

ALBANY COUNTY
RFP SUBJECT# 021-096
REENTRY CASE MANAGEMENT SERVICES

REHABILITATION SUPPORT SERVICES, INC.
314 CENTRAL AVE
ALBANY, NY 12206
(518) 462-1094 EXT. 233
LAUREN TEGNANDER

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Section II

Qualifications and Experience

Founded in 1979, RSS is a not-for-profit organization that offers a diverse array of recovery oriented services including care coordination, residential, employment, outpatient (PROS and Article 31 Clinic), rehabilitation, and community support services for persons (adults/children) with serious mental illnesses and/or substance use in 14 counties in upstate New York. Total annual service enrollment exceeds 4,600 unique individuals. Specific to this proposal, RSS provides Health Home care management services to over 1,000 unique clients in the Capital District. A well-integrated community provider, our deep roots and positive rapport among members of the community include other social service providers, federally qualified health centers and Managed Care Plans. These relationships allow staff to access additional behavioral health, and health services, as well as services and supports that address the social determinants of health that may be needed/wanted by our Health Home clients. For over 40 years, RSS has successfully demonstrated experience providing care management/coordination to individuals with complex health needs through our extensive knowledge of community resources and services.

RSS has a long history of serving individuals who have been involved with the criminal justice system including those returning to the community from incarceration. For almost 8 years The Rapid Assessment, Intervention, and Linkages Program was a collaborative project operated by RSS, Albany County Department of Probation, Albany County Department of Mental Health, and Albany County DSS that was very successful in providing care coordination to females involved with pre-sentencing with Albany County Probation. In Albany County, RSS operates care management, residential, vocational, clinic, and PROS program that all work with individuals reentering the community from incarceration. In our residential programs alone, we served over 100 individuals currently on probation/parole or another designated legal status in 2020. Over the course of the last year, 22% of our Albany Health Home Plus population has been incarcerated or released from the jail or prison system. Our Health Home Care Managers have experience in successfully serving this population. RSS also provides vocational services including support in job placement for individuals who have been previously incarcerated. In addition, many of the individuals we serve have a previous history of criminal offenses. RSS has been part of coordinating care, linking individuals, and providing direct one to one services successfully to these individuals for many years.

RSS firmly believes in the importance of coordination of care on behalf of and with involvement from the individuals we serve. All of our programs coordinate daily with local providers and county agencies that include Albany County Department of Mental Health, Albany County

Department of Social Services, Albany County Department of Probation, Albany County SPOA, Coordinated Entry, and PSCC. In addition to those listed above, RSS has relationships with local FQHCs, medical providers, mental health providers, and other social service providers.

RSS has developed partnerships and working relationships with a variety of public and private agencies. Aside from those listed above, RSS collaborates with other mental health, physical health, specialty, and social service agencies. A unique program RSS operates collaboratively is The Living Room programs one in Troy (in collaboration with Mental Health Empowerment Project) and one in Schenectady (in collaboration with Ellis Hospital and funded by the Alliance for Better Health) which have proved successful in reducing situational crisis for those who visit. Both of these programs will be available to individuals served in this RFP.

RSS provides a variety of residential services in Albany County that include community residences, treatment apartment programs, and supported housing programs. Given the over 300 apartments RSS rents each year in the capital district, we have developed relationships with local landlords who understand the services we provide and are willing to work with our agency.

RSS provides employment and vocational services to individuals in the capital district. ACCES-VR staff assist individuals in locating employment. Through partnerships with NYSID, RSS is able to employ 90 individuals on either a per diem, part time, or full-time basis. In addition, our Capital District PROS program provides on the job support to individuals who are currently employed.

Professional Staff Members

Rehabilitation Support Services will ensure client care through qualified staff members who will be involved directly with the county to enhance engagement. The primary professional staff members include:

Lauren Tegnander, LCSW Managing Director: Lauren has over 15 years of experience working for RSS and in overseeing most of the programs RSS offers including clinical, residential, vocational, and care management. Lauren's office is located at 314 Central Avenue, Albany NY.

Jennifer Decrescente, MA, Regional Director for Care Management Services: Jen has over ten years of experience working in the field and has been the director of the RSS Care Management Program for 7 years. Jen oversaw the merger of two large Health Homes in the Capital District. Jen is responsible for supervising over fifty Care Managers within our agency. Jen's office is located at 314 Central Avenue Albany, NY.

Brandy Kotary, LMHC, Program Coordinator Health Home Plus Care Management Services Albany and Schenectady Counties. Brandy has worked in a variety of capacities at RSS for over

eight years. Prior to supervising Health Home Plus, Brandy supervised our vocational services. Brandy has a great deal of success locating employment for individuals in underserved populations in the community. Brandy is currently responsible for supervising a staff of nine Care Managers. Brandy's office is located at 747 Madison Avenue Albany, NY.

RSS will work collaboratively with the Albany County Reentry Coordinator to interview and hire two successful case managers for these positions. The case managers will be master's level staff or bachelor level with a minimum of five years' experience with reentry individuals and services or with lived experience who has case management or mentoring experience.

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Person Authorized to Bind The Proposer

William Devita, Executive Director
Rehabilitation Support Services, Inc.
1559 Western Turnpike
Altamont, NY 12009
(518) 579-4200

Lauren Tegnander

Amsterdam, NY 12010 • 518-441-8192 • laurendown@gmail.com

Non-profit Leader / Residential & Mental Health Services

Steady, diplomatic, future-focused and energized leader with success in introducing, developing, funding and implementing alternative community-based approaches to providing services. Listens carefully at all levels. Thinks creatively and strategically about services and landscape. Seizes on growth, visibility and sustainability opportunities.

- **Able visions for the future.** Diversified and enhanced agency with new/alternative, services and business models.
- **Bridging force across inside and outside entities, groups and teams.** Experience working with Managed Care Organizations (MCOs) in clinical oversight, HCBS, and Care Management roles.
- **Understands new statewide initiatives.** Strategized program development. Led agency through changeover to Home Health Care Management under NYS DOH. Drove system changing projects such as HCBS, DSRIP & VBP.
- **Agile problem solver.** Made quick informed decisions aligned with long-term goals and financial limitations. Prepared for and led multiple agency OMH recertifications across 14 certified residential programs.
- **Trusted leader with deep respect for staff and their work and input.** Always on the hunt for ways to find, retain and grow strong employees who are engaged, motivated and equipped to deliver top quality of care. Expertise in:
Organization Planning & Transitions | Program Development | Fiscal/Budget Oversight | Community Partnerships
New Solutions | Data & Risk Management | Staff Development | Sustainable/Optimized Operations | Compliance

"(Lauren) thinks globally how decisions fit into the broader picture...evident by the decisions she has made regarding HCBS services and ELT discussions regarding MCOs paying for services." — Division VP, RSS

LEADERSHIP EXPERIENCE

Rehabilitation Support Services (RSS), Inc., Albany, NY

9/2013–Present & 8/2006–9/2012

One of the largest mental health agencies in NYS outside of NYC, with \$60M annual revenue. Serving 14 counties, RSS is a not-for-profit whose mission is to enrich and empower the lives of its clients by providing to them residential and mental health services as well as opportunities for meaningful emotional, social, vocational and educational growth.

