

**WESTCHESTER/PUTNAM WORKFORCE INVESTMENT AREA
REQUEST FOR PROPOSALS**

**YOUTH EMPLOYMENT INITIATIVE
(IN-SCHOOL YOUTH 14 – 18 YEARS OF AGE)
WORKFORCE INVESTMENT ACT (WIA) of 1998**

**ISSUE DATE: March 5, 2007
DUE DATE: March 23, 2007**

ISSUED BY:

The Westchester County
Department of Social Services
Office of Workforce Investment
White Plains, New York 10601

ON BEHALF OF:

The Westchester-Putnam
Local Workforce Investment Board
143 Grand Street
White Plains, New York 10601

Kevin P. Mahon, Commissioner, County Department of Social Services

ANDREW J. SPANO
WESTCHESTER COUNTY EXECUTIVE

ROBERT J. BONDI
PUTNAM COUNTY EXECUTIVE

GENERAL PROPOSAL INFORMATION

The Westchester/Putnam Local Workforce Investment Board (hereinafter referred to as **WPLWIB**), is requesting proposals to provide employment and training services for younger (in-school) youth under the Workforce Investment Act (WIA) of 1998, PL 105-220, 29 USC 2801.

Contracts for services developed from this RFP will be for approximately two (2) year period beginning on or about April 16, 2007 and ending on or about June 30, 2009. Any ensuing contract will be renewable, at the sole and complete discretion of the County, for up to two (2) additional years subject to availability of funding, the recommendations of the Youth Council, the approval of the WPLWIB, the Westchester County Board of Acquisition & Contract, and satisfactory program performance. This RFP is soliciting proposals to provide employment and training services to In-School Youth (14 to 18 years old) residing in Westchester County (exclusive of Yonkers). Although Westchester and Putnam Counties are designated as one Workforce Investment Area, Putnam may issue a separate RFP for the Putnam County Youth Employment Program.

Interested parties may pick up copies of this RFP at the WPLWIB, 143 Grand Street, 2nd Floor, White Plains, New York 10601. This RFP may also be downloaded from the Westchester County Web Site, www.westchestergov.com/onestopemploymentcenter. Addenda to this RFP will be posted on the website. Interested parties are responsible for checking the website daily for related addendum. Prospective respondents are responsible for accessing all addenda.

Approximately \$325,000 of Workforce Investment Act Title 1 Funds is available to Youth Services Providers to administer local youth programs under this RFP.

The WPLWIB will determine the number of awards based on the quality and innovations of the proposals received.

RFP Procurement Schedule

(Dates subject to change with notice from the Westchester/Putnam Local Workforce Investment Board)

RFP ISSUE DATE	MARCH 5, 2007
<i>Intent to Apply Letter</i>	<i>March 14, 2007</i>
<i>Informational Session</i>	<i>March 14,, 2007</i>
<i>Proposal Due Date</i>	<i>March 23, 2007</i>
<i>Contract Award Date</i>	<i>April 16, 2007</i>

Informational Session

One (1) Informational Session for prospective proposers will be held on Wednesday, March 14, 2007 from 2:00 pm – 3:00 pm at the One Stop Employment Center, 143 Grand Street, White Plains, NY. This session is designed to provide important information about this initiative and to answer questions from the attendees regarding the RFP. Attendance at this session is MANDATORY.

WPLWIB requests that all questions regarding this RFP be submitted in advance of the Informational Session to allow sufficient time for staff to research each question thoroughly and provide the appropriate response. All questions MUST be in writing and MUST be submitted as set forth below no later than noon on Tuesday, March 13, 2007. Questions regarding this RFP and the Youth Programs should be addressed to:

Westchester/Putnam Local Workforce Investment Board
ATTN: O. J. Yizar, Coordinator, Workforce Investment Board
143 Grand Street, White Plains, NY 10601

RSVP's and Questions may also be emailed to: ory1@westchestergov.com or faxed to: (914) 995-7406

ABSOLUTELY NO COMMUNICATIONS OF ANY KIND WILL BE BINDING AGAINST THE COUNTY OF WESTCHESTER, EXCEPT FOR THE FORMAL WRITTEN RESPONSES TO ANY REQUEST FOR CLARIFICATION

Proposal Submission

To be considered for an award, proposals MUST be received no later than 4:00pm on Friday, March 23, 2007. The original and five (5) copies must be mailed or hand-delivered to the Westchester/Putnam Local Workforce Investment Board, 143 Grand Street, 2nd Floor, White Plains, New York 10601, ATT. O.J. Yizar, Coordinator, Workforce Investment Board. Proposals received after the closing date/time will NOT be considered. Applicants assume all responsibility for proposal submission and adherence to deadlines. Faxed or emailed proposals will NOT be accepted. A postmark of March 23, 2007 will NOT be accepted if the proposal does not arrive by the 4:00pm deadline.

Intent to Propose

To ensure receipt of subsequent RFP addenda respondents should send a letter of “Intent to Propose” to the Westchester/Putnam Local Workforce Investment Board no later than Wednesday, March 14, 2007. The letter should be addressed to the attention of O.J. Yizar, WIB coordinator, at the above mailing address or email oryl1@westchestergov.com. The “Intent to Propose” should include the agency name, contact person, address, phone number, and email address of the contact person. It should also include a brief description of the proposer’s business/organization including vision, mission, current customer base, staffing and service expertise to provide the services you will propose to provide under this RFP. Proposers should also highlight their organization’s longevity and how this proposal will connect to your mission and organizational goals. This will form a part of the material to be reviewed if you follow through and submit a proposal to this RFP.

Proposal Submission

All proposals and required documents, in final form, must be received at

Westchester/Putnam Local Workforce Investment Board
ATTN: O.J.Yizar
143 Grand Street, 2nd Floor, White Plains, NY 10601

on or before March 23, 2007 at 4:00 pm. All proposals received after this date/time will NOT be accepted or considered.

