GOSR-RFI-2022-01 – REQUEST FOR INFORMATION: Case Management Software Solution
HOUSING TRUST FUND CORPORATION
GOVERNOR'S OFFICE OF STORM RECOVERY

Questions Due Date: December 7th, 2022 - 2:00 PM EST

Question #1: **Whether companies from Outside USA can apply for this? (like, from India or Canada)**

Answer #1: This is an RFI and will not be used to enter into a contract. All requirements, including resourcing and subcontracting requirements, will be defined in subsequent RFPs, if applicable. However, pursuant to §165(6)(d) of the State Finance Law, state agencies and public benefit corporations shall not enter into a contract with a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York businesses, as contained on the list prepared by the Commissioner.

Question #2: **Whether we need to come over there for meetings?**

Answer #2: Virtual is acceptable; however, we would request you to come in potentially for complex working session.

Question #3: **Can we perform the tasks (related to RFP) outside USA?**
(like, from India or Canada)

Answer #3: See response to Question #1

Question #4: **Can we submit the proposals via email?**

Answer #4: Yes, please refer to Section IV. Submission Instructions of the RFI.

Question #5: **Is there an existing Case Management solution? If so, what technology does it use?**

Answer #5: We do have an existing system; however, it is outdated. We cannot name the current technology.

Question #6: **Is there a challenge you are looking to overcome or a problem you want to solve in the new Case Management system?**

Answer #6: Please see RFI description.

Question #7: **Is there an estimated timeline/budget for completion?**

Answer #7: No.

Question #8: **Will GOSR accept a remote/telework vendor?**

Answer #8: Yes.

Question #9: **What population is the intake for, (for example. Housing or business or both)**

Answer #9: Immediate program use will be for Tenant applicants (400) and Homeowner applicants. However, in the future we have a potential need for small business, and municipal/local government applicants (I.e.,Subrecipients), etc.

Question #10: **What are the services that are being offered?**

Answer #10: Both direct (e.g., housing) and indirect benefit programs (community reconstruction).

Question #11: **Are you upgrading the current system and automating the different forms that are in use?**

Answer #11: The RFI is being used to determine *if* we will upgrade existing system or move to a new system.

Question #12: **Do you currently convert the forms to different languages? and if so, is it being done manually or automatically, (is it Software Conversion).?**

Answer #12: No, we do not; however, we will need to do so in the future.

Question #13: **Where can we find the correct forms to use for the Certification Regarding Lobbying, and the Respondent Overview and Certification?**

Answer #13: Please see Attachment A and Attachment B of this Addendum.

Question #14: **The Respondent Overview & Certification form (which we need to review and sign) is not attached to the RFI. Where can we find it?**

Answer #14: Please see Attachment B of this Addendum.

Question #15: Do the signed Respondent Overview & Certification and Certification Regarding Lobbying forms count as 2 pages of the 20-page limit?

Answer #15:   No.

Question #16: Can the State provide an overview of the current Case Management System covering points areas such as key modules, technology stack, data exchanges, existing interfaces (with details) etc.

Answer #16: We cannot at this time release proprietary information regarding existing system.

Question #17: Who are the different types of end users of the Case Management system? Can you specify the approximate number of end users?

Answer #17: End users will be primarily applicants, case managers, compliance officers, auditors, and financial analysts. Potentially 20-100 internal case managers. Applicant numbers will vary but can be in the thousands.

The immediate use will be for the IDA program:

- 400 Tenants - Renters Resilient Housing Incentive
- 262 Homes – IDA Housing Recovery and Reimbursement

The system will need to be scalable and predominant users will be applicants and case managers. There will be varied levels of case managers, which will vary based on view allowance and saving rights, depending on where in the process a file may be. There can be thousands of applicants utilizing the same and there may be thousands of program users that will utilize the system, albeit not at the same time, but through the life cycle of the program.

Question #18: Does the current system have any challenges which the State would like the new system to address?

Answer #18: See RFI for description of needs – this provides a baseline understanding of capabilities that will help resolve challenges.

Question #19: Can the State specify a tentative timeline by which it can provide response to the vendor's questions?

Answer #19:   HTFC/GOSR will answer all questions submitted by the deadline as soon as practicable.

Question #20: Does the State have preference towards any specific Font Type for the response?

Answer #20: Arial, 12 pt.

Question #21: Does the State expect the response in a specific format - e.g. Word, PDF, etc.?

Answer #21: Responses should be submitted in PDF format.

