

NYS Consolidated Funding Application  
Legal Name of Applicant: United Way of Greater Rochester  
Project Name: System Integration in Monroe County New York  
Application Number 80696  
Registration Email: laura.gustin@uwrochester.org  
File created September 28, 2018 - 09:54 AM  
Application finalized on September 28, 2018 - 09:53 AM

## Region

Finger Lakes

## Questionnaire Questions & Answers

### Threshold

#### Upstate Revitalization Initiative

Q\_4269 Are you submitting an "Intent to Propose" application seeking funding through the Upstate Revitalization Initiative?

Locked.

Yes

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### Location

Q\_3527 US Congressional District where the project is located.

Locked.

No Answer

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Q\_928 Project Street Address: Please input the project street address (**Street Number and Street Name only**).

If the project has multiple locations, please input the primary street address of the project. If the project does not have a definite street address, please input the approximate street address of the project (Street Number and Street Name only).

Locked.

75 College Avenue

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Q\_565 Project City

Locked.

Rochester

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Q\_972 Project county or counties.

Locked.

Monroe

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Q\_508 Project State

Locked.

NY

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Q\_971 Project Without a Street Address: please enter a description of the project location. Include project starting/ending street addresses, cities & zip codes if applicable.

Locked.

Monroe County

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Q\_572 Project Latitude (This questions value will be filled automatically, based on the project address, when the application is finalized.)

Locked.

43.159379

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Q\_573 Project Longitude (This questions value will be filled automatically, based on the project address, when the application is finalized.)

Locked.

-77.58728679696

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Q\_184 NYS Assembly District where the project is located. (This questions value will be filled automatically, based on the project address, when the application is finalized.)

Locked.

No Answer

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Q\_190 NY Senate District where the project is located. (This questions value will be filled automatically, based on the project address, when the application is finalized.)

Locked.

No Answer

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Q\_1034 Project ZIP Code. (please use ZIP+4 if known)

Locked.

14605, 14604, 14608, 14611, 14621, 14613, 14609, 14620, 14606, 14619, 14607, 14615, 14616, 14623

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## Basic

### General Project Information

Q\_550 If you are a DBA, what is your DBA name?

Locked.

n/a

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Q\_549 Type of Applicant (select all that apply)

Locked.

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Not-For-Profit

Q\_556 Select an applicant ID type from the list below that you normally use to identify your organization on application forms.

Locked.

Federal Tax ID Number

Q\_2655 Based on your selection from the previous question, enter your applicant ID number. (Please do not provide your social security number).

Locked.

16-1015782

Q\_969 If you are a business, have you been certified as a New York State Minority or Women-owned Business Enterprise (MWBE)?

Locked.

N/A

Applicant

	Answer
<b>Legal Name</b>	Locked. United Way of Greater Rochester
<b>Street Address</b>	Locked. 75 College Avenue
<b>City</b>	Locked. Rochester
<b>State</b>	Locked. NY
<b>Zip Code (use ZIP+4 if known)</b>	Locked. 146071009
<b>Telephone Number (include area code)</b>	Locked. 585-242-6400

<b>Email Address</b>	Locked. jaime.saunders@uwrochester.org
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**Contacts**

	<b>Primary Contact</b>	<b>Contact Authorized to Execute Contract if Awarded</b>	<b>Additional Contact</b>
<b>First Name</b>	Locked. Jaime	Locked. Jaime	Locked. Laura
<b>Last Name</b>	Locked. Saunders	Locked. Sauders	Locked. Gustin
<b>Title</b>	Locked. President/CEO	Locked. President/CEO	Locked. Director of Strategic Initiative:
<b>Street Address</b>	Locked. 75 College Avenue	Locked. 75 College Avenue	Locked. 75 College Avenue
<b>City</b>	Locked. Rochester	Locked. Rochster	Locked. Rochester
<b>State</b>	Locked. NY	Locked. NY	Locked. NY
<b>ZIP Code</b>	Locked. 146071009	Locked. 146071009	Locked. 146071009
<b>Telephone Number</b>	Locked. 585-242-6555	Locked. 585-242-6555	Locked. 585-242-6447
<b>Email Address</b>	Locked. jame.saunders@uwrochester.org	Locked. jaime.saunders@uwrochester.org	Locked. laura.gustin@uwrochester.org

<b>Salutation</b>		Locked. Ms.	
<b>Organization</b>		Locked. United Way of Greater Rochester	

Q\_4199 Please select the primary sector or characterization that best defines this project.

Locked.

Community Development

Q\_4198 Please select the secondary sector or characterization that best defines this project.

Locked.

Business Development

## Project Description

Q\_575 Project Description. Concisely describe the project, indicating the location, what will be planned, designed, acquired, and/or constructed, the issues/opportunities to be addressed, and expected outcomes and deliverables. Additional details will be collected later in the application process.

Locked.

The System Integration Project (SIP) is a five-year engagement to develop an integrated data ecosystem and cross-sector workflows that bridge Monroe County's health, human service and education sectors. The purpose of the SIP is to coordinate and connect the siloed and misaligned services and solutions that assist community members' transition from crisis to stable to thriving. The planned components of this leading-edge data ecosystem include:

A data hub and analytic engine that compiles new and existing and/or administrative data to inform the development and application of evolved cross-sector workflows

A digital dashboard that offers users a 360 degree view of 150,000 individuals and families

A digital closed-loop referral system utilized by more than 300 providers

The SIP also includes a robust change management process that involves pilots, rapid cycle improvement, agile project management and cross-sector training on integrated workflows, adaptive leadership and technology utilization. It is not the intent of the SIP to drive sector-specific initiatives, but instead to create transparency, trust and solutions that can be commonly applied.

