



NEW YORK
STATE OF
OPPORTUNITY™

**Empire State
Development**

REQUEST FOR PROPOSALS FOR:

**Microsoft Dynamics
System Implementation Services**

**DEADLINE FOR PROPOSALS:
Friday, October 21, 2016 at 3:00 P.M. E.D.T.
(Late proposals cannot be accepted)**

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I. INTRODUCTION

The New York State Urban Development Corporation, d/b/a/ Empire State Development (“**ESD**”), is the State of New York’s chief economic development agency. The mission of ESD is to promote a vigorous and growing state economy, encourage business investment and job creation, and support diverse, prosperous local economies across New York State through the efficient use of loans, grants, tax credits, real estate development, marketing and other forms of assistance.

ESD is seeking to implement an agency-wide operational tracking information system that can, among other functions, serve as a centralized source for information on a given business, track the agency’s contacts and business communications, and facilitate more streamlined and automated reporting to internal and external customers (“**the Project**”). As part of the Project, ESD is issuing this Request for Proposals (“**RFP**”) in order to seek proposals for Microsoft Dynamics Implementation Services.

Each party that submits a response (“**Proposal**”) to this RFP is referred to herein as a “**Respondent**,” and the Respondent that is conditionally designated through this RFP process is referred to herein as the “**Selected Respondent**.”

II. SCHEDULE OF DATES

Release of RFP	Thursday, September 29, 2016
Deadline for Submission of Questions	Friday, October 7, 2016 by 11:59 p.m. EDT
Anticipated Date for ESD to Respond to Questions	Friday, October 14, 2016
Deadline for Proposals (date and time)	Friday, October 21, 2016 by 3:00 p.m. EDT
Interviews (if necessary)	October 31, 2016 – November 4, 2016
Notification of Successful Respondent	November/December 2016
Anticipated Contract Start Date	January 2017

III. PROJECT OVERVIEW

A. Project Goals

As the chief economic development agency of the State of New York, ESD administers a diverse variety of loan, grant, tax credit and other incentive programs designed to develop the state’s economy. Recently, ESD has identified a number of goals for improvement with respect to the information systems it uses to originate, manage, and report on the economic assistance programs that it administers. Examples of such goals include the following:

- Reducing staff time devoted to duplicative data entry processes;
- Facilitating greater data sharing among departments;
- Making it easier for more staff to develop and produce reports and dashboards;

- Retaining information in a central warehouse to improve “institutional memory”; and
- Tracking customers better as they flow through the ESD services lifecycle and obtaining a more comprehensive understanding of customers’ interactions with ESD.

B. Procurement Approach

In order to pursue these improvements, ESD is procuring the following:

- **Dynamics Adviser:** In September 2016, ESD retained RedBrick Technologies, LLC (“RedBrick”) to serve as a “Dynamics Adviser.” In this role, RedBrick will perform advisory services throughout the Project, including designing and overseeing the Dynamics system’s implementation, overseeing the Dynamics Implementer (described below), and providing end-user training. The scope of services to be performed by the Dynamics Adviser can be found appended to this RFP in Appendix B.
- **Dynamics Implementer:** The Selected Respondent under this RFP will serve as ESD’s “Dynamics Implementer.” The role of the Dynamics Implementer will be to perform the Scope of Services included in Section IV of this RFP, which pertains to the more time-intensive coding and system configuration work to be performed under the guidance of RedBrick and ESD.
- **Dynamics:** Building on an earlier IT Assessment, ESD has determined that the most appropriate software platform for the agency to implement is Microsoft Dynamics Online 2016 (“Dynamics”).

C. Project Background

ESD has adapted a mix of desktop applications and server-based platforms to support the growing complexity of its various economic development programs. The implementation of Microsoft Dynamics is intended to consolidate or integrate these technologies into one foundational platform. This platform will reduce siloes, promote data quality, provide transparency, streamline operations and enhance reporting capabilities.

In the first release of Dynamics, ESD will be focused on project tracking and the replacement of the **Project Tracking System (PTS)**. PTS was developed in-house using ASP.NET and SQL Server in early 2000; it has been in use for nearly sixteen years. The system is primarily (but not solely) used by the ESD Loans & Grants department, which manages the logistics, milestones, funding and documentation associated with ongoing projects. The system does have several integration points, which primarily support the growing demand for reporting and information. ESD has overcome the somewhat siloed nature of PTS by creating additional SQL server-based repositories, which source data to Access front-ends. The primary use of these Access interfaces is to support the organization’s demand for additional data collection and reporting. Once the core PTS functions have been implemented in the new system, ESD will begin consolidating these supplementary systems into Dynamics. Some features and functions that will become vital during this consolidation are the ability to expose web forms to clients for data collection, self-service reporting, and centrally tracked outbound communications.



ESD’s regional offices, which play a key role in originating new economic assistance projects, currently utilize both PTS and an online data collection and program application system called the **Consolidated Funding Application (CFA)**. The CFA is currently integrated with PTS via a central data store. When projects are awarded to applicants, they are pulled from the CFA and pushed to PTS, where project tracking activities begin. ESD plans to integrate the CFA with Dynamics, and the integration will be bi-directional. The CFA will remain as the primary system for regional offices and councils to accept and process applications for economic assistance programs. Other sales-type activities such as lead-to-client process tracking are done primarily using Excel. These vital business processes will be addressed by Dynamics once PTS is

successfully replaced.

Several additional groups within the organization will eventually move operations onto Dynamics. At this time there are no detailed requirements and the implementation order for these departments will be decided later in the Project.

To ensure a high degree of Project visibility and ensure that progress reviews are enforced early and often, ESD will be managing this Project using the Agile software lifecycle process. ESD requires that the Dynamics Implementer understand and follow this process. The Agile process as it will be implemented on this Project is detailed in Section IV.D, Project Approach. Team Foundation Services will be utilized as the application lifecycle management (ALM) tool for managing “Features,” “Stories,” “Tasks” (all as defined in Section IV.D) and releases associated with the Project.