Question #22: The current page limit of 20 might prove insufficient to cover all the areas expected in the response? Is the State willing to provide any relaxation to the page limit?

Answer #22: No. However please refer to the question asking if the signed Respondent Overview & Certification and Certification count toward the 20-page limit.

Question #23: Respondent Overview & Certification - is missing as part of RFI solicitation. Please provide the necessary forms

Answer #23: Please see Attachment B of this Addendum**.**

Question #24: Certification Regarding Lobbying - is missing as part of RFI solicitation. Please provide the necessary forms

Answer #24: Please see Attachment A of this Addendum.

Question #25: Under SECTION II. Implementation and Post-Implementation Information - the last point
> "Previous Work: Describe similar grant management system implementations, including scale and state/local government client (if feasible)."
> Do you expect the Respondent to have experience in Grant Management system for Housing Development or Grant Management or Benefit / Subsidy Programs for any other areas (e.g. Research, Education, Child Care, Healthcare, etc.)?

Answer #25: The needs of the software are only as stated in the RFI. Currently (Research, Education, Child Care, and HealthCare are not part of the requirement.)

Question #26: Is there a specific timeline (tentative) the State has for the DDI and Go-Live of the new Case Management solution?

Answer #26: 9 to 15 Months or sooner if applicable.

Question #27: Does the State prefer the Case Management System to be Cloud-based or On-prem? In case of Cloud-hosted, do you have any preferences towards a cloud Provider - Azure or AWS or GCP?

Answer #27: Solution can be cloud based but will require appropriate security solutions in place as well as ability to back up data to internal NYS government systems. Preference is Azure but open to others. Please note we use primarily a Microsoft stack.

Question #28: Does the State have any preference towards any technology stack or has made investments in a technology which it would like the vendor to leverage while building the solution?

Answer #28: NY State leverages Microsoft products (SQL, 365, Azure, etc.).

Question #29: Can the State let us know tentative budget for the modernization initiative for Case Management system?

Answer #29: No.

Question #30: Can the State specify what licenses, certifications, and registrations are required to do business in New York state? Will these be needed at the time of submission of the RFI?

Answer #30: This is not a contract opportunity; therefore respondents are not required to have licenses or certifications in order to submit information. If a subsequent RFP is issued, requirements will be included in the solicitation.

Question #31: The Supplemental Materials sub-section mentions the following -
> **"Respondents are responsible for including all pertinent product data in the returned Response package. Literature, brochures, data sheets, specification information, completed forms requested as part of the Response package and any other facts which may affect subsequent contract award should be included."**
> **Is there any limit on the number of such supporting documents and the number of pages each should have??**

Answer #31: There is no page limit to pertinent product data.

Question #32: Are we allowed to use subcontractors for implementation at the RFP stage. Will there be any preference/ weightage given if we partner with any MBE/ WBE company?

Answer #32: Yes, we encouraged to partner with MWBEs, Section 3s, and SDVOBs, however, this is an RFI and partnerships will be considered at the RFP stage.

Question #33: Do you need the software to accommodate all the languages referenced in section A – Application Intake on page 7 upon go live?

Answer #33: The various languages can be rolled out over time.

Question #34: What level of ADA compliance do you require?

Answer #34: NYS has a goal of 90% compliance with the Web Content Accessibility Guidelines

("WCAG")2.0 A and AA standards https://www.w3.org/WAI/WCAG21/quickref/

This is IT Accessibility policy: https://its.ny.gov/system/files/documents/2022/10/nys-p08-005_accessibility_of_information_communication_technology.pdf

Question #35: How many users would need access to the system?

Answer #35: End users (customer/client/recipient) can be in the thousands of applicants. Case managers can be 20-200 or more**.**

Question #36: Will this solution provide new capability to NYS or will it replace an existing process?

Answer #36: Replace existing.

Question #37: Are the integrations mentioned one way or bi-directional integrations?

Answer #37: Some are one way some are bi-directional

Question #38: "Enable agency to applicant and applicant to agency communication"
          - Will this require live communication via chat/phone or email/notifications?

Answer #38: Minimum email/messages; however, additional features are welcome.

Question #39: "Enable agency to conduct payment processing and tracking"
          1) Are you currently using a payment system, or will this be new functionality? 2) Does this feature relate to the actual processing of payments through a Credit Card Transaction, etc, or does this mean that you want the new system to be able to orchestrate and track the processes of managing a procurement process through your organizations existing internal procurement department controls?

Answer #39: Payments are all ACH or check. We need a system to track the outgoing and incoming payments as well as integrate with banking systems to confirm transactions.

