates will be posted by the date identified on the cover of this RFA.

C. Letter of Interest

Submission of a letter of interest is **not** a requirement or obligation upon the applicant to apply in response to this RFA.

D. Applicant Conference

An Applicant Conference will **not** be held for this project.

E. How to file an application

Applications must be submitted online via the <u>Grants Gateway</u> by the date and time posted on the cover of this RFA. Reference materials and videos are available for Grantees applying to funding opportunities on the NYS Grants Gateway. Please visit the Grants Reform website at the following web address: https://grantsreform.ny.gov/Grantees and select the "Grantee Quick Start Guide Applications" from the menu on the left. There is also a more detailed "Grantee User Guide" available on this page as well. Training webinars are also provided by the Grants Gateway Team. Dates and times for webinar instruction can be located at the following web address: https://grantsreform.ny.gov/training-calendar.

To apply for this opportunity:

- 1. Log into the Grants Gateway as either a "Grantee" or "Grantee Contract Signatory".
- 2. Click on the "View Opportunities" button under "View Available Opportunities".
- 3. In the Search Criteria, enter the Grant Opportunity name Health Workforce Retraining Program and select the Department of Health as the Funding Agency.
- 4. Click on "Search" button to initiate the search.
- 5. Click on the name of the Grant Opportunity from the search results grid and then select the "APPLY FOR GRANT OPPORTUNITY" button located bottom left of the Main page of the Grant Opportunity.

Once the application is complete, prospective grantees are <u>strongly encouraged</u> to submit their applications at least 48 hours prior to the due date and time. This will allow sufficient opportunity for the applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. Failure to leave adequate time to address issues identified during this process may jeopardize an applicant's ability to submit their application. Both DOH and Grants Gateway staff are available to answer applicant's technical questions and provide technical assistance prior to the application due date and time. Contact information for the Grants Gateway Team is available under Section IV. B. of this RFA.

<u>PLEASE NOTE:</u> Although DOH and the Grants Gateway staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time, there is no guarantee that they will be resolved in time for the application to be submitted and, therefore, considered for funding

The Grants Gateway will always notify applicants of successful submission. If a prospective grantee does not get a successful submission message assigning their application a unique ID number, it has not successfully submitted an application. During the application process, please pay particular attention to the following:

- Not-for-profit applicants must be prequalified on the due date for this application submission.
 Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit's essential financial documents the IRS990, Financial Statement and Charities Bureau filing expire on an annual basis. If these documents are allowed to expire, the not-for-profit's prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.
- Only individuals with the roles "Grantee Contract Signatory" or "Grantee System Administrator" can submit an application.
- Prior to submission, the system will automatically initiate a global error checking process to
 protect against incomplete applications. An applicant may need to attend to certain parts of
 the application prior to being able to submit the application successfully. Be sure to allow
 time after pressing the submit button to clean up any global errors that may arise. You can
 also run the global error check at any time in the application process. (see p.66 of the
 Grantee User Guide).
- Grantees should use numbers, letters and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also be aware of the restriction on file size (10 MB) when uploading documents. Grantees should ensure that any attachments uploaded with their application are not "protected" or "pass-worded" documents.

The following table will provide a snapshot of which roles are allowed to Initiate, Complete, and Submit the Grant Application(s) in the Grants Gateway.

Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
Delegated Admin	X				
Grantee		X	X		
Grantee Contract Signatory		X	Х	X	
Grantee Payment Signatory		X	X		
Grantee System Administrator		X	Х	X	
Grantee View Only					Х

PLEASE NOTE: Waiting until the last several days to complete your application online can be dangerous, as you may have technical questions. Beginning the process of applying as soon as possible will produce the best results.

Late applications will not be accepted. Applications will not be accepted via fax, e-mail, hard copy or hand delivery.

F. Department of Health's Reserved Rights (Need to line these up)

The Department of Health reserves the right to:

- 1. Reject any or all applications received in response to this RFA.
- 2. Withdraw the RFA at any time, at the Department's sole discretion.
- 3. Make an award under the RFA in whole or in part.
- 4. Disqualify any applicant whose conduct and/or proposal fails to conform to the requirements of the RFA.
- 5. Seek clarifications and revisions of applications.
- 6. Use application information obtained through site visits, management interviews and the State's investigation of an applicant's qualifications, experience, ability or financial standing, and any material or information submitted by the applicant in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFA.
- 7. Prior to application opening, amend the RFA specifications to correct errors or oversights, or to supply additional information, as it becomes available.
- 8. Prior to application opening, direct applicants to submit proposal modifications addressing subsequent RFA amendments.
- 9. Change any of the scheduled dates.
- 10. Waive any requirements that are not material.
- 11. Award more than one contract resulting from this RFA.
- 12. Conduct contract negotiations with the next responsible applicant, should the Department be unsuccessful in negotiating with the selected applicant.
- 13. Utilize any and all ideas submitted with the applications received.
- 14. Unless otherwise specified in the RFA, every offer is firm and not revocable for a period of 60 days from the bid opening.
- 15. Waive or modify minor irregularities in applications received after prior notification to the applicant.
- 16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's application and/or to determine an offerer's compliance with the requirements of the RFA.

- 17. Negotiate with successful applicants within the scope of the RFA in the best interests of the State.
- 18. Eliminate any mandatory, non-material specifications that cannot be complied with by all applicants.
- 19. Award grants based on geographic or regional considerations to serve the best interests of the State.

G. Term of Contract

Any contract resulting from this RFA will be effective only upon approval by the New York State Office of the Comptroller.

It is expected that contracts resulting from this RFA will have the following time period:

January 1, 2019 through December 31, 2020. Contracts are for a two-year fixed term.

Continued funding throughout this two-year period is contingent upon availability of funding and state budget appropriations. Discrete budgets are submitted for each year of the contract. Any residual funds awarded for year one cannot be rolled over and used in year two.

DOH also reserves the right to revise the award amount as necessary due to changes in the availability of funding.

If an awarded applicant cannot provide the required contracting materials to the Department within 60 days of contract award, the Department reserves the right to withdraw the award and redistribute the funding to other responsible awardees.

A sample New York State Master Contract for Grants can be found in the Forms Menu once an application to this funding opportunity is started.

H. Payment & Reporting Requirements of Grant Awardees

- 1. The Department may, at its discretion, make an advance payment to not-for-profit grant contractors in an amount not to exceed 25 percent of the first-year approved contract budget amount.
- 2. The grant contractor will be required to submit invoices and required reports of expenditures to the State's designated payment office (below) or, in the future, through the Grants Gateway:

Office of Primary Care and Health Systems Management
New York State Department of Health
Corning Tower, Room 1695
Empire State Plaza
Albany, New York 12237

Grant contractors must provide complete and accurate billing invoices in order to receive payment. Billing invoices submitted to the Department must contain all information and supporting documentation required by the Contract, the Department and the Office of the State Comptroller (OSC). Payment for invoices submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with OSC's procedures and practices to

authorize electronic payments. Authorization forms are available at OSC's website at: http://www.osc.state.ny.us/epay/index.htm, by email at: epayments@osc.state.ny.us or by telephone at 855-233-8363. CONTRACTOR acknowledges that it will not receive payment on any claims for reimbursement submitted under this contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Payment of such claims for reimbursement by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Contractors will be reimbursed for actual expenses incurred as allowed in the Contract Budget and Workplan.

- 3. The grant contractor will be required to submit the following reports on a quarterly basis to the Department of Health at the address above or, in the future, through the Grants Gateway:
 - a. Narrative progress report;
 - b. Expenditure report with narrative explanation;
 - c. Training Outcomes report;
 - d. NYS Claim for Payment Form with supporting documentation; and
 - e. Final report at the completion of the project.

Quarterly Reports and Claim for Payment Forms will be submitted by the grant contractors using the standardized reporting templates and forms which will be provided by the Division of Workforce Transformation. (The Division may possibly request monthly vouchering at the end of each state fiscal year March 31st.)

All payment and reporting requirements will be detailed in Attachment D of the final NYS Master Contract for Grants.

I. Minority & Woman-Owned Business Enterprise Requirements

Pursuant to New York State Executive Law Article 15-A, the New York State Department of Health ("DOH") recognizes its obligation 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 DOH 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 DOH establish 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, the New York State Department of Health hereby establishes a goal of **0%** as follows:

The goal on the eligible portion of this contract will be 0% for Minority-Owned Business Enterprises ("MBE") participation and 0% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified MWBE firms). A contractor ("Contractor") on the subject contract ("Contract") must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOH may withhold payment pending receipt of the required MWBE documentation. For guidance on how DOH will determine "good faith efforts," refer to 5 NYCRR §142.8.

The directory of New York State Certified MWBEs can be viewed at: https://ny.newnycontracts.com. The directory is found in the center of the webpage under "NYS Directory of Certified Firms" and accessed by clicking on the link entitled "Search the Directory". Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged and all communication efforts and responses should be well documented.