Following the work of the Dynamics Implementer, the goal of ESD is to take over future development and maintenance of the Dynamics system. In support of this goal, ESD will place internal staff as contributing members of the development team.

As stated previously under Section III.B, Procurement Approach, ESD has hired RedBrick as a Dynamics Adviser to aid in collecting business unit requirements and managing the implementation process. RedBrick and ESD are currently starting the process of “Backlog” (as defined in Section IV.D) development in preparation for the first phase of work. A parallel approach will be taken in that RedBrick will focus on Backlog development to feed into each “Sprint” (as defined in Section IV.D) such that the Dynamics Implementer’s development team can

focus on Story development. As such, the Dynamics Implementer will need to work closely with RedBrick “Scrum masters” (as defined in Section IV.D) and product owners to make a complete Scrum team.

IV. SCOPE OF WORK

A. Scope Description

The responsibilities of the Dynamics Implementer shall include, but not be limited to the following:

1. Provide system customization and configuration resources;
2. Provide development resources capable of building complex plugins and workflows within the Dynamics framework;
3. Provide development resources capable of building complex integration processes (ESD has purchased Scribe to facilitate integrations with Dynamics);
4. Provide resources capable of report authoring; and
5. Provide functional testing focused on verification that the system works as desired.

At a minimum, in working with the Dynamics Adviser and Dynamics Implementer, ESD expects:

1. The PTS system will be fully replaced.
2. All PTS legacy data will be migrated into Dynamics.
3. All integration points will be fully functional, including, but not limited to:
 - a. Excelsior: Tracks job creation and project financials for organizations that have applied and received funding under this technology-specific assistance program;
 - b. Form Router: A software product that allows ESD to disseminate, receive, sign and track PDF forms for secure collection of data online;
 - c. CFA: Program application and approval tracking;
 - d. Portfolio Management: Tracks job creation for grants & loans; and
 - e. PeopleSoft: Financials via ingestion of export files.
4. All operational reporting requirements will be fully implemented. ESD currently has a significant number of reports that source data from PTS.
5. ESD’s International division has implemented Dynamics for tracking the operations of the division. This includes subjects such as funding sources, export assistance programs and financial assistance programs. All the functionality and data in this Dynamics system must be consolidated with the Dynamics system that will replace PTS.
6. Data stored within the system must be secured with access rights appropriately limited to authorized users. Access to the data by employees of the Selected Respondent or any other authorized third parties must be logged and auditable.

Ideally, the needs of several other departments and programs beyond the scope of PTS will be met by the end of this development period. The order and priority of these needs will be determined through the Agile process and fed into the Backlog.

ESD anticipates that the Dynamics Implementer team will work on the development of Stories for a period of nine months, or from approximately January 2017 to September 2017. During these

nine months, RedBrick will work continually to feed the Backlog with new Stories as the Dynamics Implementer works through the implementation of those Stories. In the event this schedule changes or ESD desires any additional work to be performed in connection with the Project, ESD may seek to amend and/or extend the contract with the Selected Respondent.

B. Project Resources

Respondents should submit Proposals which include an adequate amount of technical resources to complete the objectives and deliverables. The Dynamics Implementer's multi-disciplinary Project team should be composed of the following roles, each with the listed responsibilities:

1. **Dynamics Developer:**
 - a. Dynamics configuration and customization to include Entity fields, forms, business rules, views;
 - b. Development of both standard and custom workflows;
 - c. Development of web resources such as HTML pages, JavaScript and images; and
 - d. Development of plugins to support complex business processes.
2. **Integration Developer:**
 - a. Design bi-directional integration processes with the applications specified in Section IV.A of the RFP;
 - b. Extract and transform data from source systems into the appropriate import format for Dynamics;
 - c. Facilitate data cleansing which ensures the highest possible data quality is imported into Dynamics;
 - d. Develop the designed integration processes using Scribe; and
 - e. Test and validate the data and import processes.
3. **Dynamics Report Developer:**
 - a. Design reports and dashboards as described in user Stories;
 - b. Develop reports as designed using SSRS or PowerBI; and
 - c. Validate that reports produce accurate and verifiable results.

C. Project Deliverables

Associated with the scope are the following deliverables:

1. **System Implementation that Meets User Acceptance:** The Selected Respondent will be responsible for implementing a well-designed and complete system that includes all modules, integrations and functionality identified by ESD in the production environment. The implemented system will be accepted by ESD under the guidelines of the User Acceptance requirement, the process for which is defined in Section IV.D, Project Approach, under "Product Owner Sign-off."
2. **Security Plan:** Security of ESD data is critically important. As such, the Selected Respondent will provide a documented Security Plan outlining the policies and procedures necessary to ensure the security of the platform, its related infrastructure and all associated information. NYS Cyber Security Policies and Guidelines must be adhered to at all

times. They can be referenced here: <http://its.ny.gov/tables/technologypolicyindex>. Additional requirements regarding the expected Security Management Plan can be found in Appendix A to this RFP.

3. **Implementation of Interfaces:** Each interface will be fully functional and implemented in production. These interfaces are:
 - a. Excelsior: Tracks job creation and project financials for organizations that have applied and received funding under this technology-specific assistance program;
 - b. Form Router: A software product that allows ESD to disseminate, receive, sign and track PDF forms for secure collection of data online;
 - c. CFA: Program application and approval tracking;
 - d. Portfolio Management: Tracks job creation for Loans & Grants projects; and
 - e. PeopleSoft: Financials via ingestion of export files.
4. **Code Deployment and Promotion across Environments:** The Selected Respondent will be responsible for code deployment and promotion throughout ESD's environments. At a minimum, ESD would will utilize the following environments:
 - a. Development;
 - b. Test;
 - c. Training;
 - d. Staging; and
 - e. Production.
5. **Online User Guide:** The Selected Respondent will be responsible for developing an online user guide which will be accessible via the Dynamics help functions.
6. **Work Documentation:** The Selected Respondent will be expected to document Story design, hours worked and hours remaining for each Story that is worked.
7. **Documentation of Deployment Guidelines and Features:** The Selected Respondent will be expected to document deployment guidelines and processes for each Feature promoted to test, training and production.