Question #40: How is your Customer Service department organized? (Organizational structure, different groups, their geographic location and hierarchy)

Answer #40: The organizational structure for managing customer service in the future-state is still to be determined. GOSR anticipates a need for:

System Administrator – able to build/edit pages

Department Lead – should have access to build/review reports and review all pages and overwrite information if necessary

Case Manager Lead – should have access to build/review reports and review all page

Case Manager – should have access to review/save assigned pages

Verification of Benefits Specialist – will have access to specific pages

AFWA Specialist - will have access to specific pages

URA Specialist - will have access to specific pages

IMA Specialist - will have access to specific pages

Recapture Specialist - will have access to specific pages

File Reviewer - will have access to only view specific pages

Question #41: Do you rely on or seek help from teams outside of your department to resolve customer issues?

Answer #41: All customer service issues and communications are managed internally including technical issues. However, if we need help solving a client technical issue, we expect assistance from vendor if we can't resolve it ourselves.

Question #42: Are your agent's responsibilities divided? If so, how many levels?

Answer #42: There are generally two to three levels of case managers.

Question #43: Are there any data migration needs into the new system? If so, where would they be coming from and roughly how many records?

Answer #43: There may be a need for a migration, but it is not currently an absolute requirement.

Question #44: Are there any controls around visibility of cases based on the Business Location where Customer Service is being delivered OR should a customer be able to discuss a case with an agent at another location or with a centralized service desk?

Answer #44: We have not determined this and would need to work with the vendor to determine appropriate access and permissions.

Question #45: What information do agents need to determine whether a customer is entitled for a support and level of support?

You can set up different entitlement management models, each with different levels of detail. In general, there are two different entitlement models, out of which you can choose anyone that best matches business needs –

Entitlement Only

Entitlement + Service Contracts

Would you like to implement rules to automatically identify appropriate entitlement based on predefined criteria.

Answer #45: Potential applicants will apply to the program; and, based on policies for the specific program a determination is made as to qualification. If this could be automated, we would welcome the option. All applicants are entitled for support and majority of LMI applicants require support to process their files.

Question #46: What methodology do you follow to assign cases to Support Agents?

Answer #46: To be determined.

Question #47: Do you plan to leverage Machine Learning capabilities to automatically categorize, prioritize, and route cases?

Answer #47: Although not a requirement we would be interested in seeing the possibilities.

Question #48: Should customers be able to create cases via an email channel?

Answer #48: If the feature were available and the feature made sense with planned customer service strategy (TBD), then we would consider using the feature.

Question #49: Are you looking to integrate to a current telephony system?

Answer #49: No but it would be a good option to have.

Question #50: Conversational messaging allows customers to seamlessly connect with an organization using Text / SMS messages. Do you wish to enable conversational messaging?

Answer #50: We are open to it.

Question #51: Response Templates captures canned messages which can be used by service agents while working on the Case. Do you wish to configure "Response Templates"?

Answer #51: We are open to that option but not a key requirement.

Question #52: Will training be required? (Functional platform training, Personal training…etc.)

Answer #52: Yes

Question #53: Will OCM be required for this implementation?

Answer #53: This would be a good capability to have but not currently an absolute need.

Question #54: Please briefly describe reporting/dashboard needs

Answer #54: What are our current IG reporting needs? Customized reports based on individual fields/tables. Reports will vary in size and should be scalable for various users. Can size for a few cells to thousands.

Question #55: Would you like for Knowledge Bases to be included in this implementation?

> **If "Yes" to previous question:**
> **- How do your users access available knowledge today?**
> **- Please name all the systems from where knowledge is available.**
> **- If many, is that part of the problem?**
> **- What are the goals (i.e., to get a single system of record / knowledge).**
> **- Do you have a need for multiple knowledgebases (i.e., IT, Social Q&A, HR)?**

Answer #55: We would want a single knowledge base that allows us to limit the audience through roles (I.e., external applicant, internal case manager internal systems/IT)

Question #56: Application Intake: lists a requirement to run programs in one or more languages then references a table of 12 most common languages. Are all 12 in scope?

Answer #56: GOSR would need to have the front-end of the solution be fully operable in Spanish. The remaining languages could be added over time as program needs require.

Question #57: Third-party system integration: lists a requirement for GIS System integration. Does GOSR have a preferred GIS vendor i.e. ESRi?

Answer #57: Yes, ESRI.