This RFA does not establish minimum goals for participation of minority or women-owned business. Therefore, completion of the MWBE Utilization Plan (Attachment 6) is optional. Funded applicants are encouraged to engage with firms found in the directory for the acquisition of required product(s) and/or service(s) associated with this grant.

In addition, successful awardees will be required to certify they have an acceptable Equal Employment Opportunity policy statement.

J. Limits on Administrative Expenses and Executive Compensation

On July 1, 2013, limitations on administrative expenses and executive compensation contained within Governor Cuomo's Executive Order #38 and related regulations published by the Department (Part 1002 to 10 NYCRR – Limits on Administrative Expenses and Executive Compensation) went into effect. Applicants agree that all state funds dispersed under this procurement will, if applicable to them, be bound by the terms, conditions, obligations and regulations promulgated by the Department. To provide assistance with compliance regarding Executive Order #38 and the related regulations, please refer to the Executive Order #38 website at: http://executiveorder38.ny.gov.

K. Vendor Identification Number

Effective January 1, 2012, in order to do business with New York State, you must have a vendor identification number. As part of the Statewide Financial System (SFS), the Office of the State Comptroller's Bureau of State Expenditures has created a centralized vendor repository called the New York State Vendor File. In the event of an award and in order to initiate a contract with the New York State Department of Health, vendors must be registered in the New York State Vendor File and have a valid New York State Vendor ID.

If already enrolled in the Vendor File, please include the Vendor Identification number on the application cover page. If not enrolled, to request assignment of a Vendor Identification number, please submit a New York State Office of the State Comptroller Substitute Form W-9, which can be found on-line at: http://www.osc.state.nv.us/vendor_management/forms.htm.

Additional information concerning the New York State Vendor File can be obtained on-line at: http://www.osc.state.ny.us/vendor_management/index.htm, by contacting the SFS Help Desk at 855-233-8363 or by emailing at helpdesk@sfs.ny.gov.

L. Vendor Responsibility Questionnaire

The New York State Department of Health strongly encourages that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at http://www.osc.state.ny.us/vendrep/index.htm or go directly to the VendRep system online at https://portal.osc.state.ny.us.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor ID or for VendRep System assistance, contact the Office of the State Comptroller's Help Desk at 866-370-4672 or 518-408-4672 or by email at ciohelpdesk@osc.state.ny.us.

Applicants should complete and submit the Vendor Responsibility Attestation (Attachment 2).

M. Vendor Prequalification for Not-for-Profit Organizations

All not-for-profit vendors subject to prequalification are required to prequalify prior to grant application and execution of contracts.

Pursuant to the New York State Division of Budget Bulletin H-1032, dated July 16, 2014, New York State has instituted key reform initiatives to the grant contract process which requires not-for-profits to register in the Grants Gateway and complete the Vendor Prequalification process in order for applications to be evaluated. Information on these initiatives can be found on the <u>Grants Reform Website</u>.

Applications received from not-for-profit applicants that have not Registered <u>and</u> are not Prequalified in the Grants Gateway on the application due date listed on the cover of this RFA cannot be evaluated. Such applications will be disqualified from further consideration.

Below is a summary of the steps that must be completed to meet registration and prequalification requirements. The <u>Vendor Prequalification Manual</u> on the Grants Reform Website details the requirements and an <u>online tutorial</u> are available to walk users through the process.

1) Register for the Grants Gateway

On the Grants Reform Website, download a copy of the <u>Registration Form for Administrator</u>.
 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 grantsgateway@its.ny.gov. If you do not know your Password, please click the Forgot Password link from the main log in page and follow the prompts.

2) Complete your Prequalification Application

- Log in to the <u>Grants Gateway</u>. 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 Application.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Gateway Team at grantsgateway@its.ny.gov.

3) Submit Your Prequalification Application

- After completing your Prequalification Application, click the Submit Document Vault Link
 located below the Required Documents section to submit your Prequalification Application for
 State agency review. Once submitted the status of the Document Vault will change to In
 Review.
- If your Prequalification reviewer has questions or requests changes you will receive email notification from the Gateway system.
- Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

<u>Vendors are strongly encouraged to begin the process as soon as possible in order to participate in this opportunity.</u>

N. General Specifications

- 1. By submitting the "Application Form" each applicant attests to its express authority to sign on behalf of the applicant.
- 2. Contractors will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
- 3. Submission of an application indicates the applicant's acceptance of all conditions and terms contained in this RFA, including the terms and conditions of the contract. Any exceptions allowed by the Department during the Question and Answer Phase (Section IV.B.) must be clearly noted in a cover letter attached to the application.
- 4. An applicant may be disqualified from receiving awards if such applicant or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.