D. Project Approach

The development process followed for the duration of the Project will be based on the Agile Scrum ("Scrum") process. The tool used to track Features, Stories and Tasks will be Microsoft TFS Online (<https://www.visualstudio.com/team-services/>). Log-ins to a Project-specific instance of TFS will be provided to all parties at ESD, RedBrick and the Selected Respondent engaged in this initiative.

The Scrum process is based upon a recurring two-week cycle of activities in which the Project team plans, builds, tests and deploys application Features. Each two-week cycle is called a "**Sprint.**"

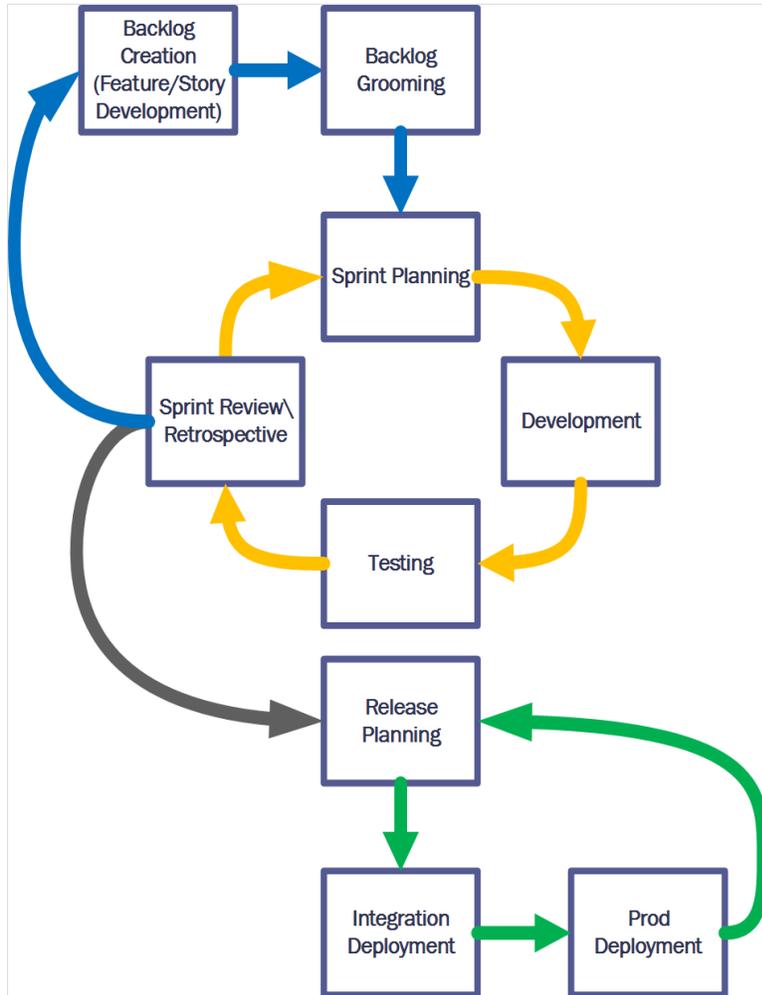
The body of work to be done is inventoried in a "**Backlog.**" This body of work is composed of:

1. **Features:** A Feature describes the application feature that is to be built. It is typically a general statement of the desired functionality. As an example: "Dynamics will have an organization tracking Feature which allows project managers to view a profile showing all programs, activities and communications associated with the organization."
2. **Stories:** Features are broken up into Stories. These Stories represent a subset of functional requirements needed to complete a Feature. Stories contain acceptance criteria, which are

very specific requirements that will be used by the Dynamics Implementer as a basis for configuration or development. These specific requirements are placed as “Acceptance Criteria” within the Story.

3. **Tasks:** Each Story will require several Tasks to complete. Tasks are activities such as design, configure, code and test work.

RedBrick will be assuming the role of “**Scrum Master,**” and, as such, will facilitate and manage this Scrum process. Within each Sprint, as shown below, RedBrick and the Selected Respondent will participate in:



1. **Backlog Grooming:** As previously detailed, a Backlog is a repository used to store the complete set of Features and associated Stories. This Backlog will be seeded with Features prior to the Dynamics Implementer’s commencement of work. RedBrick will be responsible for maintaining this Backlog with feedback from both ESD and the Dynamics Implementer. For every Sprint, there will be one Backlog Grooming session in which the Features and Stories slated for the upcoming Sprint are reviewed, estimated and refined before development. RedBrick will facilitate these sessions for the Project team.

2. **Sprint Planning:** Before a Sprint begins, a Sprint Planning Session will be held. These sessions are held for the purpose of planning the Stories that will be completed during each Sprint. This session requires a high degree of

involvement from the Dynamics Implementer’s development resources to determine how much can be done in the Sprint.

3. **Sprint Standup:** The Sprint Standup meeting is conducted daily. The meeting should last no more than 15 minutes. In the Sprint Standup, each developer states what they are working on and identifies any impediments that may prevent work from continuing.

4. **Development:** During the Sprint, the Dynamics Implementer will be conducting development activities in accordance with the Stories scheduled for completion during the given Sprint.
5. **Testing:** Once the developers complete a Story, they will be responsible for deploying the Story to a test environment. The Dynamics Implementer will then be expected to test the Story in the test environment.
6. **Product Owner Sign-off:** When the Dynamics Implementer has completed testing the Story, they will submit it for Product Owner Sign-off. RedBrick will review the Story, test that the Story meets the acceptance criteria and present it to ESD for sign-off. After the review ESD will have the opportunity to sign-off on the Story or introduce changes, which will be fed into the Backlog.
7. **Sprint Review and Retrospective:** This session will be held on the last day of every Sprint. During this session, the Project team will demonstrate the completed Stories to ESD. Once the review is done, the retrospective will be conducted. During the retrospective, the team suggests process improvements and recommendations for the next Sprint.
8. **Release Planning:** Release Planning is conducted with two goals in mind: The first is to determine which Features are ready for deployment to the production environment. The second is to discuss and schedule the deployment.
9. **Deployments:** Deployments will be conducted with both RedBrick and the Dynamics Implementer. During deployment, the Dynamics Implementer will deploy the agreed-upon Features to production and RedBrick will facilitate the Deployment as needed.