Q\_976 Statement of Need

Locked.

Every day, hundreds of individuals and families fall through the cracks, get lost in the "system", and spin in a perpetual cycle of crisis and vulnerability. This statement is not a reflection of community commitment or expertise, but rather the constant struggle to coordinate and deliver interventions that bridge institutions and sectors. At present, the sectors that serve people living in poverty- health, human service and education- are inherently siloed due to decades of isolated funding streams, sector-specific regulation and prioritization of highly specialized technical proficiency. At each front door, whether a school, emergency department, library, supportive housing provider or workplace, children and families are presented with unique and incomplete sets of solutions to improve their wellbeing.

Q\_930 Explain what makes your project a regional economic priority - for example creates jobs, economic investment, sustainability and community revitalization, government efficiency or consolidation etc.

Locked.

Success in school, higher education and/or employment requires consistency and stability in families and households, so that individuals might focus on achievement instead of basic needs, such as housing, food, transportation, and safe neighborhoods. However, despite a plethora resources, stability is often unattainable due to a broken and misaligned system of support.

During the forming of the Rochester-Monroe Anti-Poverty Initiative (RMAPI), "Falling through the cracks" of the system was a documented norm, and many reported cycling in and out poverty every five years. As a result, one of three core recommendations from RMAPI's community engagement process was the need to design a comprehensive, integrated system of support for people who are living in poverty. The System Integration Project is a response to this appeal.

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Q\_2366 How does your project align with the Regional Economic Development Council's Strategic Plan/Upstate Revitalization Initiative Plan? (strategic plans are located at <https://regionalcouncils.ny.gov/>)

Locked.

The System Integration Project (SIP) directly aligns with the region's Finger Lakes Forward plan, and more specifically the Pathways to Prosperity pillar. Per the Finger Lakes Forward plan *the URI will include initiatives to directly address poverty by developing a coordinated, integrated system of support services for those in need*. The System Integration Project is a direct response to request, created by hundreds of key community stakeholders through a nine-month planning effort. Further, a core function of the SIP is to remove barriers to education and employment by supporting the transition of families from crisis to stable to thriving. As such, the SIP will provide core digital infrastructure necessary to realize a pathway to prosperity.

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Q\_929 Current State of Project Development (i.e. planning, preliminary engineering, final design, etc. You may enter N/A for non-project related applications)

Locked.

The SIP is currently focused on data ecosystem design and implementation of key contiguous components such as universal consent and contracting.

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Q\_975 Estimated Project Timeline: including project start/completion dates, estimates for design, permitting and construction or other major steps. (You may enter N/A for non-Project related applications)

Locked.

The SIP will run through December 2023. Key Project Milestones are as follows:  
**Year 1:** Hire staff; Develop data ecosystem business requirements and RFP process; Develop early adopter pilot and RFP process; Create community engagement strategy; Implement agile project management framework  
**Year 2:** Select Data Ecosystem Vendors and launch small-scale implementation; Launch pilots, evaluation, training and community engagement strategies; Ongoing project management  
**Year 3:** Grow implementation of data ecosystem and pilots; Evaluation and continuous improvement; training and technical assistance; Ongoing project management  
**Year 4:** Complete implementation of data ecosystem and pilots; Evaluation and continuous improvement; training and technical assistance; Ongoing project management  
**Year 5:** System maintenance; Establish return on investment

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Q\_580 Provide a list of all federal, state, and local reviews, approvals, or permits needed or completed, including the dates when they are expected to be completed or were completed. If Not Applicable, indicate "NA".

Locked.

N/A

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Q\_2364 What is the status of State and/or Federal Environmental Review? If review of the project is underway or completed pursuant to the State Environmental Quality Review Act (SEQRA) or National Environmental Policy Act (NEPA), please indicate the lead agency (if applicable).

Locked.



N/A

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Q\_1054 If National Environmental Policy Act (NEPA) Record of Decision has been issued, please explain (include date of Record of Decision).

Locked.

N/A

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### Prior CFA Funding

Q\_2362 If funding was awarded in prior CFA rounds, what were the CFA numbers for which funding was awarded? (separate multiple CFA numbers with commas)

Locked.

N/A

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Q\_4160 For each program to which you are applying under the CFA, explain your strategy for proceeding if the full amount of requested funding, required matching funds, and temporary financing are not secured as expected, or committed sources become unavailable. This explanation must address any proposed project phases, and both CFA and non-CFA sources of funds.

Locked.

The total, five-year cost for the SIP is \$18,700,000. The purpose of this proposal is to secure \$15,000,000 to support the core components of SIP implementation including staffing, pilots and data ecosystem design and implementation. Given that the data ecosystem proposed under the SIP is intended to be a community asset designed to collectively improve the widely held community goals of wellbeing and prosperity, there is inherent value in funding the SIP through neutral community dollars. As such, Upstate Revitalization Initiative (URI) funding will act as a cornerstone of the SIP's braided-funding strategy, ensuring that the SIP is implemented based on community, versus institutional, objectives.