5. Provisions Upon Default

- a. The services to be performed by the Applicant shall be at all times subject to the direction and control of the Department as to all matters arising in connection with or relating to the contract resulting from this RFA.
- b. In the event that the Applicant, through any cause, fails to perform any of the terms, covenants or promises of any contract resulting from this RFA, the Department acting for and on

behalf of the State, shall thereupon have the right to terminate the contract by giving notice in writing of the fact and date of such termination to the Applicant.

c. If, in the judgement of the Department, the Applicant acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate any contract resulting from this RFA by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

V. Completing the Application

A. Application Format/Content

Please refer to the Quick Start Guide for assistance in applying for this procurement through the NYS Grants Gateway. This guide is available on the Grants Reform website at: https://grantsreform.ny.gov/grantees

It is the applicant's responsibility to ensure that all materials required to be included in the application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway system by the date and time specified on the cover of this RFA.

Please respond to each of the sections described below when completing the Grants Gateway online application. Your responses comprise your application. Please respond to all items within each section. When responding to the statements and questions, be mindful that application reviewers may not be familiar with the agency and its services. Therefore, answers should be specific, succinct and responsive to the statements and questions as outlined.

ALL APPLICATIONS SHOULD CONFORM TO THE FORMAT/CONTENT PRESCRIBED BELOW. POINTS WILL BE DEDUCTED FROM APPLICATIONS WHICH DEVIATE FROM THE PRESCRIBED FORMAT.

EACH PROJECT IN EACH REGION IS CONSIDERED ONE APPLICATION. ALL MATERIALS MUST BE SUBMITTED FOR EACH PROJECT IN EACH REGION. FOR EXAMPLE, AN APPLICANT THAT IS PROPOSING TO TRAIN RNs IN THE WESTERN, ROCHESTER AND CENTRAL REGIONS AND PROPOSING TO TRAIN LPNs IN WESTERN, ROCHESTER AND CENTRAL REGIONS WILL SUBMIT A TOTAL OF <u>SIX</u> APPLICATIONS. APPLICANTS MAY SUBMIT A MINIMUM OF ONE APPLICATION AND A MAXIMUM OF 100 APPLICATIONS.

In addition to the items requested above, required information to assess the viability and feasibility of the organization's ability to accomplish the proposed task could include:

1. Pre-Submission Uploads

a. Application Cover Page (See Attachment 1)

The Application Cover Page should be used to provide the following information:

- i. Applicant Information including name, address, vendor ID, charities status, contact person, and organization type;
- ii. Project manager or daily contact person;

- iii. Project information including project title, region, period, number of participants to be trained, and length of training in months and/or years; and
- iv. Collaborating Organization Information including name and type of organization
- b. Vendor Responsibility Attestation (See Attachment 2 and Section IV. L of the RFA)
- c. Project Implementation Attestation (See Attachment 3)
- d. Year 2 Budget Forms (See Attachment 4)
- e. MWBE Forms Optional (See Attachment 6 and Section IV. I. of the RFA)

2. Technical Proposal: Program Specific Questions (Maximum Score: 79 points)

DO NOT INCLUDE ANY COST INFORMATION IN THE TECHNICAL PROPOSAL. INCLUDING COST INFORMATION IN THE TECHNICAL PROPOSAL MAY RESULT IN DISQUALIFICATION OF THE APPLICATION.

The following questions are to be answered in the format provided in the Grants Gateway. All questions require an answer. For questions that are not applicable to the project being proposed, answer "Not Applicable". Some questions may allow and/or require documents to be uploaded.

Section 1: Project Summary - Not Scored

1A. Project Summary (Not Scored)

Briefly summarize the proposed project, including all major activities that will be undertaken to meet the objectives of HWRI.

Section 2: Need for Training (Maximum Score: 24 points)

Please provide a response for the following Program Specific Questions regarding the training need(s) identified which allowed the applicant to be able to advance to the application review and scoring phase.

2A. Documentation of Need for Training

For the need(s) which you identified for your project, document the existence of or anticipation of such need(s). Documentation can include: local, regional, statewide and/or national employment trends, evidence of difficulty in recruitment/retention, patient waiting lists, student applicant waiting lists, etc. Applicants that cite local and regional employment trends will score higher than those who refer to national or statewide trends, and applicants that identify specific job reductions or system transformation affecting the training participants will score higher than those who refer to generalized threat of reductions or transformation. In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 2A.