V. REQUIRED PROPOSAL CONTENTS

ESD reserves the right, in its sole discretion, to reject any Proposal that is deemed incomplete or unresponsive to the RFP requirements. ESD also reserves the right, in its sole discretion, to reject any and all Proposals for any reason or for no reason, and to proceed (or not proceed) with the Project (either by itself or in conjunction with one or more third-party(ies)) without completing this RFP process.

In evaluating the capabilities of the Respondent, ESD may utilize any and all information available (including information not provided by the Respondent). Proposals should clearly and concisely state the unique capabilities, experience, and advantages of the Respondent, and demonstrate the Respondent's capability to satisfy the requirements and objectives set forth in this RFP. ESD further reserves the right to ask additional written or oral clarifying questions to all Respondents or to a subset of Respondents.

The following are the submission requirements for all Proposals responding to this RFP. Proposals should not be longer than 100 pages of text. Please letter and number your Proposal sections exactly as the items are presented herein:

A. Respondent Information

In this section, the Respondent should include the following:

1. Description of Respondent background;
2. Organizational chart that includes and highlights all resources planned for this Project;
3. Description of Respondent areas of specialty, highlighting capabilities or solutions that are unique or noteworthy;
4. Description of notable past projects and successes;
5. Profile of the consultants\development personnel who will be assigned to this Project; and
6. Three references from prior Respondent projects.

B. Technical Approach

The three most important design considerations for this system are:

1. Promoting and maintaining good data quality while improving\automating processes and increasing visibility into the administration and overall outcomes of ESD projects;
2. Reporting on the data and extracting information from the system in an easy and expedient fashion must always be possible; and
3. Enforcing the security of ESD data.

The technology platform for this Project will primarily be composed of the following:

1. Microsoft Dynamics Online 2016;
2. SharePoint Online;
3. SQL Server 2014;
4. Scribe;
5. PowerBI Professional; and
6. SQL Server Reporting Services.

For each of the above technologies, and keeping in mind the Scope of Work for the Project described in Section IV, the Respondent should include:

1. A technical overview of how the Respondent would integrate these platforms into one solution that meets ESD's needs;
2. A technical description along with screen capture of past work done in the technology—where possible, providing a code sample or source files that show how the technology was implemented;
3. A general description of how the solution is secured according to ITS standards (referenced at: <http://its.ny.gov/tables/technologypolicyindex>);
4. A description of the development standards used within the technology; and
5. A description of the Respondent's recommended code promotion and release process.

C. Cost Proposal

Provide a **“Cost Proposal”** which details the following:

1. Proposed hourly rate for each resource and role on the Project, listing hourly rates for each resource that include all costs, excluding out-of-pocket reimbursable expenses related to travel but including overhead and profit;
2. Proposed (estimated) hours for each of the resource on the Project;
3. Estimated travel budget, with reimbursable expenses to be reimbursed by ESD at standard governmental rates in accordance with Schedule A, as referenced later in RFP Section X.7, assuming and being able to commit to at least one week of on-site work per month, with ESD reserving the right to request more on-site time as needed; and
4. Cost of any software which may be needed beyond what was described in the technical approach section.

D. Procurement Forms and Requirements

All forms and requirements listed under RFP Section X.

VI. SELECTION CRITERIA

All Proposals may be reviewed by ESD and other State officials, including but not limited to the New York State Office of Information Technology Services, as well as RedBrick. The award of any contract pursuant to this solicitation may be subject to, as required under applicable law and regulation, review and/or approval of the ESD Directors, the Comptroller of the State of New York, and/or the New York State Attorney General. When evaluating Proposals, the following criteria will be considered in the associated weighted percentages:

Criteria	Weighting
Experience of specific team members to be used on the Project.	25%
Experience of the Respondent, which highlights the Respondent’s capabilities to build\develop\author in the technologies described above.	20%
Cost Proposal.	20%
Quality and relevance of code samples and examples provided under Section V.B, Technical Approach.	15%
Quality and relevance of references provided under Section V.A, Respondent Information.	10%
Respondents to the RFP will be evaluated for diversity practices using the attached Diversity Practices Questionnaire (see Appendix C).	10%

ESD also reserves the right to conduct interviews with or pose questions in writing to individual Respondents in order to clarify the content of their Proposals and to ensure a full and complete understanding of each Proposal. ESD shall undertake to pursue uniformity in the questions it asks to Respondents to the extent practicable, but ESD may ask different or additional questions to

different Respondents in the context of any individual interview or in writing. ESD reserves the option to hold oral interviews as part of the selection process, in which case ESD shall convene a committee of staff who shall be permissible contacts for the purpose of such interviews, and Respondents who are invited will receive additional instructions upon their invitation.

ESD anticipates that a single Selected Respondent will be designated based upon ESD's determination of the best value for ESD and New York State.

VII. SUBMISSION OF PROPOSALS

Proposals must be received by ESD no later than 3:00 P.M. U.S. Eastern Daylight Time, on Friday, October 21, 2016.

Submit ten (10) print copies and one (1) electronic copy (in the form of a flash drive) of the Proposal to the following address:

Empire State Development
633 Third Avenue, 34th Floor
New York, NY 10017
Attn: Edgar Camacho, ESD Procurement Unit
Re: ESD Dynamics Implementation Services RFP

It is the responsibility of each individual or firm to ensure timely submission of its proposal. Proposals received after the scheduled date and time cannot be accepted.

Proposals should be submitted in at least 12 point type with standard margins printed on 8½ X 11 inch pages in 3-ring binders. Wherever practical, brevity is strongly encouraged, and Proposals should not be longer than 100 pages.

A Respondent accepts all provisions of this RFP by submitting a Proposal and is responsible for the accuracy of its submission.