MANAGING DIRECTOR - CAPITAL DISTRICT DIVISION (Oct 2019–Present)

Lead and manage future planning and daily operations of division with operating budget of \$20M, 150+ full time employees, and 120 client trainees. Oversee financial viability and program spending, working with Finance to ensure appropriate use of resources. Executive Leadership Team Member.

- Oversee 250 residential mental health beds providing support, from group living to independent apartments, across 3 counties, maximizing occupancy for increased billing revenue.
- Hold responsibility for multiple clinical programs including Capital District Clinic (250-person capacity), Capital District PROS (150-person capacity) and Crisis Diversion Services in four counties. Write/review clinic policies.
- Supervise Vocational Services supporting individuals in competitive employment positions, numerous NYSID contracts, and in four affirmative businesses employing individuals diagnosed with mental illness.
- Ensure compliance across multiple payers and oversight agencies including Medicaid, MCOs, DSRIP PPS, NYSID, Office of Mental Health (OMH), and Department of Health (DOH).

Organizational Planning / Strategic Change / Growth

- Contributed to strategic planning, programs and direction, new policy regulations and compliance, and staff training initiatives with ELT – led preparations to transition residential programs into Managed Care payment mode (new way of doing business), defining and quantifying the quality of services to ensure funding.
- Drove sustained growth and development of Health Home Care Management Services (HHCM) program from early stage to current census of 1400+ in five counties. Strategized referral sources, screening, admissions standards, and flow. Expanded QA and supervision structure, training and requirements enabling growth.

- Spearheaded agency's effort to prepare for and coordinate multiple NYS OMH recertification visits across 14 certified residential programs on a systemic level (chart compliance, on-site readiness, policy and administrative review), met and toured with OMH reps at each site, and implemented recommendations.
- Initiated and developed new community relationships with outside agencies and county mental health communities, built trusted relationships with DSRIP and their PAC meetings and committee along with RPC and HCBS committee, field office, and MHLS.
- Oversight of HCBS program. Recently led and implemented a small scale value based contract with MCO.
- Represented the agency and division at all levels of OMH, Albany County, MCOs and internally, and established reliability of delivering on promised outcomes.
- Planned and led safe transition of staff to at home and telephonic service delivery for COVID-19. Ensured staff technology and training, implemented state-issued guidance across programs, and successfully changed work flow and service provision in every program through clear communication, leadership and planning.

Program Development / Management

- Led "The Living Room" program opening in Albany, an innovative and unique in-the-moment-care ER alternative (98% service diversion rate): proposals, funding, location, and set up. Supervise Schenectady site in partnership with Ellis Hospital (97% SD rate); part of MCO contract effort and liaison, currently improving workflow for billing. Supported development and implementation of 2020 Troy site opening, with the Mental Health Empowerment Project.
- Spearheaded and secured funding for highly collaborative project uniting RSS, Albany County, and CDPC to create a Crisis Diversion Services program at the Capital District Psychiatric Center to work in the crisis unit.
- Co-developed agency' highly successful Community Residences Crisis Stabilization beds program from the ground up - redefined physical space, fostered crisis stabilization and residential staff team cohesion, gathered community buy-in, and now in discussions with an MCO to contract for this service.

Operations / Sustainability, Optimization & Compliance

- Monitored division program operations, cost management, and expense budgeting; planned accordingly, ensured billing and receivables, as well as compliance with regulations, policies and procedures.
- Strategically increased referrals in the Schoharie Care Management program by 30% in last 12 months by leveraging local community resources and bringing together internal programs to be more collaborative.
- Analyzed HHCM program data weekly with Regional Director, specifically on productivity, for number and type of contacts, and enrollment rate to forecast hiring and expected revenue.
- Optimized Case Manager caseload size to ensure financial sustainability, consistency and quality of care.
- Reviewed annual reports and on-going program, operational, and Medicaid data; verified services are working well.
- Initiated review of vocational services contract management to find labor and supply purchasing cost savings
- Restructured programs for optimized staff to beds ratio across counties.
- Involved in technology upgrades to manage/use data, improve data quality, reporting, and user-friendliness.

Program Director, Capital District Division (8/2015–10/2019)

Oversaw 11 residential programs, and 100 staff, serving individuals diagnosed with serious and persistent mental illness and substance abuse disorders in Albany and Schenectady Counties (200+ individuals). Coordinated a team of Program Directors and managers to facilitate change, and maintain quality, compliance and staff retention.

Organizational Planning / Strategic Change / Growth

- Strategized on the impact and opportunity for growth presented with new statewide initiatives including the transition to managed care, DSRIP, and Value Based Payments (VBP). Prepared team for transitions.
- Identified, contracted and rolled out agency's participation in Schenectady City Mission's Employer Resource Network (ERN) program. Achieved 85% retention rate for employees participating with a "Success Coach".
- Led development and rollout of employee recognition program. Improved morale and reduced turnover by 5-10%.
- Ensured all new managers were properly trained, and developed system to monitor new manager progress.
- Prepared for and achieved successful agency recertifications.

Program Development / Management

- Created and supervised OMH Medicaid Redesign Team Pilot Project for crisis stabilization residential services.
- Supervised growing HHCM program serving 1000+ individuals and oversaw implementation of Health Home Plus and ongoing HARP Assessments for eligible individuals. Led intensive collaborations and facilitated roll-out of Health Home Plus providing services to AOT individuals for new client, Albany County.
- Initiated and coordinated ongoing implementation of HCBS services in a 7-county region. Partnered with MCOs and my team to increase referrals and submit proposals for Infrastructure Funding.
- Developed and launched a Delivery Services Reform Incentive Program (DSRIP) funded collaborative program between RSS and other Crisis Services providers in Albany County.

Operations / Sustainability, Optimization & Compliance

- Ensured compliance across multiple regulatory bodies; Office of the Medicaid Inspector General, OMH, DOH, MCOs.
- Monitored and maintained fiscal viability of programs in a variety of contract types.
- Member of Incident Review Committee, led investigations, and created/implemented corrective action plans.
- Facilitated collaboration amongst providers across service types.

Program Director, Health Home Care Management Services (HHCM) (9/2013–8/2015)

Implemented DOH guidance for HHCM Services in Albany and Schenectady Counties. Developed policies and procedures for the clinic and health home care management.

- Created agency partnerships, alliances and fostered collaborations (providers, community agencies, social supports).
- Facilitated growth of the program from 2.5 Care Managers to a team of over 20 staff.
- Participated on Operations Committee in two Health Homes to develop provider collaboration, as well as on DOH Jumpstart Health Home Portal Pilot Project Committee, and SPOA Committees in multiple counties.
- Wrote proposal for, implemented and supervised 10 MRT Supported Housing slots.
- Conducted Case Reviews to assess needs, referrals, and identify non-hospitalization courses of action.