2B. Impact of Need

For the need(s) which you identified in Section 2A for your project, identify specific results of this shortage. This may include, but is not limited to high caseloads/staffing ratios, delayed treatment/tests/lab results, etc. Describe sustainability used during this shortage. In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 2B.

2C. Impact of Proposed Project on Identified Need(s)

Describe how the proposed project will address the identified need. In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 2C.

2D. Impact of Project on Participants

Provide specific examples of how the proposed project will impact the participants subsequent to completion of training. This can include receiving a promotion, new job title, salary increase, maintain their current job if facing reductions, acquire a new position that has been created as a result of system transformation, or acquire new skills which will enable them to better perform their current position. In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 2D.

2E. Workforce Shortage

If the proposed training will result in an increase in the supply of any of the following disciplines, identify which discipline: Clinical laboratory technologists; Registered Nurses; Licensed Practical Nurses; Medical Hospital Coders; RN Care coordinators; Certified Nursing Assistants; Nurse Practitioners; Psychiatric Nurse Practitioners; Nurse Managers/Directors; Physician Assistants; Licensed Masters Social Workers; Licensed Clinical Social Workers; Minimum Data Set Coordinators; Home Health Aides; Emergency Medical Technicians and Paramedics; Physical Therapists; Occupational Therapists; or Diagnostic Medical Sonographers.

Section 3: Capability and Commitment of the Applicant to Implement the Project (Maximum Score: 20 points)

3A. Description of Capability

Describe the applicant's ability to train the target population, and upload letters of support from each collaborating or subcontracting organization that include the information required in Section III.C.2.a of the Request for Applications (RFA).

In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 3A.

3B. Description of Past Training Success

- 1. Describe the applicant's experience in conducting training projects, including projects previously funded by HWRI, either in the area being proposed or other areas, and demonstrate measurable outcomes for past training.
- 2. Include a description of any implementation challenges and why similar challenges will not occur for the proposed project. See Section III.C.2.b of the RFA for examples of measurable outcomes.

In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 3B.

3C. Project Completion

Identify the percentage of participants who will complete training within the project period. Applicants who have a higher percentage of completing participants will score higher.

3D. Ability to Meet Contract Requirements

- 1. Describe how the project will be implemented within three months of contract execution, including all planning activities such as curriculum development, participant selection, or structuring the training to reflect the academic calendar.
- 2. Show that the organization's corporate structure is committed to the project and that there is an administrative structure that is adequate for the scope of the project, and include a brief description of staff responsible for the administration of the project and complying with contractual requirements.

In addition to the space provided in the Grants Gateway, applicants may upload one (1) additional page for section 3D.

3E. Labor Organization Support

Applicants whose project will train union workers represented by labor organizations should upload letters of labor union concurrence from relevant bargaining agent(s) or, if there are no labor organizations representing the proposed participants at the health care facilities, state such fact. In addition to the space provided in the Grants Gateway, applicants may upload three (3) additional pages for section 3E.

Section 4: Training Strategy (Maximum Score: 20 points)

4A. Selection of Participants

Explain in detail the process to select training participants as well as any other start-up activities such as curriculum development and the use of an assessment tool or process.

4B. Proposed Curriculum

Describe the proposed curriculum and how it provides participants with the skills that meet the employers' needs. Include if the curriculum is newly developed, successfully used for prior trainings, or an enhanced version.

4C. Length of Training

Describe the length of training, its appropriateness for the curriculum being presented, and how it will provide the targeted skills to result in job placement or retention.

4D. Plans to Monitor Participants

Identify methods that will be used to monitor the progress of training participants while in training, including any mentoring, tutoring or counseling to be provided. Identify what actions will be taken if participants are not meeting training expectations.

4E. Placement of Participants

List the resources made available to newly trained participants that will assist them to be placed in to new positions and/or titles. Provide successful placement percentage rates.

Section 5: Work Plan and Performance Measures (Maximum Score: 15 points)

In the Grants Gateway format, provide a detailed overview of the project objectives, tasks and performance measures that are consistent with the objectives of the RFA. Please refer to Attachment 5 for a snapshot of entry instructions for the work plan. The work plan should identify:

5A. Objectives, Tasks and Deliverables

Insert the objectives, tasks and performance measures that will be achieved during the length of the project.