VIII. SUBMISSION OF QUESTIONS

If you intend to submit a Proposal, please provide notice of your intention to ESD via email at DynamicsRFP@esd.ny.gov so that you may receive all future notices for this solicitation.

All questions regarding this RFP must be submitted in writing to ESD via e-mail DynamicsRFP@esd.ny.gov. Please do not contact ESD by telephone. Questions must be received no later than 11:59 P.M. U.S. Eastern Daylight Time, on Friday, October 7, 2016. All questions must cite the particular RFP section, if applicable. As appropriate, ESD will respond to questions by

emailing its responses to all known recipients of the RFP as well as posting them on the ESD web site at: <http://esd.ny.gov/CorporateInformation/RFPs.html>.

If a Respondent discovers any ambiguity, conflict, discrepancy, omission or other error in this RFP, notification should be sent immediately to ESD via e-mail (DynamicsRFP@esd.ny.gov) requesting written clarification or modification to the RFP. Should ESD find it necessary, addenda or modification to the RFP will be provided in writing to all known recipients of the RFP and will be posted on the ESD web site: <http://esd.ny.gov/CorporateInformation/RFPs.html>.

No contact related to this solicitation with ESD Board members, staff or consultants, other than as specified in this RFP, will be allowed during the procurement period of this RFP. Any such contact by a Respondent will be grounds for disqualification.

IX. GENERAL PROVISIONS

The issuance of this RFP and the submission of a response by a firm or the acceptance of such a response by ESD does not obligate ESD in any manner. ESD reserves the right to:

1. Amend, modify or withdraw this RFP;
2. Revise any requirement of this RFP;
3. Require supplemental statements or information from any responsible party;
4. Accept or reject any or all responses hereto;
5. Extend the deadline for submission of responses hereto;
6. Negotiate potential contract terms with any Respondent to this RFP;
7. Hold discussions with any Respondent to this RFP to correct and/or clarify responses which do not conform to the instructions contained herein;
8. Cancel, or reissue in whole or in part, this RFP, if ESD determines in its sole discretion that it is its best interest to do so; and
9. Extend the term of any agreement on terms consistent with this RFP.

ESD may exercise the foregoing rights at any time without notice and without liability to any responding firm or any other party for its expenses incurred in preparation of responses hereto or otherwise. All costs associated with responding to this RFP will be at the sole cost and expense of the responding firm.

All information submitted in response to this RFP is subject to the Freedom of Information Law (FOIL), which generally mandates the disclosure of documents in the possession of ESD upon the request of any person unless the content of the document falls under a specific exemption to disclosure. In addition, all Proposals may be discussed at meetings of the ESD Directors, which meetings are subject to the Open Meetings Law.

X. PROCUREMENT FORMS AND REQUIREMENTS

Additional requirements for this RFP are described below. Relevant forms, where required to be submitted, must be executed and included in the submission in the same order as listed below:

1. State Finance Law §§139-j and 139-k forms
2. Vendor Responsibility Questionnaire
3. Iran Divestment Act Statement
4. Non-Discrimination and Contractor & Supplier Diversity Requirements
5. Encouraging the Use of NYS Businesses in Contract Performance Form
6. Certification under State Tax Law Section 5-a
7. Schedule A (for review only—no separate form requirement)
8. Project Sunlight (for review only—no separate form requirement)
9. Insurance Requirements
10. Proposal Checklist

1. State Finance Law Sections 139-j and 139-k forms

State Finance Law Sections 139-j and 139-k (collectively, the “Procurement Requirements”) apply to this RFP. These Procurement Requirements: (1) govern permissible communications between potential respondents and ESD or other involved governmental entities with respect to this RFP; (2) provide for increased disclosure in the public procurement process through identification of persons or organizations whose function is to influence procurement contracts, public works agreements and real property transactions; and (3) establish sanctions for knowing and willful violations of the provisions of the Procurement Requirements, including disqualification from eligibility for an award of any contract pursuant to this RFP. Compliance with the Procurement Requirements requires that all communications regarding this RFP, from the time of its issuance through final award and execution of any resulting contract (the “Restricted Period”), be conducted only with the designated contact persons listed below; the completion by Respondents of the Offerer Disclosure of Prior Non-Responsibility Determinations, and the Offerer’s Affirmation of Understanding and Agreement pursuant to State Finance Law (each form is accessible at the Required Forms for Vendors link at the ESDC web site under “RFPs/RFQs”); and periodic updating of such forms during the term of any contract resulting from this RFP.

Respondents must submit the Offerer Disclosure of Prior Non-Responsibility Determinations, and the Offerer’s Affirmation of Understanding and Agreement pursuant to State Finance Law as part of their submittal. Copies of these forms are available at:

http://www.empire.state.ny.us/CorporateInformation/Data/RFPs/RequiredForms/SF_Law139_JK.pdf.

The Procurement Requirements also require ESD staff to obtain and report certain information when contacted by prospective respondents during the Restricted Period, make a determination of the responsibility of Respondents and make all such information publicly available in accordance with applicable law. If a prospective respondent is found to have knowingly and

willfully violated the State Finance Law provisions, that prospective respondent and its subsidiaries, related or successor entities will be determined to be a non-responsible Respondent and will not be awarded any contract issued pursuant to this solicitation. In addition, two such findings of non-responsibility within a four-year period can result in debarment from obtaining any New York State governmental procurement contract. The designated contact account for this solicitation is DynamicsRFP@esd.ny.gov.

This is not a complete presentation of the provisions of the Procurement Requirements. A copy of State Finance Law Sections 139-j and 139-k can be found at: http://esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/PermissibleContactsPolicy_Jan2007.pdf.

All potential Respondents are solely responsible for full compliance with the Procurement Requirements. Both the prime consultant and any sub-consultants complete the forms required above.