That said, concurrent to the development of this proposal, the System Integration Team has begun to pursue additional means for funding the SIP, including but not limited to seeking investments from both local and national philanthropic sources, as well as complimentary funding from existing New York State sponsored initiatives. For example, the SIP recently received an award of \$213,000, via the Greater Rochester Regional Health Information Organization (RHIO), from the New York State eHealth Collaborative to support a legal analysis of cross-sector data sharing and informed consent. In another example, the SIP has engaged with the ESL Foundation to secure private support for the project. SIP staff will continue to pursue a braided funding strategy until such as time as the project is fully resourced. As such, a contingency is in place if URI dollars become delayed or unavailable.

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## Standard Question

### Upstate Revitalization Initiative

#### General Project Questions -

**In the beginning of the Application, you were asked to describe your overall project, which may include multiple phases, such as in the case of a major infrastructure project or redevelopment of a specific geographic area. Please note that this section of the Application is specific to the phase of the project for which URI are being requested through this CFA, NOT the overall project.**

Q\_6061 In the first phase of the Application, you were asked to describe your overall project including the location, what will be planned, designed acquired, and/or constructed, the issues/opportunities to be addressed, and expected outcomes and deliverables. Please indicate if any of these items have changed since your original submission.

Locked.

There have been no substantive changes to the System Integration Project since the Phase I submission.

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Q\_4283 Please identify which key URI concepts/indicators the project will advance and describe the efforts in which those concepts will be addressed. See help for additional information.

Locked.

The SIP will address several URI indicators including Anti-Poverty, Connectivity, Hard-to-Place Workers, Collaboration, Readiness, Implementation and Reporting and Leveraging other State Initiatives. First the purpose of the SIP is to implement an integrated system that connects health, human services and education providers to better serve individuals who are vulnerable or living in poverty, including hard-to-place workers. Further, the SIP aims to produce a common solution that supports numerous NYS initiatives, including ESPRI, DSRIP, First 1000 Days of Medicaid and Community Schools, all of which have participated in the SIP planning process. Finally, the SIP will be managed using agile project management methodologies.

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Q\_4276 Please describe the readiness of the project and identify when state funding would need to be made available.

Locked.

The SIP is implementation-ready. State funding should be made available as soon as possible to maintain project momentum.

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Q\_3175 Should the full amount of the Applicant's ESD funding request not be awarded, at what minimum level of ESD funding does the project become unfeasible?

Locked.

As previously noted, URI funding will act as a neutral community dollars for the SIP. The core areas where neutrality is essential for SIP success include project staffing and data ecosystem design, procurement and implementation. As such, any investment less than \$12 million creates inherent risk for the project.

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Q\_5590 Please provide a concise narrative describing the applicant's history and current operations. Include information about company/organization size, products, services, market share, position within the industry, competitors and the year in which the company was formed, etc.

Locked.

United Way of Greater Rochester is the lead applicant for this proposal. Since its founding in 1918, the United Way has been a leader in community problem solving and currently invests \$14 million annually in programs effective in both preventing and solving poverty. The organization currently maintains fiduciary responsibility for the Rochester/Monroe Anti-Poverty Initiative (RMAPI) and portions of the RMAPI early childhood supports project, which is funded via URI investments. For the past year, United Way has also provided staff support, physical space and fiduciary oversight for the SIP throughout the project's planning phase.

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Q\_4277 Please identify the project partners including the project leader and others involved in the implementation of the project. See the help section for format.

Locked.

Project Lead: NYS Assembly, Majority Leader Joseph Morelle

Duties: Convener

Partner Organization: United Way of Greater Rochester

Partner Name (s): Jaime Saunders and Laura Gustin

Duties: Fiduciary, Core Team Member, Staff

Partner Organization: Rochester Monroe Anti-Poverty Initiative

Partner Name (s): Leonard Brock

Duties: Core Team Member

Partner Organization: Finger Lakes Performing Provider System

Partner Name (s): Carol Tegas, Erin Barry

Duties: Core Team Member Other Organizations: See Attachment

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Q\_4271 Please enter the amount of funding you are requesting through the URI.

Locked.

\$15,000,000

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Q\_2336 Briefly describe the activity that the project involves in terms of product(s) or services(s) that will be provided at the project location.

Locked.

The core components of the SIP, which will be implemented through 2023, include:

- \* A common digital dashboard that offers health, human service and education staff a 360 degree view of more than 150,000 individuals and families in need
- \* A common digital closed-loop referral system utilized by more than 300 health, human service and providers
- \* A common data hub and analytic engine that compiles new and existing and/or administrative data to inform the development and application of evolved cross-sector workflows and outcome achievement
- \* Improved access to needed services created via common front-door protocols and right-sized program capacity
- \* A framework for shared accountability, including evaluation of return on public investment across sectors.
- \* A robust change management process that involves nine multi-sector pilots, rapid cycle improvement, agile project management, and cross-sector training on integrated workflows, adaptive leadership and technology utilization.

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Q\_4272 Please enter the amount of private funding that will be provided for this project.

Locked.

\$1,000,000

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Q\_1142 Indicate the Primary North American Industrial Classification System (NAICS) Code associated with the activity of the business at the project location.

Locked.

813211

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Q\_4273 Please enter the amount of additional funding that will be provided to this project.

Locked.

\$2,700,000

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Q\_2219 Describe how the capital investment for which you are seeking funding will make it possible to reach your business or organizational goals, such as changes to profitability, productivity, market share, product offerings, or other results relevant to your goals.

Locked.