5B. Timeline

Include a timeline, within each task, for initiating and completing the task that can be assessed for reasonableness.

5C. Performance Measures

For training projects focused on upgrading or enhancing skills, such performance measures should, at a minimum, identify the number of participants who will enter training, the number who will complete training, and the number who will be hired or retained after successfully completing training.

For projects involving the expansion of educational capacity projects, such performance measures should include, at a minimum, the number of current slots, the number of qualified candidates turned away, the number of slots to be created by the expansion, and the number of participants who will enter and complete training as a result of the expansion.

Successful applicants may be asked to modify work plans prior to initiation of the contract to address issues identified during the review process and the amount of funding awarded.

3. Cost Proposal (Maximum Score: 25 points)

For **Year 1** of the project, applicants will be required to:

 Complete the expenditure-based budget template in the Grants Gateway, which includes amounts requested for each budget line and a narrative justification of the purpose of each budget line and how it was derived. The narrative justification must reflect the figures on each of the budget lines. There should not be any discrepancies between the budgeted line amount and the budget narrative.

For **Year 2** of the project, applicants will be required to:

- Complete the Year 2 Budget Forms and Two Year Total Budget Summary Form located in the Pre-Submission Uploads section of the Grants Gateway (Attachment 4); and
- Be sure to include the budget justification detailing how the applicant arrived at each of the budget lines included in the Excel spreadsheet. The narrative justification must reflect the figures on each of the budget lines. There should not be any discrepancies between the budgeted line amount and the budget narrative.

Separate budgets are prepared and submitted for each year of the contract (Year 1 & Year 2). Funds for each year are discrete and any residual funds from one year cannot be rolled over into the following year.

All costs must be related to HWRI contractor activities, and adhere to the following guidelines:

- a. Two-year budget totals must not exceed the maximum regional award amount as identified in Table 2 on page 4 of the RFA.
- b. The amount requested in each budget year should be reasonable and cost effective, relate directly to the activities described in the application, and be consistent with the scope of services outlined in the RFA.
- c. Eligible costs include, but are not limited to:
 - i. Personal Services
 - 1. Salary and Fringe for the following types of personnel:
 - a. Project Director
 - b. Support Staff
 - c. Training Coordinator
 - d. Grant/Fiscal/MIS Staff
 - e. Training Assessment Staff
 - f. Instructors
 - g. Curriculum Developer
 - h. Counselor
 - ii. Non-Personal Services
 - 1. Contractual Expenses (which may include curriculum development costs only for the initial curriculum developed prior to the start of training)
 - 2. Travel/Transportation for training participants only
 - 3. Equipment

- 4. Space/Property Expenses
- 5. Operating Expenses
 - a. Tuition/Fees
 - b. Lost Staff Time for the cost of replacement staff only
 - c. Subsidies to Offset Wage Reduction or UIB
 - d. Training Supplies/Equipment
 - e. Transportation
 - f. Training Space Rental
- 6. Other
- d. Ineligible costs include:
 - Instruction and tuition requested for the same participants. Applicants may request either tuition for training or contractual services for instruction, not both.
 - Lost Staff Time that exceeds the number of hours in training. Lost staff time is the
 additional operating expense the organization experiences for replacing a regularly
 scheduled staff person while that staff person is in training. This can be either
 wages paid to hire an agency worker or additional hours for regularly scheduled
 staff who work beyond their regularly scheduled hours.
 - Travel for trainers.
 - Wage Subsidies that exceed the number of hours in training. Wage Subsidy is
 provided to pay for the hours an employee spends in long term training, e.g. an
 LPN who normally works a 40-hour week and is in training 10 hours/week can
 receive a wage subsidy for 10 hours/week
 - Overtime for training participants
 - Fringe benefits for Lost Staff Time or Wage Subsidies
 - Dependent Care request while participant is in training during normal work hours
 - Professional licensure fees (examination fees to obtain the professional license are eligible)
 - Purchase of major pieces of depreciable equipment, or remodeling or modification of structures.
 - Instruction costs related to in-service training, with the exception of new mandates required by laws enacted since January 1, 2016.
 - Payment for meeting space owned by the applicant or space at facilities not owned by the applicant but where training participants are employed (e.g., member facilities of a trade association)
 - Professional licensure fees.
 - Promotional/marketing/advertising costs.
- a) All budgeted positions should be consistent with the proposed services. The budget justifications must delineate how the percentage of staff time devoted to this initiative has been determined, provide a detailed description of role, responsibilities and experience, and describe how the staffing structure will support the activities of the proposed project. For partially funded positions, the percent effort being requested should be reasonable for the responsibilities being proposed in the project.