Program Director, Certified Apartment Program (12/2008–9/2012)

Managed and oversaw daily operations of a 94-bed Certified Apartment Program providing rehabilitation services to individuals diagnosed with serious and persistent mental illness to live more independently in the community.

- Oversaw program budget and receivables, delivered program and agency staff training and development, and collaborated with mental health community, county agencies, and family members.
- Facilitated Case Review Committee to assess length of stay and alternate transitional options for individuals.
- Served as pilot program, helped implement and train the agency on a new computerized EMR chart system.

Program Coordinator (8/2007–12/2008) | Service Plan Writer (8/2006–8/2007)

Clinical experience: School Social Worker, Greater Amsterdam School District, 9/2012–9/2013

COMMUNITY LEADERSHIP

Chairperson, Capital Region Employer Resource Network Committee 2017–Present
Active Member, Capital Region: Regional Planning Consortium Health Home and HCBS Work Group 2017–Present
Quality Support Committee Member, Liberty Enterprises, Amsterdam, NY 2019
Nominated for 40 under 40 in Albany Business Review

EDUCATION & LICENSURE

Master of Social Work, University at Albany, The State University of New York 2010
Bachelor of Arts in Psychology, University at Buffalo, The State University of New York 2006
Licensed Clinical Social Worker (LCSW) 2014

Jennifer DeCrescente

21 Melanie Drive Saratoga Springs, NY 12866 • 518-222-4833 • jdecrescente@gmail.com

PROFESSIONAL EXPERIENCE:

▪ **Regional Director**

10/2019-present

Health Home Care Management

Rehabilitation Support Services, Capital District, NY

Oversee a Health Home Care Management program in Albany, Schenectady, Rensselaer, Otsego, Delaware, and Schoharie Counties with a goal of reducing avoidable hospitalizations and decreasing Medicaid Spending. Supervise 5 Program Managers, 45 Care Managers, 3 Quality Assurance staff, and a peer specialist. Responsible for staff supervision, hiring, and development. Establish and implement policies and ensure adherence to state and program guidelines. Complete program billing and ensure quality of services. Represent the agency with health care providers and community resources. Oversee the services of 1500 individuals with mental health, chronic physical health, and substance abuse concerns.

▪ **Program Director**

3/2017-10/2019

Health Home Care Management

Rehabilitation Support Services, Capital District, NY

Lead a Health Home Care Management program in Albany, Schenectady, and Rensselaer Counties with a goal of reducing avoidable hospitalizations and decreasing Medicaid Spending. Supervise 2 Program Managers, 30 Care Managers, 2 Quality Assurance staff, and a peer specialist. Responsible for staff supervision, hiring, and development. Establish and implement policies and ensure adherence to state and program guidelines. Complete program billing and ensure quality of services. Represent the agency with health care providers and community resources. Oversee the services of 1200 individuals with mental health, chronic physical health, and substance abuse concerns.

▪ **Program Manager**

10/2014-3/2017

Health Home Care Management

Rehabilitation Support Services, Albany, NY

Supervised a Health Home Care Management program aimed at reducing avoidable hospitalizations and decreasing Medicaid spending. Provided supervision and training to 15 Care Managers and Quality Assurance staff. Responsible for hiring staff, policy implementation and adherence, and program billing. Coordinated with health care providers and community resources. Oversaw the services of 800 individuals with mental health, chronic physical health, and substance abuse concerns.

▪ **Care Manager**

9/2013-10/2014

Health Home Care Management

Rehabilitation Support Services, Albany, NY

Maintained a caseload of 60 individuals with mental health, chronic physical health, and substance abuse concerns. Coordinated health care services and linked individuals to providers and community supports to reduce avoidable hospitalizations and decrease

Medicaid spending. Conducted assessments, developed person-centered service plans, and documented progress notes.

▪ Prevention Case Manager

7/2011- 6/2012

Center for Family and Youth, Albany, NY

Maintained a caseload of 18 underprivileged families with children at risk for foster care placement. Provided in-home weekly counseling sessions and assisted with medical, mental health, behavioral, academic, and parenting needs. Coordinated with involved service providers, community supports, and family members. Conducted assessments, developed service plans, and documented progress notes.

RESEARCH EXPERIENCE:

▪ Research Assistant

6/2009-1/2010

The Nathan Kline Institute for Psychiatric Research, Orangeburg, NY

Conducted background research, developed and administered interviews and surveys, and prepared grant and IRB applications for a pilot study assessing the effectiveness of an undergraduate training program in clinical pediatric psychopathology.

▪ Research Assistant

8/2009-1/2010

New York University Child Studies Center, New York, NY

Conducted background research, transcribed recordings discussing child mental health issues from the New York University Langone Medical Center, and identified key ideas for future publications in child and adolescent psychopathology.

▪ Research Assistant

6/2009-1/2010

New York University Center for Research on Culture, Development, and Education, New York, NY

Conducted data entry and analysis of qualitative and quantitative data, transcribed qualitative interviews, administered in-home surveys to participants, and assisted in manuscript preparation for a longitudinal study assessing the adjustment of multi-cultural adolescents in New York City public schools.

EDUCATION:

▪ Harvard University Extension School, Cambridge, MA

5/2013

Health Careers Program

Post-Baccalaureate Pre-Medical Student

▪ Teachers College, Columbia University, New York, NY

8/2011

Masters of Arts in Clinical Psychology

▪ New York University, New York, NY

1/2010

Bachelor of Arts in Psychology

Brandy Kotary, LMHC

331 Grand Avenue, Saratoga Springs, NY 12866 | (315) 271-0737 | bkotary@gmail.com

EDUCATION

Master of Science in Mental Health Counseling

University at Albany, State University of New York | Albany, NY

December 2014

GPA: 4.0

Bachelor of Arts in Psychology, Minor in Business, *Summa Cum Laude*

Siena College | Loudonville, NY

May 2013

GPA: 3.95

LICENSURE

Licensed Mental Health Counselor

Expires on September 30, 2021

August 26, 2016

New York

PROFESSIONAL EXPERIENCE

Program Coordinator

May 2021-Present

- Manage Health Home Plus Care Management services in Albany, Schenectady, and Rensselaer counties. Also, oversee AOT Care Coordination services in Albany, Otsego, and Delaware counties.
- Provide weekly supervision to program staff and assist with managing caseloads, including providing coverage when needed, and dealing with crisis and high risk situations.
- Work closely with the Quality Assurance team to ensure that all Capital Region Health Connection's policies and OMH and DOH standards are met.
- Coordinate with the Capital Region Health Connection to best serve participants.
- Complete monthly billing spreadsheets to ensure that HML Questionnaires are completed accurately and in a timely fashion.
- Outreach new referrals, process admissions, and confirm Health Home Plus eligibility.
- Process discharges, end unsuccessful outreach, and coordinate successful step downs to Care Management services.
- Track monthly billing and program outcomes.
- Participate in biweekly Albany County SPOA meetings and bimonthly Schenectady County Adults at Risk meetings.
- Work collaboratively with community providers to link participants to available resources.