Question #58: Applicant Payment: lists a requirement to conduct payment processing and tracking. Is GOSR looking for a payment processing solution or is this related to the NY State Infrastructure integration requirement inclusive of Finance and Contract systems already in place?

Answer #58: GOSR currently has a payment processing solution; however, if a vendor has a potential solution, we are open to consideration.

Question #59: Will there be a need for a CMDB creation or remediation?

> **IF "YES" TO CMDB**

Are you interested in using a Discovery tool? If no/not, what will be your source(s) for your configuration items (CI)? Please include any details about cloud infrastructure you have (i.e., AWS, Azure, Google Cloud, VMware, IBM, Rackspace, et al.).

Provide counts and descriptions of the configuration items (CI Classes) you need in your CMDB (i.e., datacenters, servers (physical/virtual), software assets, or other configuration item classes that you need to have discovered and maintained)?

Do you have any integration and migration requirements? This would be for the purposes of continual configuration item (CI) population (integrations) or one-time imports (migrations).

Do you require "baselines" of your configuration items? ServiceNow allows you to create a baseline, which is a snapshot of your configuration items. You can review the changes that have been made to that configuration item since a previous baseline.

Answer #59: This is a question that can be discussed during the technical analysis

Question #60: Does GOSR have a requirement as to whether the solution is SAAS or Self-Hosted

Answer #60: If the vendor passes data security standards, then it is feasible to consider SAAS; otherwise, self-hosted would be needed. The agency requires all data to be backed up on GOSR's internal servers.

Question #61: The RFI states that "a Respondent's entire response must not exceed 20 pages total". Does this include both the *Certification Regarding Lobbying* and *Respondent Overview & Certification* forms?

Answer #61: No.

Question #62: Where can vendors locate the *Certification Regarding Lobbying* and *Respondent Overview & Certification* forms?

Answer #62: Please see Attachment A and Attachment B of this Addendum.

Question #63: Has GOSR received any presentations, software demonstrations, and/or estimates/ quotes related to this project and, if so, from whom?

Answer #63: We cannot provide that information.

Question #64: What case management software does GOSR currently use for its needs described in the RFI?

Answer #64: We cannot disclose that information at this time.

Question #65: Please confirm if we can add annexures for case studies, company Capability which will not be part of the main response which will be 20 pages

Answer #65: This is okay.

Question #66: While we are proposing the industry's best CRM solution for you, does GOSR have a preferred CRM solution, PaaS, or SaaS.

Answer #66: We are open to either, however, for PaaS, we would require the appropriate support to build solutions.

Question #67: Please name the current legacy Case Management system that GOSR is using today?

Answer #67: This information will not be provided. However, contracts previously entered into by GOSR can be located on GOSR's website at: Contracts | Governor's Office of Storm Recovery (GOSR) (ny.gov).

Question #68: Does GOSR require management of Grants funding Approve/Reject processes as well?

Answer #68: Yes

Question #69: Please confirm if GOSR is involved only after the fund is approved?

Answer #69: Question unclear.

Question #70: Are you expecting the solution to have only contract (entitlement) based case management?

Answer #70: The solution should be flexible enough to respond to many case management needs using a range of contract/funding vehicles. Program can bid and award to multiple case management vendors.

Question #71: How is GOSR storing all the documents? Is there any external Document Management system in place or is the preference to store in the platform solution?

Answer #71: Preference is to store inside the platform solution

Question #72: Is there a need for data migration to the new case management system from legacy systems?

Answer #72: Potentially.

Question #73: Please share the list of boundary/external systems that the new system needs to integrate with.

Answer #73: The boundary/external systems are still being determined but will include a range of systems - audit, compliance, financial management, banking, business Intelligence - and other third-party data integrations (e.g., State and Federal Data Sources).

Question #74: How many applications/cases are received per year?

Answer #74: This is highly variable based on potential disaster relief needs/efforts but could reach the thousands.

Question #75: How many applications/cases are received per year?

Answer #75: This is highly variable based on potential disaster relief needs/efforts but could reach the thousands.

Question #76: Can you please share the detailed business process that GOSR staff follows after an applicant has submitted the application on the portal

Answer #76: We are unable to do so, however, the solution will require flexible workflows for each program.

Question #77: Does GOSR users need to access the case system through mobile app/browser?

Answer #77: The majority of internal GOSR users will access the system via their laptops. Applicants should have mobile access.

Question #78: Does GOSR require any live chat functionality to be enabled to collaborate with the applicants?

Answer #78: We are open to this functionality.

Question #79: Does the system need to send (email) notification to the external users on application status?

Answer #79: Yes.