2. Vendor Responsibility Questionnaire

All Respondents to this RFP must be “responsible,” which in this context means that they must have the requisite financial ability, organizational capacity and legal authority to carry out its obligations under this RFP, and in addition must demonstrate that both the Respondent and its principals have and will maintain the level of integrity needed to contract with New York State entities such as ESD. Further, the Respondent must show satisfactory performance of all prior government contracts. Accordingly, the contract to be entered into between ESD and the Respondent, if any, shall include clauses providing that the Respondent remain “responsible” throughout the term of the contract, that ESD may suspend the contract if information is discovered that calls into question the responsibility of the contracting party, and that ESD may terminate the contract based on a determination that the contracting party is non-responsible. On request, model language to this effect will be provided to any Respondent to this RFP.

To assist in the determination of responsibility, ESD requires that all respondents to this RFP register in the State's Vendor Responsibility System (“Vend-Rep System”). The Vend-Rep System allows business entities to enter and maintain their Vendor Responsibility Questionnaire information in a secure, centralized database. New York State Procurement Law requires that state agencies award contracts only to responsible vendors. Respondents are to file the required Vendor Responsibility Questionnaire online via the Vend-Rep System or may choose to complete and submit a paper questionnaire. Please include a copy of your Vend-Rep submission receipt or paper questionnaire with your proposal.

To enroll in and use the Vend-Rep System, see the System Instructions available at www.osc.state.ny.us/vendrep or go directly to the Vend-Rep system online at <https://portal.osc.state.ny.us>. For direct Vend-Rep System user assistance, the Office of the State Comptroller's Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at helpdesk@osc.state.ny.us.

Respondents opting to file a paper questionnaire can obtain the appropriate questionnaire from the Vend-Rep website (http://www.osc.state.ny.us/vendrep/forms_vendor.htm) and execute accordingly pertaining to the company's trade industry. Per the website, respondents are to "Select the questionnaire which best matches the business type (either For-Profit or Not-For-Profit) and business activity (Construction or Other)."

3. Iran Divestment Act

Every Proposal made to ESD pursuant to a competitive solicitation must contain the following statement, signed by the Respondent on company letterhead and affirmed as true under penalty of perjury:

"By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each bidder is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law."

The list in question is maintained by the Office of General Services. For further information and to view this list please go to: <http://www.ogs.ny.gov/about/regs/ida.asp>

4. Non-Discrimination and Contractor & Supplier Diversity Requirements

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

NEW YORK STATE LAW

Pursuant to New York State Executive Law Article 15-A and 5 NYCRR §§140-145 ESD recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises ("MWBE") and the employment of minority group members and women in the performance of ESD 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 MWBEs 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 MWBE 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 ESD

establish goals for maximum feasible participation of New York State Certified MWBEs 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, ESD hereby establishes an overall goal of 30% for MWBE participation (based on the current availability of qualified MBEs and WBEs). A contractor (“Contractor”) on the subject contract (“Contract”) must document its good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and the Contractor agrees that ESD may withhold payment pending receipt of the required MWBE documentation. The directory of MWBEs can be viewed at: <https://ny.newnycontracts.com>. For guidance on how ESD will determine a Contractor’s “good faith efforts,” refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, the Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and ESD may withhold payment from the Contractor as liquidated damages.

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

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

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

1. An MWBE Utilization Plan, [Form OCSD-4](#), with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan after the Contract award and during the term of the Contract must be reported on a revised MWBE Utilization Plan and submitted to ESD.

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

2. If a notice of deficiency is issued, the Bidder will be required to respond to the notice of deficiency within seven (7) business days of receipt by submitting to Empire State Development, Office of Contractor and Supplier Diversity, 633 Third Avenue, New York, NY 10017, OCSD@esd.ny.gov, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by ESD to be inadequate, ESD shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

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

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

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

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

Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A – Standard Clauses for All New York State Contracts including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

The Bidder will be required to submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement, [Form OCSD-1](#), to OCSD with their bid or proposal.

To ensure compliance with this Section, the Bidder will be required to submit with the bid or proposal an Equal Employment Opportunity Staffing Plan, [Form OCSD-2](#), identifying the anticipated work force to be utilized on the Contract. If awarded a Contract, Bidder shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, [Form OCSD-3](#), in such format as shall be required by ESD on a quarterly basis during the term of the contract.

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

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

The required forms can be found at the following web addresses:

Form OCSD-1:

http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD_1MWBEEEOPolicyStatement.pdf

Form OCSD-2:

http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD_2StaffingPlan.pdf

Form OCSD-3:

http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD_WorkforceUtilizationReport.xlsx

Form OCSD-4:

http://esd.ny.gov/CorporateInformation/Data/RFPs/OCSD_4MWBEUtilizationPlan.pdf

In the event that the above links are unavailable or inactive, the forms may also be requested from OCSD at OCSD@esd.ny.gov.

Diversity Practices

ESD has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of Respondents is practical, feasible, and appropriate. Accordingly, respondents shall be required to include as part of their response to this procurement the Diversity Practices Questionnaire (See Appendix C).

Service-Disabled Veteran-Owned Businesses

Article 17-B of the Executive Law enacted in 2014 acknowledges that Service-Disabled Veteran Owned Businesses (“SDVOBs”) strongly contribute to the economies of the State and the nation. As defenders of our nation and in recognition of their economic activity in doing business in New York 19 State, respondents for this contract for commodities, services or technology are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. SDVOBs can be readily identified on the directory of certified businesses at: http://ogs.ny.gov/Core/docs/CertifiedNYS_SDVOB.pdf.

Respondents need to be aware that they will be strongly encouraged to the maximum extent practical and consistent with legal requirements of the State Finance Law and the Executive Law to use responsible and responsive SDVOBs in purchasing and utilizing commodities, services and technology that are of equal quality and functionality to those that may be obtained from non-SDVOBs. Furthermore, Respondents are reminded that they must continue to utilize small, minority and women-owned businesses consistent with current State law.