Over the last two decades, there has been growing consensus that wicked problems, such as poverty and health

inequity, require systemic, innovative solutions that are both integrated and mutually reinforced across multiple sectors. The SIP was created in response to this reality.

The established collective vision for the SIP is:

The Greater Rochester community is working across a diverse network of committed providers to build an interconnected system of health, human services and education, leveraging a unified information platform, to improve the health and economic well-being of individuals and families, especially those who are vulnerable or impacted in poverty.

The SIP will achieve this vision by fully executing the proposed project.

First and foremost, this includes implementation of common data ecosystem that extends across the health, human service, and education sectors is a project cornerstone. Planned components of this ecosystem include:

- \* A Data Hub that integrates new and existing information from more than 300 key community stakeholders
- \* A digital Closed-Loop Referral System connected to a community resource inventory
- \* A Digital Dashboard that offers users a 360 degree view of an individual
- \* An Analytic Engine that compiles new and existing and/or administrative data to inform the development and application of evolved cross-sector protocols that reduce the cost of inaction and inefficiency over time.
- \* Enhanced IT infrastructure among participating human service providers
- \* A Data Governance model that leverages the experience of existing local assets such as the Rochester RHIO HIE, Rochester City School District and BOCES

Other assets that are integral to the five-year work plan of the SIP include:

- \* A Stewardship and Governance Framework for the SIP that recognizes multiple partner contributions, provides for equal representation in decisions, and distributes leadership of key functions across project partners
- \* A Legal Framework and informed consent process that facilitates the sharing of a prioritized minimum data set across health, human service and education
- \* Integrated Cross-Sector Workflows for warm hand-offs, navigation and coordinated care/case management
- \* A framework for Shared Accountability, including alignment with the long-term goals identified under Monroe County's Community Score Card
- \* A robust Change Management Process that includes pilots, rapid cycle improvement, agile project management and cross-sector training on integrated workflows, adaptive leadership and technology utilization
- \* Improved access to needed services created via consistent front-door protocols and Right-Sized Program Capacity
- \* A dedicated team of Implementation Specialist to drive Project Implementation

Full execution of the SIP will require the following resources:

A. Personnel:

- \* 1 FTE Project Director responsible for multi-stakeholder engagement and strategic integration
- \* 1 FTE Sr. Implementation Manager responsible for managing project operations and deliverables using an agile project management processes
- \* 4 FTE Implementation Specialist with expertise in Community Engagement, Data and Evaluation, IT Implementation, and Training and Continuous Quality Improvement

\* 2 FTE Project Coordinators responsible for the managing the administration and coordination of project deliverables

\* 1 FTE IT Technical Assistance responsible for supporting IT infrastructure implementation among Community Based Organizations (CBOs).

B. Operating Expense and Equipment including but not limited to space, computers, office supplies, project management software, community engagement participation incentives and training equipment.

C. Contractual Services

\*Consulting Services to support cross-sector communication, legal analysis and function, and IT expertise

\* Set-up and licensure of a cloud-based closed-loop referral system, including interface with exiting platforms

\* Community Information Exchange implantation including a data hub, analytics platform, technical project management, account management and end user training and maintenance

\* Health sector IT enhancements

\* Education sector IT enhancements

\* Nine three-year pilots across health, human services and education.

D. Capital to enhance the IT infrastructure, connectivity and security of CBOs.

E. Funding for the indirect cost of supporting the project's human resource and fiduciary requirements, including but not limited to compliance and sub-contract management.

The total budget for this proposal is \$15 million in support of SIP activities.

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Q\_3134 Is a third party being used to complete this application such as consultant, accountant or attorney?

Locked.

No

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Q\_4274 Please enter the total project cost from all sources.

Locked.

\$18,700,000

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Q\_4278 Please enter the number of net new permanent private sector jobs that will be created.

Locked.

12

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Q\_3136 If you are a third party completing this application you must disclose your name, company and contact information.

Locked.

n/a

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Q\_4279 Please enter the number of retained jobs associated with the project.

Locked.

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Q\_1233 What tasks and steps need to be completed before the project can begin (e.g. obtaining permits, licenses, hiring staff, etc.)

Locked.

The SIP has engaged in a full year of planning activities and is therefore fully prepared for implementation. Hiring implementation staff during the first quarter, post-notice of award, is included as a milestone in the project timeline.

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Q\_1409 What is the first project year? (e.g. the year equipment will be ordered or when first expenditures are expected to be made)

Locked.

2019

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Q\_4280 Please enter the number of construction jobs associated with the project.

Locked.

0

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Q\_4281 Please enter the number of ancillary or other jobs associated with the project.

Locked.

0

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Q\_3133 Is the proposed project located in a highly distressed area? If so, please provide information that will help ESD confirm that the area is highly distressed.

Locked.

The SIP will be implemented in targeted areas across Monroe County which are highly distressed. One hundred and ten thousand Monroe County residents live in poverty; 15% of the total population. The poverty rate within the city of Rochester, Monroe County's urban core, is 33%, highest in the nation among like-sized cities. Rochester has the highest rate of childhood poverty (50.5%) and the highest rate of extreme poverty (16.3%), nation-wide. Sixty-eight percent of Rochester's below-poverty households are headed by women. Eighty-one percent of all poor children in the city of Rochester (21,000) live in female headed households.