Question #80: What is the number of internal and external users expected for the system?

Answer #80: 20 to 200 - There should be an allowance for thousands of users, albeit they may not be utilizing the system at the same time. There can be upwards of thousands of applicants utilizing the system and a thousand internal staff utilizing the system over the course of the varied established programs.

Question #81: Does GOSR have any envisioned timeline for implementing the new system?

Answer #81: 9 to 15 Months or sooner if possible.

Question #82: Can you share the roles and different user profiles for internal users?

Answer #82: This would be determined during planning/requirements gathering efforts.

Question #83: What is the number of external users who will be using the portal & mobile application?

Answer #83: This is highly dependent on the number of applicants, which is highly variable based on disaster recovery needs; the number could be in the thousands.

Question #84: Please confirm the languages that would be considered for this project.

Answer #84: GOSR would need to have the front-end of the solution be fully operable in Spanish. The remaining languages could be added over time as program needs require.

Question #85: What is the payment system (gateway) that the CRM system has to integrate with to process the payment?

Answer #85: We have integrated with our banking provider to send/receive checks/ACH.

Question #86: Does GOSR currently utilize a contract management system for managing contracts/payments/etc.?

Answer #86: No.

Question #87: How do you alert staff that new application has been submitted?

Answer #87: Email

Question #88: Please confirm the period for which GOSR is looking for Customer Support?

   If Yes, is it 8x5, 20x5, 24x5 or 24x7?

Answer #88: On a regular basis 8x5 should suffice, however there may be periods where 24x7 will be necessary.

Question #89: Are there links to the required documents:

- **Certification Regarding Lobbying**
- **Respondent Overview & Certification?**

Answer #89:   Please see Attachment A and Attachment B of this Addendum.

Question #90: Does GOSR have an anticipated number of Caseworkers that will work with the program?

Answer #90: 20 to 200 - There should be an allowance for a thousand users, albeit they may not be utilizing the system at the same time. As varied programs are established, and through the course of the program, there can be various users that are given allowance, considering turnover and establishment of new programs.

Question #91: Can we get clarity around who the applicant is and what they are applying for?

Answer #91: Direct (e.g., housing applicants) and indirect benefit programs (e.g., infrastructure)

Question #92: Can GOSR further explain what is meant Objective C: Integration with NY State Infrastructure: Ensure the system can integrate with a Microsoft SQL environment

Answer #92: We have ancillary systems that are built using Microsoft SQL.

Question #93: RFI submission required for RFP participation?

Answer #93: No.

Question #94: Calendar of next steps post-RFI?

Answer #94: Still being determined.

Question #95: Contact vehicle preference??

Answer #95: Please refer to Section II. Purpose – this RFI is not a solicitation for proposals and will not be used to enter into a contract.

Question #96: Scoring used in evaluating this RFI?

Answer #96: This is an RFI, so there will be no scoring. Responses to this RFI will be used for informational purposes only.

Question #97: MBWE Requirements when submitting bid?

Answer #97: This is an RFI, so responses should not be considered as "bids". Additionally, there are no MWBE requirements associated with a Request for Information.

Question #98: Use of offshore (outside of US) resources permitted?

Answer #98: See response to Question #1.

Question #99: Liability requirements for contracting??

Answer #99: This is an RFI and will not be used to enter into a contract. All requirements, including liability requirements, will be defined in subsequent RFPs, if applicable.

Question #100: Software platform of solution preference: Vendor?

Answer #100: To be determined.

Question #101: Software platform of solution preference: sOn-Premises v Cloud?

Answer #101: Solution can be cloud based but will require appropriate security solutions in place as well as ability to back up data to internal systems. Preference is Azure but open to others. Please note we use primarily a Microsoft stack.

Question #102: Software platform selected before System Implementor selection?

Answer #102: We would seek for the software vendor to implement the solution; however, we would also have our project management and business analyst team members to oversee and support the implementation.

Question 103: What is your annual volume of applications and cases?

Answer #103: This is highly variable based on the grant management system needs.

Question #104: How many case types are processed by the agency?

Answer #104: This is highly variable based on the grant management system needs.

Question #105: Are there standard case processing steps or are there nuances per case type?

Answer #105: Majority will follow the standard but there will be nuances.

Question #106: Can you describe the approval process for applications?

Answer #106: An applicant must first be eligible and then there are several quality assurance steps to ensure data and documentation needs are met.

Question #107: How many employees do you have supporting your current applications and processes (e.g. application intake personnel, case managers)?