Program Director

January 2020-May 2021

Senior Program Coordinator

January 2017-January 2020

Program Coordinator

October 2015-January 2017

Rehabilitation Support Services, Inc.

Albany, NY

- Planned and managed Supported Employment, Direct Placement, and Extended Services programs in Albany, Schenectady, and Schoharie Counties, as well as PROS Ongoing Rehabilitation Support (ORS) services in the Capital District, and HCBS services in Albany, Schenectady, Schoharie, Otsego, and Delaware counties.
- Ensured implementation of agency and program policies and procedures.
- Provided regular supervision and oversight to program staff to assist in maintaining caseloads and case files.
- Monitored service delivery and proper documentation to meet requirements set forth by New York State ACCES-VR and New York State Office of Mental Health.
- Completed and submitted monthly billing for Supported Employment and Direct Placement programs, and HCBS services, as well as quarterly billing for Extended Services.
- Developed clear, detailed processes to ensure consistency and efficiency.
- Tracked program outcomes.
- Conducted intakes, request clinical information, and complete and submit referrals to ACCES-VR.
- Developed and maintained working relationships with the NYSID agency and partners.

- Assisted with obtaining and maintaining disability documentation for NYSID contracts.
- Completed and submitted monthly IPS survey to CPI.
- Conducted intakes, assessments, and develop service plans for HCBS participants.
- Implemented policies and procedures for HCBS service delivery, and coordinate with Managed Care Organizations to obtain authorizations.
- Developed connections with other providers in the community and Care Management Agencies to increase HCBS utilization, including participating in HCBS workgroups and panels.
- Implemented procedures to meet milestone metrics for CDPHP Infrastructure Funds.

Rehabilitation Practitioner

December 2014-October 2015

Intern

January 2014-December 2014

- Provided clinical and substance abuse psychotherapy and rehabilitation counseling services to individuals with severe and persistent mental illness.
- Developed individualized recovery plans and worked with clients to set personalized goals and created action plans.
- Provided crisis intervention and relapse prevention to clients when necessary.
- Assisted clients in identifying and overcoming personal challenges and interpersonal concerns.
- Facilitated groups focused on skill attainment and gaining a greater self-awareness and understanding in order to help clients cope with their symptoms and life circumstances.
- Completed paperwork in accordance with insurance and HIPAA regulations to accurately account for services provided and monitored client progress.

IPS Employment Specialist

May 2013-December 2014

Intern

January 2013-May 2013

- Assessed clients with psychiatric disabilities and substance use disorders.
- Performed intake assessments and prepared administrative paperwork.
- Collaborated with other treatment providers to effectively help clients.
- Explored possible job opportunities after assessing client's interests, skills, and limitations.
- Followed the actions necessary to help clients obtain well-suited employment and to sustain it, including job coaching, symptom management, anger management, etc.
- Maintained accurate and detailed records of clients through progress notes and various reports.
- Organized files and assured that reports were completely and accurately filled out.

Surveyor

Siena Research Institute

September 2009-November 2013

Loudonville, NY

- Called computer-generated phone numbers to request for responses to public polls and various surveys.
- Accurately worded questions and probed for definite answers then reported answers accurately.

Dreams2Life Coach

October 2012-May 2013

The Leadership Edge

Delmar, NY

- Guided high school students to develop goals that are specific, measureable, attainable, realistic, and tangible, while acting as a support system and dependable source.
- Assisted students in developing a plan to achieve each individualized goal.
- Monitored students' progress to promote focus and commitment to plans.

ADDITIONAL INFORMATION

Committee Member of the Human Resource Committee

September 2018-Present

Wildwood

Albany, NY

- Participate in quarterly meetings for the purpose of supporting and advising Wildwood's management and Board of Directors regarding the well being of Wildwood employees.
- Review and offer feedback on the strategic plan, major initiatives, benefits program, salary structure, professional development, and other HR objectives.

**Co-Chair of the HARP/HCBS/Health Home Work Group
Capital Region Planning Consortium**

July 2020-Present
Albany, NY

- Prepare agendas, share current information about HARP, HCBS, and Health Home services, and develop relevant discussion topics.
- Lead quarterly Workgroup Meetings.
- Participate and provide updates during quarterly Board Meetings.

PRESENTATIONS

Kotary, B., Graziano, K., & Skow, D. (2018). *Assuring your services and value are clearly presented*. Workshop presented at NYAPRS Rehab and Recovery Academy, Saratoga Springs, NY.

Kotary, B. (2018). *Home and Community Based Services*. Presentation presented at RSS Care Management Symposium: Caring for Our Care Managers, Latham, NY & Saugerties, NY.

Ruot, B., Bellinger, S., & Kotary, B. (2017). *Traveling the road to recovery takes work*. Workshop presented at 38th annual ACLAIM Conference, Bolton Landing, NY.

*REFERENCES AVAILABLE UPON REQUEST.

Section III
RFP# 2021-096
References

Deborah Murray, LCSW-R
Deputy Director of Operations
Capital District Psychiatric Center - Office of Mental Health
75 New Scotland Ave
Albany, New York 12208
Phone 518-549-6825

Janelle Shults, LMSW
Director, Health Home
Capital Region Health Connections
St. Peter's Health Partners
2212 Burdett Ave.
Troy, NY 12180
518-271-3620

Albany County

RFP # 2021-096

Re-Entry Case Management Services

Section IV

Plan Implementation and Scope of Services

Rehabilitation Support Services is committed to serving underserved populations in Albany County including those reentering the community from prison. Through this program, RSS will reduce recidivism of re-arrest, parole violations, and increase integration into the community by providing linkage to services, collaborating amongst community providers, and coordinating care for everyone.

RSS will employ two case managers to carry the caseload of moderate to high risk/high need individuals returning to the community from prison identified by the County Reentry Case Review Committee and coordinate with the Reentry Coordinator. Understanding that this is an extremely complex and serious population, RSS will employ individuals with experience in working with the criminal justice population. Given RSS' history of working with some of the most challenging individuals in the community, RSS will leverage already existing community relationships and develop new relationships to ensure care is coordinated for each individual.

RSS will participate in an initial assessment or case conference for at least 135 individuals during the year. On average, 11-12 individuals with moderate to high-risk being released from prison will be assessed each month. Each referral will be reviewed by the prospective Case Manager and their supervisor. Operating under a strict "no-reject, no-eject" policy, the Case Manager will complete an intake assessment within one week of the individual being referred to reentry and/or has returned to the community. Understanding that planning for release is most successful when it begins early and prior to release, RSS will begin pre-release planning up to three months prior to an individual's release from prison, if able. During this pre-release period, the case managers will work closely with the Reentry Task Force Coordinator and assigned parole staff to create a preliminary plan of need for an individual to be utilized during the intake assessment. The intake assessment will take a strengths-based perspective for each individual and will include any parole requirements. In addition to historical information and information from parole, DOCCS, and the Reentry Coordinator, the assessment will include detail regarding the following areas to ensure a full review of each case.