Rochester's high rate of poverty has wide and long-term impacts across neighborhoods and sectors, including but not limited to health, human services and education. For example, nearly 7% of the low-income population in Monroe County has limited access to a supermarket, double the New York State average, which in turn contributes to higher rates of obesity and uncontrolled diabetes. Rochester's violent crime rates are double the national median, resulting in a highly traumatized population. Among students in the Rochester City School District (RCSD), 32% report being depressed, 12% attempted suicide in the last year and 16% were physically abused by someone in their household. Fewer than 10% of RCSD's third grade students pass the New York State Common Core reading and math assessments.

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Q\_4313 Have you ever formally presented this project or components of this project to the Regional Economic Development Council where the project is located?

Locked.

No

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Q\_4318 Provide any other information in support of the project or pertinent to the request.

Locked.

**Project Costs by Year: Please enter the annual anticipated Project Costs based on the year that the investment will be made. These Project Costs should match the information in the Program Budget section.**

Qualified Investments

	Year 1	Year 2	Year 3	Year 4	Year 5
<b>Building Acquisition</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Building Renovation</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>New Construction</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Production Machinery &amp; Equipment</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Furniture, fixtures &amp; equipment</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Land Acquisition*</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Demolition &amp; environmental remediation *</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Soft costs up to 25% *</b>	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0	Locked. \$0
<b>Total</b>	0	0	0	0	0

**Job Creation and Retention Questions: The following questions are for committed, direct jobs only. Note that if awarded funding, Applicant must document existing and new jobs via submission of NY-45 forms. Questions about other jobs, such as Indirect Jobs and Construction Jobs, follow this section.**

Q\_6062

Indicate how many existing full-time equivalent jobs the applicant employs in all NYS LOCATIONS.

Locked.

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Q\_2199 Indicate the average annual wage for existing full-time equivalent employees the applicant employs in all NYS Locations as of the date this application is finalized.

Locked.

No Answer

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Q\_1365 Indicate how many of the total existing full-time equivalent employees in New York State are contract employees.

Locked.

No Answer

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### All PROJECT Locations

Q\_2196 Indicate how many existing full-time equivalent jobs the applicant employs at all PROJECT LOCATION(S).

Locked.

No Answer

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Q\_1186 Indicate the average annual wage for the employees at the Project Location as of the date this application is finalized.

Locked.

No Answer

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Q\_1366 Indicate how many of the total existing full-time equivalent employees at the Project Location are contract employees.

Locked.

No Answer

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Q\_1196 How many of the existing jobs at the project location(s) are at risk if the project does not go forward.

Locked.

No Answer

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Q\_2175 What percentage of the project's employees are/will be residents of New York State?

Locked.

100

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Q\_2178 Will any other non-construction jobs result from the project? For example, this could include jobs created by tenants at an incubator or mixed-use development or as a result of the creation of a job training center. If so, please estimate how many jobs, explain how these jobs will be created, and explain the method used to determine the job number estimate.

Locked.

No Answer

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Q\_2372 Will the proposed project result in the creation of construction jobs? If so, estimate the number of



construction jobs to be created.

Enter zero if not applicable.

Locked.

0

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### NET NEW JOBS (DIRECT JOBS ONLY)

Q\_4167

Definition of full-time equivalent employee: (1) a full-time, permanent, private-sector employee on the Recipient's payroll, who has worked at the Project Location for a minimum of 35 hours per week for not less than four consecutive weeks and who is entitled to receive the usual and customary fringe benefits extended by Recipient to other employees with comparable rank and duties; or (ii) two part-time, permanent, private-sector employees on Recipient's payroll, who have worked at the Project Location for a combined minimum of 35 hours per week for not less than four consecutive weeks and who are entitled to receive the usual and customary fringe benefits extended by Recipient to other employees with comparable rank and duties.

For the Excelsior Jobs Program: a full-time permanent employee must be on the payroll for at least six months of a year in order to qualify for benefits. Jobs transferred from employment with another business located in the State including from a related person in this State are not net new jobs for purposes of the employment commitment.

Indicate the year employment begins under Year 1 for your project here:

Locked.

2019

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Q\_7506

Indicate how many new full-time equivalent employees (using the definition in the question above) the company will create over 5 years.

If awarded, your company or entity will be held to the job creation commitments as outlined in this question and table below. For grants, should you fail to meet the job creation commitments, recapture provisions may apply. For Excelsior, each years job commitment is evaluated separately to determine if tax credits can be issued.

Locked.

8

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**In the Table below, provide a breakdown by general category/job type to indicate how many new full-time equivalent employees the company will create cumulatively by year (using the definition in the question above). The total in the bottom right hand corner needs to equal the number in the previous question.**

**1) Enter the type of job by general category.**

**2) Enter the average gross annual wages for each job type.**

**3) Enter CUMULATIVE job totals in the table below. Cumulative job totals mean that each subsequent year in the chart includes jobs created in all prior years. The job number in the bottom right hand corner on the chart is the full number of jobs created over all five years and needs to equal the number in the previous question.**

**i.e. if there are 10 jobs being created each year for 5 years in one category, enter 10 for year 1; 20 for year 2; 30 for year 3; 40 for year 4; 50 for year 5.**

**If awarded, your company or entity will be held to the job creation commitments as outlined in the table below and question above. For grants, should you fail to meet the job creation commitments, recapture provisions may apply. For Excelsior, each years job commitment is evaluated separately to determine if tax credits can be issued.**

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Net New Job Information (Enter Cumulatively)