For purposes of the RFP, ESD hereby establishes a goal of 3% for SDVOBs, based on the current availability of qualified SDVOBs. The Contractor must document Good Faith Efforts to provide meaningful participation by SDVOBs in the performance of the Contract. A copy of each Respondent’s SDVOB Contract Performance Use form proposing specific certified firms to be utilized or industries where SDVOB firms shall be sought is to be included as part of the response to this RFP. A copy of the form is available at: <http://esd.ny.gov/CorporateInformation/Data/RFPs/SDVOBContractPerformanceUse.pdf>.

General inquiries or questions relating to aforementioned policies, MWBE and SDVOB participation and the goals specified herein may be addressed to OCSD at OCSD@esd.ny.gov.

5. Encouraging the Use of NYS Businesses in Contract Performance Form

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this ESD contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. In order for ESD to assess the use of New York State businesses in each Proposal, ESD requests that each Respondent complete the Encouraging Use of New York State Businesses in Contract Performance form, accessible here:

<http://esd.ny.gov/CorporateInformation/Data/ENCOURAGINGUSEOFNEWYORKSTATEBUSINESSESINCONTRACTPERFORMANCE.pdf>.

6. Certification under State Tax Law Section 5-a

Any contract resulting from this solicitation is also subject to the requirements of State Tax Law Section 5-a (“STL 5-a”). STL 5-a prohibits ESD from approving any such contract with any entity if that entity or any of its affiliates, subcontractors or affiliates of any subcontractor makes sales within New York State of tangible personal property or taxable services having a value over

\$300,000 and is not registered for sales and compensating use tax purposes. To comply with STL 5-a, all Respondents to this solicitation must include in their Proposals a properly completed Form ST-220-CA (http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf), or an affidavit (http://esd.ny.gov/CorporateInformation/Data/RFPs/RequiredForms/STL_5A_Affidavit.pdf) that the Respondent is not required to be registered with the State Department of Taxation and Finance. Also in accordance with the requirements of STL 5-a, any contract resulting from this solicitation will require periodic updating of the certifications contained in Form ST-220-CA. Solicitation responses that do not include a properly completed ST-220-CA will be considered incomplete and non-responsive and will not be considered for contract award. Only the prime consultant completes Form ST 220-CA, but Schedule A to Form ST 220-CA requires detailed information from the sub-consultants, such as tax ID number, etc., if applicable. Moreover, if applicable, certificates of authority must be attached by the prime consultant and all the sub-consultants.

7. Schedule A (for review only—no separate form requirement)

Following final selection of a Respondent, ESD will prepare a contract defining all Project terms and conditions and the Respondent's responsibilities in conformance with "Schedule A," which can be found at: <http://esd.ny.gov/corporateinformation/Data/ScheduleA.pdf>

Please note Respondents do not need to complete the entire Schedule A with the submission of their Proposal. However, Respondents should still review these terms, which are standard in all ESD contracts, and raise any concerns present prior to submission of their Proposal, as Respondents will need to accept these terms prior to contract execution.

8. Project Sunlight (for review only—no separate form requirement)

This procurement is subject to the Public Integrity Reform Act of 2011. Under the Public Integrity Reform Act of 2011, "appearances" (broadly defined and including any substantive interaction that is meant to have an impact on the decision-making process of a state entity) before a public benefit corporation such as ESD by a person (also broadly defined) for the purposes of procuring a state contract for real property (as contemplated in this RFP) must be reported by ESD to a database maintained by the State Office of General Services that is available to members of the public. If in doubt as to the applicability of Project Sunlight, Respondents and their advisors should consult the Laws of 2011, Ch. 399 for guidance.

9. Insurance Requirements

The selected consultant must show evidence of the following insurance requirements (at a minimum and to the extent applicable):

- Commercial General Liability insurance - \$1 million per occurrence / \$2 million aggregate.
- Excess Umbrella Liability insurance - \$5 million per occurrence / \$5 million aggregate minimum
- Professional Liability insurance - \$1 to \$3 million minimum
- Auto Liability insurance - \$1 million per occurrence / \$1 million aggregate

- Must show evidence of Worker's Compensation & Employer's Liability insurance at State statutory limits.
- Must show evidence of Disability insurance coverage at State statutory limits.
- NYS Urban Development Corporation d/b/a Empire State Development (ESD) must be named as additional insured on a primary and non-contributory basis. Waiver of subrogation in favor of NYS UDC d/b/a ESD.

10. Proposal Checklist

I _____, a principal of the firm _____ certify that the following information has been submitted as part of the response to this Request for Proposals.

<input type="checkbox"/>	Submitted all required information with respect to Required Proposal Contents, including but not limited to Respondent Information, Technical Approach, and Cost Proposal (Section V)
<input type="checkbox"/>	Submitted ten (10) physical copies and one electronic copy of the Proposal to the listed address (Section VII)
<input type="checkbox"/>	Completed and submitted State Finance Law Sections 139-j and 139-k forms (Section X.1)
<input type="checkbox"/>	Submitted Copy of VendRep receipt (Section X.2)
<input type="checkbox"/>	Completed and submitted Iran Divestment Act Statement (Section X.3)
<input type="checkbox"/>	Completed Office of Contractor and Supplier Diversity forms (Forms OCSD-1, OCSD-2, OSCD-3, OCSD-4, Diversity Practices Questionnaire and Use of Service-Disabled Veteran-Owned Business Enterprises in Contract Performance form; Section X.4)
<input type="checkbox"/>	Completed and submitted Use of NYS Business Form (Section X.5)
<input type="checkbox"/>	Completed and submitted ST-220-CA Form or affidavit (Section X.6)

Signed: _____

Name:

Date:

XI. APPENDICES

Appendix A – Security Management Plan

The Selected Respondent or Dynamics Implementer must design a security strategy that protects the system from unauthorized access and inappropriate use of the SaaS application and any associated data or communications. In addition, the strategy must mitigate the liability of ESD and NYS for any disclosures obtained through an information security breach.

The Selected Respondent will provide a documented Security Plan outlining the policies and procedures necessary to ensure the security of the SaaS application, its related infrastructure and all associated information. NYS Cyber Security Policies and Guidelines must be adhered to at all times and can be referenced here: <http://its.ny.gov/tables/technologypolicyindex>.