These assessments will be very similar to what are used in our Health Home Plus Care Management program and allows the Case Manager to create a client specific plan based off the detailed information obtained. The current Health Home Plus Comprehensive Assessment includes information related to health concerns, mental health treatment, hospitalizations, substance use, nicotine use, interpersonal relationships, employment goals, and goals the individual has for themselves. Our assessments will also include in depth historical information related to the individual's criminal history. Each assessment will be electronically emailed to the Reentry Coordinator on a weekly basis for tracking and review purposes. RSS will utilize the Albany County IMA Electronic Health Record to complete all plans and progress notes related to this program.

RSS has experience in assertively outreaching individuals reentering the community. Often individuals may be homeless without a telephone or easy way to reach them. The Case Managers will utilize a variety of techniques to outreach individuals for assessment and to provide services. These techniques will include: mail, street level outreach, phone calls, coordination and collaboration with providers, and attending appointments in the community with individuals. In addition, the Case Managers may be available upon release and return to Albany to transport individuals to their next placement or any appointments they may have scheduled. These techniques will not only be used during the intake/admission phase but throughout the duration someone is enrolled in the program.

Following the completion of the initial intake assessment and in collaboration with the Case Review Committee a Service Coordination Plan will be developed between the reentry individual and the case manager within ten days of the completed intake assessment. This plan will be updated and refined as needed as the individual progresses through the program. RSS operates all programs from a strengths-based perspective. By placing a focus on a person's strengths rather than past failures or perceived weaknesses, an individual can be motivated to utilize those strengths for positive outcomes in their life. Using a technique called "collaborative documentation" the case manager and the reentry individual will meet and type the plan as a team. The Service Coordination Plan will use language from the reentry individual themselves and they will participate in determining which objectives and goals are most meaningful and beneficial to them. Engaging individuals in both a strength-based and collaborative manner builds rapport and empowers the individual to work towards their created goals and objectives. Once the plan is developed a copy will be shared with the parole officer and the Case Review Committee to ensure efforts are not duplicated and all necessary needs are being addressed.

Specific areas that should be included in the Service Coordination Plan will be related to locating appropriate housing, obtaining employment or preparing for work, furthering their education, and ensuring all social service needs including food and sources of income are met,

linkage with treatment providers (mental health, sex offender, substance use, etc.), offender accountability, and Health Home Care Management. RSS operates many of these programs in Albany County. If an individual is looking for job training or opportunities, to return to school, improve their independent living skills, or just needs support navigating the community, RSS has a program that can assist them with those goals. Our programs utilize evidenced based practices that are strengths based and include: Cognitive Behavioral Therapy, Dialectical Behavioral Therapy, Motivational Interviewing, and Harm Reduction. With our longstanding history of positive relationships with and partnerships within the community our programs work collaboratively to link individuals to community resources that may benefit their short and long term goals. The key to these relationships are ongoing and positive communication.

Each plan will be reviewed two weeks after it's initial development and updated on an as needed basis when changes are needed. Each plan will be reviewed prior to discharge. Case Managers will utilize these plans to guide their treatment and interactions with the reentry individual. It is the responsibility of the Case Managers to provide reminders, transportation to appointments, and necessary referrals on behalf of each individual on their caseload.

Each initial intake assessment will determine whether a Cognitive Behavioral Intervention Program or employment readiness program may be appropriate for the reentry individual. RSS will enroll 25% of individuals into one of these programs. Based on the determination in the initial assessment a goal will be added to the Service Coordination Plan and the Case Manager will complete referrals for the chosen program and coordinate engagement to the program. The Case Manager will monitor attendance to the CBI or employment readiness program by collecting attendance sheets. The Case Manager will work closely with the program staff and the reentry individual to problem solve or identify any potential barriers to completing the program. The Case Manager will work to minimize these potential barriers. The goal is to have 50% of those enrolled in a CBI or employment readiness graduate from the program. Following the completion or concurrent to enrollment, the Case Manager will evaluate each individual to determine their appropriateness to attend a PROS program or link with RSS' ACCES-VR program. The Capital District PROS works with individuals to develop skills needed for employment and also provides on the job support to individuals working in the community. The ACCES-VR program can assist in finding job placements for individuals who are ready to work. RSS has numerous NYSID contracts throughout the Capital District and we regularly are looking for individuals who are ready to begin employment.

Often, transportation is a barrier many individuals face to successfully complete programs or reaching their goals. To reduce these barriers, RSS has a relationship with Ride Health where individuals can book non-medical transportation for social service needs. This transportation can include housing searches, transportation to parole, transportation to pharmacies, and transportation to

food pantries. Individuals often require multiple referrals to a variety of programs and services. To more efficiently make referrals and follow up on them in real time, RSS has a contract with the Unite Us platform which allows staff to make electronic referrals and view updates in real time for a variety of providers and community resources (including: mental health, household goods, clothing, financial assistance, legal assistance).

Case Managers will provide two face to face visits per month per reentry individual plus a minimum of two additional phone contacts to increase collaboration and coordination. These visits may be while transporting to the individual to an appointment, while making referrals, at the individual's home, at the parole office, or in the staff office. At minimum, one of these visits must take place in the community and not at the parole office or staff office. The Case Managers will be equipped with technology that will encourage them to work out in the field rather than staying in the office. Care Managers will be able to utilize their company laptop and iPhone to securely access individual records and complete work in real time while out in the community. Due to this real time access, all progress notes will be documented on the same day of service delivery. If there are technology related issues, all notes will be entered within 24 hours of service delivery. All services and plans will be documented the Albany County IMA EHR system. Case file documentation such as: attendance sheets, leases, referrals will be securely stored in a locked facility at RSS.

A key point to the success of this program is ongoing and daily communication with DOCCS. RSS has worked with many individuals in the criminal justice system and find individuals are most successful when communication is frequent and transparent. Given the moderate to high risk of the individuals in this program, we must speak daily about the status of each and identify areas where services may be put into place to avoid rearrest or parole violation.

In addition to their work with reentry individuals out in the community, the case managers and their supervisor will attend the bi-weekly Case Review Committee and the monthly Needs Assessment Committee meeting. RSS will send a member of management to attend the bi-monthly County Reentry Task Force Meeting. In addition, program management and case managers will work collaboratively with department representatives for regular contract monitoring. RSS has a long-standing history of representation and collaboration on many county committees including the SPOA committee, Coordinated Entry, PSCC, and Case Management SPOA to name a few.