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	Job Type/Category	Avg Gross Wages/Job Type	Year 1	Year 2	Year 3	Year 4	Year 5
1	Locked. Project Director	Locked. \$105,000	Locked. 1	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer
2	Locked. Implementation Specialist	Locked. \$75,000	Locked. 4	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer
3	Locked. Project Coordinator	Locked. \$55,000	Locked. 2	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer
4	Locked. IT Technical Assistance	Locked. \$60,000	Locked. No Answer	Locked. 1	Locked. No Answer	Locked. No Answer	Locked. No Answer
5	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer	Locked. No Answer
<b>Total</b>			7	1	0	0	0

### Environmental and Historic Preservation Questions

Q\_5719

Does the project site involve or is it substantially contiguous to a property listed or recommended for listing in the NY State or National Registers of Historic Places? Consult the National Register Information System at <http://www.nps.gov/history/nr/research/> to find out if a property is listed. The State Preservation Historical Information Network Exchange (SPHINX) tool at <http://nysparks.com/shpo/online-tools/> can also be used to find out if a property is listed on the State Register. Indicate Yes, No, N/A. Click "Scoring Tips" for more information.

Locked.

No

Q\_5720

Is the project site wholly or partially included within an identified archeologically sensitive area? The Geographic Information System for Archeology and National Register tool can be used to identify archeologically sensitive areas. Indicate Yes, No, N/A. Click "Scoring Tips" for more information. [Listed below please find the link for The Geographic Information System for Archeology and National Register.](#)

Locked.

No

### Smart Growth

**Smart Growth Questions:**The NYS Smart Growth Public Infrastructure Policy Act requires that a project meet

**the relevant smart growth criterion to the extent practicable. Please respond to the questions below regarding smart growth criteria.**

Q\_1059 Does the proposed project use, maintain, or improve existing infrastructure? Y/N/Not Relevant. Please explain all responses.

Locked.

Yes. The SIP will leverage and improve core pieces of our community's digital infrastructure, including enhancements in IT equipment and connectivity across the health, human service and education sectors, and service expansion at the Rochester RHIO.

---

Q\_1060 Is the proposed project located in a municipal center? Y/N/Not Relevant. Please explain all responses.

Locked.

Yes. A large portion of SIP implementation will take place within institutions that are located in the city of Rochester. That said, the geographic scope of the SIP includes all of Monroe County.

---

Q\_1061 Is the proposed project located in a developed area or an area designated for concentrated infill development in a municipally approved comprehensive land use plan, local waterfront revitalization plan and/or brownfield opportunity area plan? Y/N/Not Relevant. Please explain all responses.

Locked.

Given that the SIP is a digital infrastructure project to be implemented within existing institutions, this question is not relevant.

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Q\_1062 Will the proposed project protect, preserve and enhance the State's resources, including agricultural land, forests, surface and groundwater, air quality, recreation and open space, scenic areas, and significant historic and archeological resources? Y/N/Not Relevant. Please explain all responses.

Locked.

Given that the SIP is a digital infrastructure project to be implemented within existing institutions, this question is not relevant.

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Q\_1063 Will the proposed project foster mixed land uses and compact development, downtown revitalization, Brownfield redevelopment, the enhancement of beauty in public spaces, the diversity and affordability of housing in proximity to places of employment, recreation and commercial development and the integration of all income and age groups? Y/N/Not Relevant. Please explain all responses.

Locked.

This question is not relevant to direct implementation of the SIP. That said, there is enormous analytic potential in the proposed data ecosystem, which includes the ability to geocode population-level needs in support of more informed and targeted community development projects that are directed to specific outcome improvement.

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Q\_1064 Will the proposed project provide mobility through transportation choices including improved public transportation and reduced automobile dependency? Y/N/Not Relevant. Please explain all responses.

Locked.

Again, this question is not relevant to direct implementation of the SIP. That said, there is enormous analytic potential in the proposed data ecosystem, which includes the ability to quantify and address population-level transportation needs over time.

---

Q\_1065 Will the proposed project involve coordination between state and local government and inter-municipal and regional planning? Y/N/Not Relevant. Please explain all responses.

Locked.

Yes. All levels of state and local government have participated in SIP design, including but not limited to the New York State Assembly, the New York State eHealth Collaborative, Monroe County's Departments of Public Health

and Human Services, Monroe County Sheriff's Department and the City of Rochester. This collaboration with and between the public sector demonstrates that public programs play an integral role in our current and future system of services and support. Successful implementation of the SIP will require maintenance and expansion of these relationships.

---

Q\_1066 Will the proposed project involve participation in community based planning and collaboration? Y/N/Not Relevant. Please explain all responses.

Locked.

Yes. Community-based planning and collaboration is equally important to successful implementation of the SIP, as the SIP intends to implement an integrated, person-centered system. For purposes of this project, "person-centered" describes a philosophical approach to service development and delivery that requires services be provided in a way that is respectful of, or in responsive to the preferences, needs and values of people and those who care for them. Community engagement is the vehicle for achieving person-centeredness, and there is a dedicated FTE within the project framework to manage necessary ongoing interface with community.

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Q\_1067 Will the proposed project ensure predictability in building and land use codes? Y/N/Not Relevant. Please explain all responses.

Locked.

Given that the SIP is a digital infrastructure project to be implemented within existing institutions, this question is not relevant.

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Q\_1068 Will the proposed project promote sustainability by strengthening existing and creating new communities which reduce greenhouse gas emissions and do not compromise the needs of future generations, by among other means encouraging broad based public involvement in developing and implementing a community plan and ensuring the governance structure is adequate to sustain its implementation? Y/N/Not Relevant. Please explain all responses.