The plan will include at a minimum but not be limited to the following components:

- **Infrastructure/System Security:** Security of the system so that it is safeguarded against unauthorized access and intrusions;
- **Data Security:** Security of the data itself to ensure that information cannot be accessed or altered except through an appropriate interface and only by authorized individuals;
- **Transaction Security:** Security that ensures that individuals can only perform transactions for which they are authorized;
- **Identity Management Security:** Security that ensures the individual accessing the system is actually authorized and is the actual user that he/she is declaring to be;
- **Physical Security:** Security of the physical premises, equipment and documents;
- **Security Monitoring and Incident Response:** Activities and procedures necessary for security monitoring and incident response; and
- **Data Breach Response and Reporting:** Activities and procedures outlining data breach incident, response and reporting requirements.

Appendix B – Scope of Services for Dynamics Adviser

The following is the scope of services anticipated to be performed by RedBrick in the role of ESD's Dynamics Adviser:

Phase 1a – Implementation Vendor Selection

1. Aid in authoring the RFP for a project focused on the replacement of PTS.
2. Develop a quantitative and qualitative scoring system for picking an implementation vendor.
3. Organize, lead and facilitate vendor interviews and presentations.
4. Score, rank and collate vendor interview materials into a recommendations document.
5. Present recommendations and their rationale to ESD.

Phase 1b – PTS Project Setup and Initialization

1. Dissect each and every Feature and function of PTS and create a user Story for it. User Stories represent the list of functional items which the new system will need to support.
2. Organize these Stories into a Backlog which will be used as the master list of work to organize and complete.
3. Prioritize the Backlog items.
4. Create a general Sprint plan (for the first three Sprints) detailing the Stories to be worked and completed.
5. Instantiate the needed development environment on the ESD CRM online system.
6. Help onboard and train new ESD technical staff (i.e. CRM Developers, IT Analysts, Data Architects) selected to provide post implementation support and development.

Phase 2a – Development\Project Management

1. Utilize an agile project management methodology
2. Hold daily stand-ups to gauge Sprint Task status.
3. Work to alleviate roadblocks or impediments as they come up in stand-ups.
4. Organize and facilitate:
 - a. Daily Scrums (occur daily)
 - b. Sprint Planning Meetings (occur every other week)
 - c. Story Development (requirements) Meetings (occur weekly or every other week)
5. Report to ESD on Project status on a regular basis.
6. Manage the daily activities of development resources on the Project.

Phase 2b – Requirements Gathering Beyond PTS

1. Set up and facilitate requirements-refresher meetings using the original CRM Roadmap document and ESD materials gathered back in 2014 as a basis for these requirement gathering sessions. The sessions will be to revalidate what's already in place and to fill in any gaps that may still exist.
2. Begin to develop Stories which can be plugged into the development, testing and deployment process.
3. Prioritize the Stories.

4. Organize the Stories into Sprints and deliver a tentative Sprint schedule.

Phase 3 – Support Services

1. Provide end-user support for production users.
2. Instantiate and configure new environments as needed to support projects and initiatives
3. Aid in system configuration as needed to support general users or the implementations team.
4. Aid in supporting development, testing, integration and production environments for ESD and the Project team.

Appendix C - Diversity Practices Questionnaire



**ADDENDUM
DIVERSITY PRACTICES QUESTIONNAIRE**

I, _____, as _____ (title) of _____ firm or company (hereafter referred to as the company), swear and/or affirm under penalty of perjury that the answers submitted to the following questions are complete and accurate to the best of my knowledge:

1. Does your company have a Chief Diversity Officer or other individual who is tasked with supplier diversity initiatives? Yes or No

If Yes, provide the name, title, description of duties, and evidence of initiatives performed by this individual or individuals.

2. What percentage of your company's gross revenues (from your prior fiscal year) was paid to New York State certified minority and/or women-owned business enterprises as subcontractors, suppliers, joint-venturers, partners or other similar arrangement for the provision of goods or services to your company's clients or customers?

3. What percentage of your company's overhead (i.e. those expenditures that are not directly related to the provision of goods or services to your company's clients or customers) or non-contract-related expenses (from your prior fiscal year) was paid to New York State certified minority- and women-owned business enterprises as suppliers/contractors?¹

¹ Do not include onsite project overhead.



4. Does your company provide technical training² to minority- and women-owned business enterprises? Yes or No

If Yes, provide a description of such training which should include, but not be limited to, the date the program was initiated, the names and the number of minority- and women-owned business enterprises participating in such training, the number of years such training has been offered and the number of hours per year for which such training occurs.

5. Is your company participating in a government approved minority- and women-owned business enterprise mentor-protégé program?

If Yes, identify the governmental mentoring program in which your company participates and provide evidence demonstrating the extent of your company's commitment to the governmental mentoring program.

6. Does your company include specific quantitative goals for the utilization of minority- and women-owned business enterprises in its non-government procurements? Yes or No

² Technical training is the process of teaching employees how to more accurately and thoroughly perform the technical components of their jobs. Training can include technology applications, products, sales and service tactics, and more. Technical skills are job-specific as opposed to soft skills, which are transferable.



If Yes, provide a description of such non-government procurements (including time period, goal, scope and dollar amount) and indicate the percentage of the goals that were attained.

7. Does your company have a formal minority- and women-owned business enterprise supplier diversity program? Yes or No

If Yes, provide documentation of program activities and a copy of policy or program materials.

8. Does your company plan to enter into partnering or subcontracting agreements with New York State certified minority- and women-owned business enterprises if selected as the successful respondent? Yes or No

If Yes, complete the attached Utilization Plan



All information provided in connection with the questionnaire is subject to audit and any fraudulent statements are subject to criminal prosecution and debarment.

Signature of
Owner/Official

Printed Name of
Signatory

Title

Name of Business

Address

City, State, Zip



STATE OF _____

COUNTY OF _____) ss:

On the ____ day of _____, 201_, before me, the undersigned, a Notary Public in and for the State of _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to this certification and said person executed this instrument.

Notary Public