Answer #107: 150-200 There should be an allowance for a thousand users, albeit they may not be utilizing the system at the same time. As varied programs are established, and through the course of the program, there can be various users that are given allowance, considering turnover and establishment of new programs.

Question #108: What entities are submitting applications (e.g. individuals, businesses)? Do you need the ability to capture applicant information and associated details?

Answer #108: Both; and yes.

Question #109: What KPIs are used to measure application and case Service Level Agreements (SLA), if any?

Answer #109: Needs to be determined.

Question #110: Do you plan to use Knowledge Management as part of your Service strategy?

Answer #110: Yes.

Question #111: Do you currently use digital assistant (online chat) technology? Do you plan to in the future?

Answer #111: No.

Question #112: Do you have more than one Service Center?

Answer #112: We need to be prepared to have multiple.

Question #113: What is your biggest pain point today while servicing your customers?

Answer #113: System is outdated and inefficient navigation. Limited integrations. Not intuitive for customer user. Limited integration capabilities.

Question #114: What tools are used to manage all the business processes that are covered in the RFI (example: case mgmt., grant funding)?

Answer #114: Case Management, Compliance Monitoring, SharePoint, Access, etc.

Question #115: What do you want to accomplish with the customer portal (e.g. registration, self-service, application tracking)?

Answer #115: All the above plus document uploads. Potential for reporting based on customer data and track disbursements.

Question #116: What is the financial system that manages disbursements and grants?

Answer #116: Internally developed.

Question #117: Which non-governmental entities do we need to connect to?

Answer #117: Bank, financial system, compliance system, BI software.

Question #118: Regarding "Enable backend mass documentation upload", do you want a solution for curating the content after it has been uploaded?

Answer #118: We need to ensure documents uploaded via the backend, are loaded to the appropriate applicants' file.

Question #119: What is the volume of documents?

Answer #119: Unknown.

Question #120: Are we to connect to the NYS existing DocuSign solution?

Answer #120: This is not required, but the agency does use DocuSign, so this could be an optimal path forward.

Question #121: For application payment, is there a requirement to process payments to contractors and other third parties?

Answer #121: Yes.

Question #122: Will the payment process connect to the State's PeopleSoft Financial solution? or a different tool?

Answer #122: No. We are currently determining our financial solution.

Question #123: How will funds be dispersed? Plastic card, EFT or EBT?

Answer #123: ACH/Check.

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Attachment A – Certification Regarding Lobbying

CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents of all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Organization: _____

Street address: _____

City, State, Zip: _____

_____
CERTIFIED BY:(type or print)

_____
TITLE:

_____   _____
(signature)   (date)

Disclosure of Lobbying Activities
Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. **Type of Federal Action:**	2. **Status of Federal Action:**	3. **Report Type:**
a. contract ____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	a. bid/offer/application _____ b. initial award c. post-award	a. initial filing _____ b. material change **For material change only:** Year _____ quarter _____ Date of last report_____

4. **Name and Address of Reporting Entity:** ____ Prime _____ Subawardee Tier_____, if Known: **Congressional District, if known:**	5. **If Reporting Entity in No. 4 is Subawardee,** Enter Name and Address of Prime: **Congressional District, if known:**
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known:*	**9. Award Amount**, *if known:* **$**
10. a. Name and Address of Lobbying Registrant *(if individual, last name, first name, MI):*	**b. Individuals Performing Services** *(including address if different from No. 10a)* *(last name, first name, MI):*
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: _____ Print Name:_____ Title:_____ Telephone No.: _____ Date: _____
Federal Use Only	**Authorized for Local Reproduction** **Standard Form - LLL (Rev. 7-97)**

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Attachment B – Respondent Overview and Certification

RESPONDENT
OVERVIEW
Request For

Infomation

Respondent Organization Legal Name:

D/B/A (if applicable):

Address:

City, State, Zip,

County:

Contact Person:

Title:

Telephone

e: Fax:

E-mail:

FedID#:

Certified M/WBE: ___Yes ___ No   (if yes, include copy of New York State Certificate)

NYS Charities Registration No. (if not-for-profit)

Legal Status: _Corporation _ Partnership _ Not-for-Profit _ Other (Please specify), _____

Include evidence of filing of certificate if conducting business under an assumed name or as partner (i.e. Doing Business As) (General Business Law § 130)

RESPONDENT CERTIFICATION

Respondent certifies that to the best of its knowledge and belief, all information contained in this application is true and correct.

Authorized Signature: _____

Print Name: _____

Title: _____