Locked.

Given that the SIP is a digital infrastructure project to be implemented within existing institutions, this question is not relevant.

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## Certification

Q\_7341 By entering your name in the box below, you certify, under penalty of perjury, that the information given herein is true and correct in all respects for the company or organization applying for funding (the "Company"), presently and for the past five years: -the Company is not a party to any litigation or any litigation is not pending or anticipated that could have an adverse material effect on the company's financial condition;

-the Company does not have any contingent liabilities that could have a material effect on its solvency;

-the Company, its affiliates or any member of its management or any other concern with which such members of management have been officers or directors, have never been involved in bankruptcy, creditor's rights, or receivership proceedings or sought protection from creditors;

-the Company is not delinquent on any of its state, federal or local tax obligations;

-No principal, officer of the Company, owner or majority stockholder of any firm or corporation, or member of the management has been charged or convicted of a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a judgment, or the subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation for: (i) any business-related activity including, but not limited to, fraud, coercion, extortion, bribe or bribe receiving, giving or accepting unlawful gratuities, immigration or tax fraud, racketeering, mail fraud, wire fraud, price fixing or collusive bidding; or (ii) any crime, whether or not business related, where the underlying conduct relates to truthfulness, including but not limited to, the filing of false documents or false sworn statements, perjury or larceny;

-the Company or any of the Company's affiliates, principal owners or Officers has not received a violation of State Labor Law deemed "willful";

-the Company or any of its affiliates has never been cited for a violation of State, Federal, or local laws or regulations with respect to labor practices, hazardous wastes, environmental pollution or other operating practices;

-there are not any outstanding judgments or liens pending against the Company other than liens in the normal course of business.

-the Company or any of its affiliates, principal owners or officers the company has not been the subject of any judgments, injunctions, or liens including, but not limited to, judgments based on taxes owed, fines and penalties assessed by any governmental agency, or elected official against the Company.

- the Company or any of its affiliates, principal owners or officers the company has not been investigated by any governmental agency, including, but not limited to, federal, state and local regulatory agencies

-the Company or any of its affiliates, principal owners or officers the company has not been debarred from entering into any government contract; been found non-responsible on any government contract; been declared in default or terminated for cause on any government contract; been determined to be ineligible to bid or propose on any contract; been suspended from bidding on any government contract; received an overall unsatisfactory performance rating from any government agency on any contract; agree to a voluntary exclusion from bidding or contracting on a government contract.

- the Company or any of its affiliates, principal owners or officers the company has not failed to file any of the required forms with any government entity regulating the Company. By entering your name in the box below, you agree to allow the Department of Taxation to share the Company tax information with ESD. By entering your name in the box below, you agree to allow the Department of Labor to share tax and employer information with ESD. Note: If any of the statements above are not true, in addition to entering your name, also include an explanation in the box below, indicating which issue you are addressing.

Locked.

Laura Gustin

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Q\_1038

By entering your name in the box below, you certify that you are authorized on behalf of the applicant and its governing body to submit this application. You further certify that all of the information contained in this Application and in all statements, data and supporting documents which have been made or furnished for the purpose of receiving assistance for the project described in this application, are true, correct and complete to the best of your knowledge and belief. You acknowledge that offering a written instrument knowing that the written instrument contains a false statement or false information, with the intent to defraud the State or any political subdivision, public authority or public benefit corporation of the State, with the knowledge or belief that it will be filed with or recorded by the State or any political subdivision, public authority or public benefit corporation of the State, constitutes a crime under New York State Law.

Locked.

Laura Gustin

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Q\_2365

By entering your name in the box below, you are acknowledging that ESD's Contractor & Supplier Diversity policy will apply to this project. You are further acknowledging that you are aware of ESD's agency-wide Minority and Women Business Enterprise ('MWBE') utilization goal of 30%. Please note that each project will be assigned an individual contract-specific goal, which may be higher or lower than 30%. Furthermore, you understand that, should this project receive a funding award, the Applicant shall be required to use good faith efforts to achieve the prescribed MWBE goals assigned to this project and failure to attain MWBE goal could result in grant amount being reduced.

Locked.

Laura Gustin

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Q\_4182

By entering your name in the box below, you certify and agree that you are aware that your award will be reduced in proportion to the reduction of jobs and/or total project costs. Furthermore, you understand that, should this project receive a funding award, the Applicant will maintain such records and take such actions necessary to demonstrate such compliance throughout the completion of the project.

Locked.

Laura Gustin

## Workforce

### I. Assessment of Skilled Worker Shortfall

#### Assessment of Skilled Worker Shortfall

	Specific Job Titles and Number of Unfulfilled Openings for Each Job Title
<b>Management</b>	Locked. No Answer
<b>Computer and Mathematical</b>	Locked. No Answer
<b>Production</b>	Locked. No Answer
<b>Community and Social Services</b>	Locked. No Answer
<b>Construction and Extraction</b>	Locked. No Answer
<b>Life, Physical, and Social Science</b>	Locked. No Answer
<b>Healthcare Practitioners and Technical</b>	Locked. No Answer
<b>Installation, Maintenance, and Repair</b>	Locked. No Answer
<b>Building and Grounds Cleaning and Maintenance</b>	Locked. No Answer