RSS operates several programs with flexible spend funds available to them. These funds will be extremely helpful to reentry individuals as they can be utilized when other community resources may not be available to meet their needs. The use of these funds will be creative and tailored to each person's needs. For example, purchasing lost identification needed for referrals, preparation and transportation to a job interview may be a couple of unique ways to

use these funds. RSS has a system of tracking flexible spending funds internally which includes a voucher form that is completed and describes the reason and use of the funds, includes the receipt, and is reviewed by two levels of management for approval.

Program Outcomes and Performance Measures

In order to show a successful program and improved quality of life for the individuals served, RSS will report on all of the quality of life indicators, referral status linkages made, and outcome of each. As per the list in the Request for Proposals, RSS will report on each of these indicators at admission, at the beginning of each month, and at discharge. Similar reporting is done in our Health Home Care Management and Supported Housing Programs. The program will track and monitor a variety of quality of life indicators for each individual. For over 1000 individuals, RSS Care Management currently tracks substance use, hospitalization or emergency room status, and referral status on a monthly basis. Completing this type of reporting for the Reentry Case Management program will fit nicely into the current reporting workflow at RSS.

In addition to the individual reporting noted above, RSS will track overall program outcomes to determine the success of the program in meeting desired metrics. These reports, similar to what are run in other RSS programs and Care Management will look at any recent hospitalizations, re-arrest, the number of contacts with each individual, how many intake assessments are completed (goal of 135 annually), and how many individuals have enrolled in and completed CBI or work related programming. Along with this information, RSS will submit claim for reimbursement upon successful attainment of the required objectives.

Objective #1: Intakes

Within one week of receiving a referral for a moderate to high-risk and/or special population individual, RSS Case Manager will complete initial intake assessment. The Case Managers will complete an average of 11 to 12 intakes per month for a target of 135 intakes per year. This initial intake assessment includes a review of the referral from DOCCS, screening of the individual for eligibility, and creation of a service plan to refer individuals to services that meet their needs.

Case files will be documented in the electronic health record and will also include copies of any relevant documentation including: identification, referrals, leases, attendance records, etc.

Objective #2: Service Coordination Plan

As noted above, each Service Coordination Plan will focus on a variety of areas related to the reentry individual's goals which may include: housing, employment, education, social services, treatment, offender accountability, Cognitive Behavioral Intervention, and necessary referrals.

Each month, a report will record the data related to these plans, how many people are using these services for a period longer than 30 days.

Objective #3: Enroll/Engage in CBI

RSS will enroll at least 25% of individuals into an employment readiness program or Cognitive Behavioral Intervention program. This milestone will be met if one class is attended however, the case managers will work with individuals to complete each of these programs and problem solve for any challenges that arise. All attendance forms and rosters will be maintained for the record and progress will be documented.

Objective #4: Complete CBI/Employment Readiness

RSS will work with individuals enrolled in CBI or employment readiness programs to fully complete the program. At minimum, 50% of individuals enrolled in these programs will complete it. The case managers will work closely with both the programs and the reentry individuals to determine potential barriers for completing these programs. Case Managers will coordinate or provide resources as appropriate to facilitate the completion of these programs. Attendance sheets and rosters will be maintained in the case record to document the completion of these courses.

Program Operations and Siting

The program will be located at 314 Central Avenue Albany, NY. There is a CDTA bus line directly in front of the office. In addition, RSS operates housing programs, a clinic, PROS, and vocational services in this building. This will allow for easy coordination and communication for the case managers. RSS holds regular business hours Monday thru Friday and staff will be available during these hours to meet the needs of reentry individuals and complete intake assessments.

Confidentiality

RSS complies with all applicable confidentiality laws, regulations, and requirements. RSS will continue to comply with these laws as they currently exist or if they are changed in the future.

Records-Keeping and Reporting

As noted above, all progress notes will be noted on the same day of services via concurrent documentation. If there is a technology related issue, notes will be entered within 24 hours of service in the Albany County IMA EHR system. Service plans will be reviewed on a bi-monthly basis and will be specific to each individual's criminogenic needs and ability to remain in the community to avoid recidivism.

The case managers will maintain monthly tracking forms and submit to the County Reentry Coordinator to communicate performance related to goals, targets, and life indicators of reentry individuals. This tool will be utilized as a quality improvement tool in the program to target potential areas for growth.

Case review meetings will be attended bi-weekly by the case managers and an update will be given regarding the progress of each individual, referrals submitted, challenges faced, and planning for discharge.

Monitoring and Recognition

RSS will authorize any county, state, federal personnel to observe and monitor the program and issue a report to Albany County Department of Mental Health. Financial records will be made available, upon request. Any press inquiries will result in notification of the Albany County Department of Mental Health to coordinate a response.

Quality Assurance

RSS takes the quality of its' programs very seriously. To maintain quality, case managers will have a weekly supervision with their direct supervisor. In addition, regular documentation and quality of service reviews will be completed by the program supervisor and director to ensure program targets and outcome measures are being reached.

COUNTY OF ALBANY

COST PROPOSAL FORM

PROPOSAL IDENTIFICATION:

Title: **REENTRY CASE MANAGEMENT SERVICES**

RFP Number: **RFP-2021-096**

COMPANY: Rehabilitation Support Services, Inc
ADDRESS: 314 Central Ave
CITY, STATE, ZIP: Albany, NY 12206
TEL. NO.: (518) 462-1094 ext. 233
FAX NO.: (518) 462-1097
FEDERAL TAX ID NO.: 14-1609149
REPRESENTATIVE: Lauren Tegnander
E-MAIL: LTegnander@rehab.org
SIGNATURE AND TITLE: Lauren Tegnander, managing Director
DATE: 7/20/21

Cost Proposal
RFP # 2021-096

Personnel

| <i>Position</i> | <i>Pay Rate</i> | <i>Hours/Week</i> | <i>Cost</i> |
|-----------------|-----------------|-------------------|-----------------|
| Case Manager | \$20/hour | 40 hours | \$41,600 |
| Case Manager | \$20/hour | 40 hours | \$41,600 |
| Supervisor | \$7,000/year | 5 hours | \$7,000 |
| Total | | | \$90,200 |

Fringe Benefits

| <i>Component</i> | <i>Rate</i> | | <i>Cost</i> |
|--|-------------|--|-----------------|
| Fringe benefits for Case Manager including Social Security, Medicare, Workers Comp, 401K, NYS Paid Leave, Health Insurance | 31% | | \$12,896 |
| Fringe benefits for Case Manager including Social Security, Medicare, Workers Comp, 401K, NYS Paid Leave, Health Insurance | 31% | | \$12,896 |
| Fringe benefits for Supervisor including Social Security, Medicare, Workers Comp, 401K, NYS Paid Leave, Health Insurance | 31% | | \$2,170 |
| Total | | | \$27,962 |

Supplies & Travel

| <i>Item(s)</i> | | | <i>Cost</i> |
|-----------------|--|--|----------------|
| Computer | | | \$1,330 |
| Office Supplies | | | \$250 |
| Travel | | | \$4,600 |
| Training | | | \$600 |
| Total | | | \$6,780 |

Total Cost Proposal:

\$124,942

ATTACHMENT "A"
NON-COLLUSIVE BIDDING CERTIFICATE PURSUANT TO
SECTION 103-D OF THE NEW YORK STATE GENERAL MUNICIPAL LAW

A. 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 organizations, under penalty of perjury, that to the best of knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor.