The budget justifications will not be used in scoring the application, but will be used for determination of eligible costs.

- b) All subcontracting or consultant arrangements should include the contractual amounts and methodologies.
- c) Budgeted items should be justified and fundable under state and federal guidelines.

- d) Funding requested for administrative and management costs should adhere to the following guidelines:
 - i. Indirect overhead costs are limited to a maximum of 10% of total direct costs.
 - ii. Administrative costs (including indirect costs) are limited to a maximum of 15% of each year's budget.
 - iii. Funds requested may NOT be used to supplant resources supporting existing services or activities.
 - iv. Ineligible budget items will be removed from the budget prior to contracting.
 - v. Ineligible items are those determined by Department personnel to be inadequately justified in relation to the proposed project or are not fundable under existing state and federal guidance (OMB circulars). The budget amount requested will be reduced to reflect the removal of the ineligible items.
 - vi. Funding may support a portion of the overall organizational structure to an extent that it allows the funded applicant to implement project activities. This includes funding for administrative staff, supervisors and support personnel, and other-than-personnel costs such as a share of space, supplies, telephone, basic equipment such as computers and printers and other expenses associated with project implementation and service delivery.

Any ineligible budget items will be removed from the budget prior to contracting. The budget amount requested will be reduced to reflect the removal of the ineligible items.

It is the applicant's responsibility to ensure that all materials to be included in the application have been properly prepared and submitted. Applications must be submitted via the Grants Gateway by the date and time posted on the cover of this RFA. The value assigned to each section is an indication of the relative weight that will be given when scoring your application.

B. Freedom of Information Law

All applications may be disclosed or used by DOH to the extent permitted by law. DOH may disclose an application to any person for the purpose of assisting in evaluating the application or for any other lawful purpose. All applications will become State agency records, which will be available to the public in accordance with the Freedom of Information Law. Any portion of the application that an applicant believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the application. If DOH agrees with the proprietary claim, the designated portion of the application will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

C. Review & Award Process

Applications meeting the guidelines set forth above will be reviewed and evaluated competitively by the New York State Department of Health. Applicants failing to provide all response requirements or failing to follow the prescribed format may be removed from consideration or points may be deducted.

1. Eligibility Review

Two reviewers will perform a separate initial review of All applications to ensure that each application meets the minimum eligibility requirements. A pass/fail criterion will be applied during the eligibility review. An application must pass all of the minimum requirements to advance to the next level of review and scoring. If the application fails a minimum requirement there will be no further review of

the application and applicant will not be considered for funding.

Applications that have passed the eligibility review will be reviewed and scored competitively within the region in which funding is requested. See Table 1 on page 2, Section 1.B., for a listing of regional funding levels and counties included in each region. The region is defined by either the facilities with workers to be trained or the county of residence for laid off workers to be trained. Applicants proposing to train workers from more than one facility where those facilities are in different regions must submit separate applications for each region.

Separate teams will review the Technical and Cost Proposals.

2. Technical Evaluation

Applicants most likely to be selected for funding will be those that best address the following technical criteria, for up to 79 points:

- Need for Training (maximum 24 points)
- Capability and Commitment of the Applicant to Implement the Project (maximum 20 points)
- Training Strategy (maximum 20 points)
- Work plan and Performance Measures (maximum 15 points)

3. Cost Evaluation

Applicants most likely to be selected for funding will be those that present a budget that, within a training length category and region, has the lowest cost, for up to 25 points.

A cost evaluation team will evaluate each proposed project in its proposed region. The evaluation will be totally independent of the technical proposal evaluation; the cost evaluator will not participate in the review of the technical proposal.

Each project will be assigned to a Training Length Category as defined in Table 3, and a cost score will be computed for each training length category in each region.

For example, all projects proposing to a training length program of non-college long term training (training length category 3) in Western NY will be rated against all other non-college long term training projects in Western NY only. The cost scores are calculated based on the cost per participant over the life of the request. For a two-year project, this will be the full two-year cost divided by total number of trainees trained during the two years. For a one-year project, this will be the full one-year cost divided by total number of trainees trained during the one year.

Cost Evaluation Score = (a/b)*25 where:

a = Lowest project per participant cost within the region and training length category; and
 b = Cost per participant within region and training length category for the project being scored.