<b>Food Preparation and Serving Related</b>	Locked. No Answer
<b>Arts, Design, Entertainment, Sports, and Media</b>	Locked. No Answer
<b>Protective Service</b>	Locked. No Answer
<b>Legal</b>	Locked. No Answer
<b>Sales and Related</b>	Locked. No Answer
<b>Architecture and Engineering</b>	Locked. No Answer
<b>Personal Care and Service</b>	Locked. No Answer
<b>Healthcare Support</b>	Locked. No Answer
<b>Transportation and Material Moving</b>	Locked. No Answer
<b>Farming, Fishing, and Forestry</b>	Locked. No Answer
<b>Business and Financial Operations</b>	Locked. No Answer

<b>Education, Training, and Library</b>	Locked. No Answer
<b>Office and Administrative Support</b>	Locked. No Answer

## II. Worker Recruitment

### Worker Recruitment

	<b>A. Recruitment Method</b>	<b>B. Percentage of Use</b>
<b>1st Most Common Recruitment Method</b>	Locked. Job Posting (company website / NYS DOL / online job boards / newspaper)	Locked. 60
<b>1st Other</b>	Locked. Job Posting (company website / NYS DOL / online job boards / newspaper)	
<b>2nd Most Common Recruitment Method</b>	Locked. Social Recruiting (LinkedIn/Twitter/Facebook)	Locked. 30
<b>2nd Other</b>	Locked. Social Recruiting (LinkedIn/Twitter/Facebook)	
<b>3rd Most Common Recruitment Method</b>	Locked. Recruiters/Headhunters	Locked. 10
<b>3rd Other</b>	Locked. Recruiters/Headhunters	



## Net New Jobs

No job answers necessary due to your associated programs.

## Qualified Investments

No investment answers necessary due to your associated programs.

## Total Project Cost

Total project cost: \$ 18700000

## Funding Requested from Program

Program	Amount Requested
Upstate Revitalization Initiative	\$ 15000000

## Attachment Questions & Answers

### Upstate Revitalization Initiative

Q\_4317 Please provide any documentation or letters of support for the project.

Locked.

Letters of Support.pdf

[Download](#)

Q\_3119 Attach all letters of support or other information for the project.

Locked.

System Integration Team.pdf

[Download](#)

Q\_6946 Please provide Letters of Support for your project (if applicable). All letters should be scanned into a single PDF file and their total size cannot exceed 10 Megabytes (MB).

Locked.

URI\_LOS\_Phase II.pdf

[Download](#)

Q\_5593 Attach 2015 financial documents

For privately owned companies, IDAs, not-for-profits, educational institutions, start-ups, municipalities, or any business or organization other than publicly traded companies, please provide audited or reviewed financials, or compiled financials with signed tax returns, for 2015. For-publicly traded companies, please provide Form 10-K for 2015.

Locked.

United Way of Greater Rochester 2015 FS Final.pdf  
[Download](#)

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Q\_6907 Attach 2016 financial documents.

For privately owned companies, IDAs, not-for-profits, educational institutions, start-ups, municipalities, or any business or organization other than publicly traded companies, please provide audited or reviewed financials, or compiled financials with signed tax returns, for 2016. For publicly traded companies please provide Form 10-K for 2016.

Locked.

United Way of Greater Rochester 2016 FS Final.pdf  
[Download](#)

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Q\_6906 Attach 2017 financial documents

For privately owned companies, IDAs, not-for-profits, educational institutions, start-ups, municipalities, or any business or organization other than publicly traded companies, please provide audited or reviewed financials, or compiled financials with signed tax returns, for 2017. For publicly traded companies, please provide Form 10-K for 2017.

Locked.

United Way of Greater Rochester Inc. 2017 FS Final.pdf  
[Download](#)

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Q\_6905 Attach interim financials for 2018

For privately owned companies, IDAs, not-for-profits, educational institutions, start-ups, municipalities, or any business or organization other than publicly traded companies, please provide interim financials for 2018, certified by a company officer. For publicly traded companies, please provide the most recent Form 10-Q.

Locked.

2018 FS\_UWGR.pdf  
[Download](#)

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Q\_2165 For Start-up companies, in addition to the documents listed above provide: 1) Financial projections (5 years) 2) Personal financial statements from a personal guarantor(s) of the start-up company 3) Principal resumes

Locked.

not applicable.pdf  
[Download](#)

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Q\_2331 Attach an organizational chart and/or description of ownership structure including the percentage of ownership for each individual entity.

Locked.

Org Chart\_System Integration.pdf  
[Download](#)

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Q\_5689 Attach a short or long Environmental Assessment Form

Project review pursuant to the State Environmental Quality Review Act (SEQRA) must be completed prior to the award of any state funds. For projects classified as Type I or Unlisted actions, submit a short or long Environmental Assessment Form. See "Scoring Tips" for links to forms.

Locked.

No attachment, cannot upload

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Q\_2333 If review of the project has been completed pursuant to State Environmental Quality Review Act (SEQRA) or National Environmental Policy Act (NEPA), please submit the Negative Declaration or Findings Statement, or Finding of No Significant Impact or Record of Decision.

Locked.

No attachment, cannot upload

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Q\_2334 Provide a list of all other federal, state, and local reviews, approvals, or permits needed or completed, including the dates when they are expected to be completed or were completed. If Not Applicable, please upload an attachment that indicates "NA".

Locked.

not applicable.pdf

[Download](#)

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## Legend

[x] = Expired Program