(2) Unless otherwise required by law, the prices which have been quoted in this bid have not knowingly been disclosed by the bidder and will not knowingly be disclosed by the bidder, directly or indirectly, prior to opening, to any bidder or to any competitor.

(3) No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A bid shall not be considered for award nor shall any award be made where (1), (2), and (3) above have not been complied with; provided, however, that in any case the bidder cannot make the foregoing certification, the bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons thereof. Where (1), (2), and (3) above have not been complied with, the bid shall not be considered for any award nor shall any award be made unless the head of the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid is made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

The fact that a bidder (a) has published price lists, rates, or tariffs covering items being procured, (b) has informed prospective customer of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning of paragraph "A" above.

B. Any bid hereafter made to any political subdivision of the state or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods sold or to be sold, where competitive bidding is required by statute, rule, regulation, local law, and where such bid contains the certification referred to in paragraph "A" of this section, shall be deemed to have been authorized by the Board of Directors of the bidder, and such authorization shall be deemed to include the submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation

William DeVita
Signature

Executive Director
Title

Rehabilitation Support
Company Name
Services Inc.

7/19/21
Date

ATTACHMENT "B"
ACKNOWLEDGMENT BY PROPOSER

If Individual or Individuals:

STATE OF _____)
COUNTY OF _____) SS.:

On this _____ day of _____, 20____, before me personally appeared _____ to me known and known to me to be the same person(s) described in and who executed the within instrument, and he (or they severally) acknowledged to me that he (or they) executed the same.

Notary Public, State of _____

Qualified in _____

Commission Expires _____

If Corporation:

STATE OF New York)
COUNTY OF Albany) SS.:

On this 19 day of July, 2021, before me personally appeared William Delita to me known, who, being by me sworn, did say that he resides at (give address) Niskayuna, New York; that he is the (give title) Executive Director of the (name of corporation) Rehabilitation Support Services, Inc, the corporation described in and which executed the above instrument; that he knows the seal of the corporation, and that the seal affixed to the instrument is such corporate seal; that it was so affixed by order of the board of directors of the corporation, and that he signed his name thereto by like order.

Michelle E. Ciko
Notary Public, State of New York
No. 01C14991851
Qualified in Albany County
Commission Expires February 10, 2022

Michelle E. Ciko
Notary Public, State of New York
Qualified in Albany County
Commission Expires 2-10-22

If Partnership:

STATE OF _____)
COUNTY OF _____) SS.:

On the _____ day of _____, 20____, before me personally came _____, to me known to be the individual who executed the foregoing, and who, being duly sworn, did depose and say that he / she is a partner of the firm of _____ and that he / she has the authority to sign the same, and acknowledged that he / she executed the same as the act and deed of said partnership.

Notary Public, State of _____

Qualified in _____

Commission Expires _____

Attachment "D"
Certification Pursuant to Section 103-g
Of the New York State
General Municipal Law

- A. By submission of this bid/proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer 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 New York State Finance Law.
- B. A Bid/Proposal shall not be considered for award, nor shall any award be made where the condition set forth in Paragraph A above has not been complied with; provided, however, that in any case the bidder/proposer cannot make the foregoing certification set forth in Paragraph A above, the bidder/proposer shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor. Where Paragraph A above cannot be complied with, the Purchasing Unit to the political subdivision, public department, agency or official thereof to which the bid/proposal is made, or his designee, may award a bid/proposal, on a case by case business under the following circumstances:
1. The investment activities in Iran were made before April 12, 2012, the investment activities in Iran have not been expanded or renewed after April 12, 2012, and the Bidder/Proposer has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran; or
 2. The political subdivision makes a determination that the goods or services are necessary for the political subdivision to perform its functions and that, absent such an exemption, the political subdivision would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.

7/19/21
Date

William DeVito
Signature

Executive Director
Title

Rehabilitation Support
Company Name

Servus, Inc.

**ALBANY COUNTY
VENDOR RESPONSIBILITY QUESTIONNAIRE**

FEIN #

State of:)
) ss:
County of:)

CERTIFICATION:

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the County of Albany in making a determination regarding an award of contract or approval of a subcontract; acknowledges that the County may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination; and states that the information submitted in this questionnaire and any attached pages is true, accurate and complete.

The undersigned certifies that he/she:

- Has not altered the content of the questions in the questionnaire in any manner;
- Has read and understands all of the items contained in the questionnaire and any pages attached by the submitting vendor;
- Has supplied full and complete responses to each item therein to the best of his/her knowledge, information and belief;
- Is knowledgeable about the submitting vendor's business and operations;
- Understands that Albany County will rely on the information supplied in the questionnaire when entering into a contract with the vendor;
- Is under duty to notify the Albany County Purchasing Division of any material changes to the vendor's responses.

Name of Business

Signature of Owner William DeVita

Address

Printed Name of Signatory William DeVita

City, State, Zip

Title Executive Director

Sworn before me this 19 day of July, 2021.
Michelle E. Ciko
Notary Public

Michelle E. Ciko
Notary Public, State of New York
No. 01C14991851
Qualified in Albany County
Commission Expires February 10, 2022