	Table 3					
	TRAINING LENGTH CATEGORY					
1	Non-college short term training	4-30 hours				
2	Non-college mid-term training	31-70 hours				
3	Non-college long term training	>70 hours				
4	Short term college training	1 year				
5	Long term college training	> 1 year				

4. Total Score

The technical and cost scores for each project and region will be summed for each reviewer for each project in each region, and an average total score will be calculated. Projects with an average total score of 75 or above (passing score) may receive an award up to the amount requested for eligible costs up to the maximum regional award amount (Refer to Table 2 on page 4 of RFA). Awards will be made for applications with passing scores until the maximum funding amount for each region is exhausted. If less than the requested amount is available in any of the regions, the application with the next highest passing score, will be *offered* an award equal to the remaining available funds. If accepted, the awardee's proposed services will be adjusted accordingly.

Applications with minor issues (missing information that is not essential to timely review and would not impact review scores) MAY be processed, at the discretion of the State, but all issues need to be resolved prior to time of award. An application with unresolved issues at the time award recommendations are made will be determined to be non-responsive and will be disqualified.

In the event of a tie score, the scores from Section V. Completing the Application, 2. Program Specific Questions; Section 2. Need for Training will be used to break the tie. If a tie still exists, scores from Section V. Completing the Application; 2. Program Specific Questions; Section 5. Workplan and Performance Measures will be used to break the tie.

If the applicant has previously been awarded HWRI grant funding and did not successfully complete the proposed project per the Department's satisfaction, the applicant will not be eligible to receive funding under this RFA.

If additional funding becomes available, prior to awards being made, the maximum funding level by region and the maximum award amount by region will be increased proportionately and funding will be awarded in the same manner as outlined in the award process described above.

Applicants will be deemed to fall into one of three categories: (1) approved and funded 2) approved but not funded due to resource availability, and 3) not approved/not funded. Approved but not funded applications may be funded should additional funds become available.

5. Debriefing Requests

Once an award has been made, applicants may request a debriefing of their application (whether their application was funded or not funded). Please note the debriefing will be limited only to the strengths and weaknesses of the subject application and will not include any discussion of other applications. Requests must be received no later than fifteen (15) business days from date of award or non-award announcement.

To request a debriefing, please send an email to Susan Mitnick at HWRI2019@health.ny.gov In the subject line, please write: **Debriefing Request - HWRI 2019**

In the event unsuccessful applicants wish to protest the award resulting from this RFA, applicants should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found on the OSC website at http://www.osc.state.ny.us/agencies/quide/MyWebHelp. (Section XI. 17.)

VI. Attachments

Please note that certain attachments are accessed in the "Pre-Submission Uploads" section of an online application and are not included in the RFA document. In order to access the online application and other required documents such as the attachments, prospective applicants must be registered and logged into the NYS Grants Gateway in the user role of either a "Grantee" or a "Grantee Contract Signatory".

Attachment 1: Application Cover Page*

Attachment 2: Vendor Responsibility Attestation*
Attachment 3: Project Implementation Attestation*

Attachment 4: Year 2 Budget Forms*

Attachment 5: Gateway Work Plan Instructions

Attachment 6: Minority and Women Owned Business Enterprise Forms (Optional)*

^{*}These attachments are located/included in the Pre-Submission Upload section of the Grants Gateway on line application.

ATTACHMENT 5

Gateway Work Plan Instructions

Please refer to Section 6.2.10.2 – Grantee Defined Work Plan of the Grantee User Guide (available at: http://grantsreform.ny.gov/Grantees and clicking on "Grantee User Guide" in the Quick Links Menu) for instructions on how to complete the Work Plan.

Below is a guick summary on completing the on-line Work Plan:

- Click on the Work Plan Overview Form and complete all the mandatory fields. All the fields on the Work Plan Overview form are mandatory. Be sure to Click on the SAVE button after all information is entered.
- Click on the Objectives link to enter an Objective for this project. Be sure to Click on the SAVE button after all information is entered.
- After you save the Objective, hover over the Forms Menu and click on the Tasks link to enter task(s) for the Objective you created. Enter all the required information and click on the save button on the Tasks screen.
- Hover over the Forms Menu and click on the Performance Measure link to enter Performance Measure(s) for the Task(s) you created.
- Enter all the required information and click on the save button on the Performance Measure screen.
- Once one set of Objectives, Tasks, and Performance Measures are complete, you can add a second (or more) set. Click on the Add Button. Note: The system will allow adding more than one objective if not restricted by Funding Agency.
- Once a second set is created, you can toggle between the two to work on them by clicking the dropdown with the Go button (this will appear after the second set is created).