William DeVita
Printed Name

William DeVita
Signature

July 19, 2021
Date

ATTACHMENT "C"
ALBANY COUNTY
VENDOR RESPONSIBILITY QUESTIONNAIRE

| | | | |
|--|--------------------------|--|---|
| 1. VENDOR IS: <input checked="" type="checkbox"/> PRIME CONTRACTOR <u>Rehabilitation Support Services, Inc.</u> | | | |
| 2. VENDOR'S LEGAL BUSINESS NAME <u>Rehabilitation Support Services, Inc.</u> | | 3. IDENTIFICATION NUMBERS a) FEIN # <u>14-1609149</u> b) DUNS # <u>006-00-2026</u> | |
| 4. D/B/A - Doing Business As (if applicable) & COUNTY FIELD: | | 5. WEBSITE ADDRESS (if applicable) <u>www.rehab.org</u> | |
| 6. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE <u>5172 Western Turnpike</u> <u>Altamont, NY 12009</u> | | 7. TELEPHONE NUMBER <u>518-</u> <u>4104-1511</u> | 8. FAX NUMBER <u>518-</u> <u>464-9198</u> |
| 9. ADDRESS OF PRIMARY PLACE OF BUSINESS/EXECUTIVE OFFICE <i>IN NEW YORK STATE, if different from above</i> | | 10. TELEPHONE NUMBER | 11. FAX NUMBER |
| 12. AUTHORIZED CONTACT FOR THIS QUESTIONNAIRE Name <u>Elizabeth Kadatz</u> Title <u>Director of Operations</u> Telephone Number <u>518-579-4215</u> Fax Number <u>518-464-9198</u> e-mail <u>EKadatz@rehab.org</u> | | | |
| 13. LIST ALL OF THE VENDOR'S PRINCIPAL OWNERS. | | | |
| a) NAME <u>William DeVita</u> | TITLE <u>Ex Director</u> | b) NAME <u>Elizabeth Kadatz</u> | TITLE <u>Dir of Operations</u> |
| c) NAME <u>Tim Reynolds</u> | TITLE <u>CFO</u> | d) NAME | TITLE |
| A DETAILED EXPLANATION IS REQUIRED FOR EACH QUESTION ANSWERED WITH A "YES," AND MUST BE PROVIDED AS AN ATTACHMENT TO THE COMPLETED QUESTIONNAIRE. YOU MUST PROVIDE ADEQUATE DETAILS OR DOCUMENTS TO AID THE COUNTY IN MAKING A DETERMINATION OF VENDOR RESPONSIBILITY. PLEASE NUMBER EACH RESPONSE TO MATCH THE QUESTION NUMBER. | | | |
| 14. DOES THE VENDOR USE, OR HAS IT USED IN THE PAST FIVE (5) YEARS, ANY OTHER BUSINESS NAME, FEIN, or D/B/A OTHER THAN THOSE LISTED IN ITEMS 2-4 ABOVE? List all other business name(s), Federal Employer Identification Number(s) or any D/B/A names and the dates that these names or numbers were/are in use. Explain the relationship to the vendor. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | | | |
| 15. ARE THERE ANY INDIVIDUALS NOW SERVING IN A MANAGERIAL OR CONSULTING CAPACITY TO THE VENDOR, INCLUDING PRICIPAL OWNERS AND OFFICERS, WHO NOW SERVE OR IN THE PAST ONE (1) YEARS HAVE SERVED AS: a) An elected or appointed public official or officer? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>List each individual's name, business title, the name of the organization and position elected or appointed to, and dates of service</i> b) An officer of any political party organization in Albany County, whether paid or unpaid? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>List each individuals name, business title or consulting capacity and the official political position held with applicable service dates.</i> | | | |

| | | |
|-----|--|---|
| 16. | <p>WITHIN THE PAST (5) YEARS, HAS THE VENDOR, ANY INDIVIDUALS SERVING IN MANAGERIAL OR CONSULTING CAPACITY, PRINCIPAL OWNERS, OFFICERS, MAJOR STOCKHOLDER(S) (10% OR MORE OF THE VOTING SHARES FOR PUBLICLY TRADED COMPANIES, 25% OR MORE OF THE SHARES FOR ALL OTHER COMPANIES), AFFILIATE OR ANY PERSON INVOLVED IN THE BIDDING OR CONTRACTING PROCESS:</p> | |
| a) | <p>1. been suspended, debarred or terminated by a local, state or federal authority in connection with a contract or contracting process;</p> <p>2. been disqualified for cause as a bidder on any permit, license, concession franchise or lease;</p> <p>3. entered into an agreement to a voluntary exclusion from bidding/contracting;</p> <p>4. had a bid rejected on an Albany County contract for failure to comply with the MacBride Fair Employment Principles;</p> <p>5. had a low bid rejected on a local, state or federal contract for failure to meet statutory affirmative action or M/WBE requirements on a previously held contract;</p> <p>6. had status as a Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise, de-certified, revoked or forfeited;</p> <p>7. been subject to an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal government contract;</p> <p>8. been denied an award of a local, state or federal government contract, had a contract suspended or had a contract terminated for non-responsibility; or</p> <p>9. had a local, state or federal government contract suspended or terminated for cause prior to the completion of the term of the contract.</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| b) | <p>been indicted, convicted, received a judgment against them or a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including but not limited to, fraud extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct?</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| c) | <p>been issued a citation, notice, violation order, or are pending an administrative hearing or proceeding or determination of violations of:</p> <p>1. federal, state or local health laws, rules or regulations.</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 17. | <p>IN THE PAST THREE (3) YEARS, HAS THE VENDOR OR ITS AFFILIATES HAD ANY CLAIMS, JUDGMENTS, INJUNCTIONS, LIENS, FINES OR PENALTIES SECURED BY ANY GOVERNMENTAL AGENCY?</p> <p>Indicate if this is applicable to the submitting vendor or affiliate. State whether the situation(s) was a claim, judgment, injunction, lien or other with an explanation. Provide the name(s) and address(es) of the agency, the amount of the original obligation and outstanding balance. If any of these items are open, unsatisfied, indicate the status of each item as "open" or "unsatisfied."</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 18. | <p>DURING THE PAST THREE (3) YEARS, HAS THE VENDOR FAILED TO:</p> <p>a) file returns or pay any applicable federal, state or city taxes? <i>Identify the taxing jurisdiction, type of tax, liability year(s), and tax liability amount the vendor failed to file/pay and the current status of the liability.</i></p> <p>b) file returns or pay New York State unemployment insurance? <i>Indicate the years the vendor failed to file/pay the insurance and the current status of the liability.</i></p> <p>c) Property Tax <i>Indicate the years the vendor failed to file.</i></p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 19. | <p>HAVE ANY BANKRUPTCY PROCEEDINGS BEEN INITIATED BY OR AGAINST THE VENDOR OR ITS AFFILIATES WITHIN THE PAST SEVEN (7) YEARS (WHETHER OR NOT CLOSED) OR IS ANY BANKRUPTCY PROCEEDING PENDING BY OR AGAINST THE VENDOR OR ITS AFFILIATES REGARDLESS OF THE DATE OF FILING?</p> <p>Indicate if this is applicable to the submitting vendor or affiliate. If it is an affiliate, include the affiliate's name and FEDN. Provide the court name, address and docket number. Indicate if the proceedings have been initiated, remain pending or have been closed. If closed, provide the date closed.</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 20. | <p>IS THE VENDOR CURRENTLY INSOLVENT, OR DOES VENDOR CURRENTLY HAVE REASON TO BELIEVE THAT AN INVOLUNTARY BANKRUPTCY PROCEEDING MAY BE BROUGHT AGAINST IT? Provide financial information to support the vendor's current position, for example, Current Ratio, Debt Ratio, Age of Accounts Payable, Cash Flow and any documents that will provide the agency with an understanding of the vendor's situation.</p> | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |

21. IN THE PAST FIVE (5) YEARS, HAS THE VENDOR OR ANY AFFILIATES:

☐ Yes ☒ No

a) defaulted or been terminated on, or had its surety called upon to complete, any contract (public or private) awarded;

Indicate if this is applicable to the submitting vendor or affiliate. Detail the situation(s) that gave rise to the negative action, any corrective action taken by the vendor and the name of the contracting agency.

1 "Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.