Eligible Applicants

Community-based organizations and not-for-profit, for profit and public entities are eligible to submit proposals pursuant to this RFP. Successful respondents will have demonstrated, at a minimum, twelve (12) months of documented successful experience within the last two (2) years in providing educational development services and skills-based workforce development services to youth ages 14-18. Successful respondents will serve eligible youth who live in Westchester County, but outside of the City of Yonkers. The Yonkers Workforce Investment Board operates its own in-school youth program.

Proposals are being solicited for:

■ LEGAL REPRESENTATIONS

UNDERSTANDINGS

Please take notice, by submission of a proposal in response to this request for proposals, proposing entity agrees to and understands:

- that any proposal, attachments, additional information, etc. submitted pursuant to this Request for Proposals constitute merely a suggestion to negotiate with the County of Westchester and is not a bid under Section 103 of the New York State General Municipal Law;
- submission of a proposal, attachments, and additional information shall not entitle the proposing entity to enter into a service agreement with the County of Westchester for the required services;
- by submitting a proposal, the proposing entity agrees and understands that the County of Westchester is not obligated to respond to the proposal, nor is it legally bound in any manner whatsoever by submission of same;
- that any and all counter-proposals, negotiations or any communications received by a proposing entity, its officers, employees or agents from the County, its elected officials, officers, employees or agents, shall not be binding against the County of Westchester, its elected officials, officers, employees or agents unless and until a formal written agreement for the services sought by this RFP is duly executed by both parties and approved by the Westchester County Board of Acquisition & Contract, and the Office of the Westchester County Attorney.

In addition to the foregoing, by submitting a proposal, the proposing entity also understands and agrees that the County of Westchester reserves the right, and may at its sole discretion exercise, the following rights and options with respect to this Request for Proposals:

- To reject any or all proposals;
- To issue additional solicitations for proposals;
- To issue amendments to this RFP;
- To waive any irregularities in proposals received after notification to proposers affected;
- To select any proposal as the basis for negotiations of a contract, and to negotiate with one or more of the proposers for amendments or other modifications to their proposals;
- To conduct investigations with respect to the qualifications of each proposer;
- To exercise its discretion and apply its judgment with respect to any aspect of this RFP, the evaluation of proposals, and the negotiations and award of any contract;
- To enter into an agreement for only portions (or not to enter into an agreement for any) of the services contemplated by the proposals with one or more of the proposers;
- To select the proposal that best satisfies the interests of the County and not necessarily on the basis of price or any other single factor;
- While this is a Request For Proposals and not a bid, the County reserves the right to apply the case law under General Municipal Law § 103 regarding bidder responsibility in determining whether a proposer is a responsible vendor for the purpose of this RFP process;
- The County assumes no responsibility or liability of any kind for costs incurred in the preparation or submission of any proposal;
- The County is not responsible for any internal or external delivery delays which may cause any proposal to arrive beyond the stated deadline. To be considered, proposals MUST arrive at the place specified herein and be time stamped prior to the deadline;
- Evaluation criteria are not necessarily listed in order of importance. The County reserves the right to weigh its evaluation criteria in any manner it deems appropriate.

PROPOSAL REQUIREMENTS

- Requests for clarification of this RFP must be written and submitted to: O. J. Yizar, Coordinator, Workforce Investment Board, no later than noon on Tuesday, March 13, 2007. Formal written responses will be distributed by the County at the Informational Session. **NO COMMUNICATIONS OF ANY KIND WILL BE BINDING AGAINST THE COUNTY, EXCEPT FOR THE FORMAL WRITTEN RESPONSES TO ANY REQUEST FOR CLARIFICATION.**
- **All Proposers MUST sign the Proposer Certification, attached hereto. Unsigned proposals will be rejected.**
- Proposers may be required to give an oral presentation to the County to clarify or elaborate on the written proposal.
- No proposal will be accepted from nor any agreement awarded to any proposer that is in arrears upon any debt or in default of any obligation owed to the County. Additionally, no agreement will be awarded to any proposer that has failed to satisfactorily perform pursuant to any prior agreement with the County.

CONTRACT

After selection of the successful proposer, a formal written contract will be prepared by the County of Westchester and will not be binding until signed by both parties and approved by the Westchester County Board of Acquisition & Contract and the Office of the County Attorney. **NO RIGHTS SHALL ACCRUE TO ANY PROPOSER BY THE FACT THAT A PROPOSAL HAS BEEN SELECTED BY THE COUNTY FOR SUBMISSION TO THE BOARD OF ACQUISITION & CONTRACT FOR CONTRACT APPROVAL. SAID BOARD HAS THE RIGHT TO REJECT ANY RECOMMENDATION AND THE APPROVAL OF SAID BOARD IS NECESSARY BEFORE A VALID AND BINDING CONTRACT MAY BE EXECUTED BY THE COUNTY.**

INDEMNIFICATION AND INSURANCE

The proposer accepts and agrees that language in substantially the following form will be included in the contract between the proposer and the County:

“In addition to, and not in limitation of the insurance requirements contained herein the Consultant agrees:

- a) that except for the amount, if any, of damage contributed to, caused by or resulting from the negligence of the County, the Consultant shall indemnify and hold harmless the County, its officers, employees and agents from and against any and all liability, damage, claims, demands, costs, judgments, fees, attorneys' fees or loss arising directly or indirectly out of the acts or omissions hereunder by the Consultant or third parties under the direction or control of the Consultant; and
- b) to provide defense for and defend, at its sole expense, any and all claims, demands or causes of action directly or indirectly arising out of this Agreement and to bear all other costs and expenses related thereto.

Upon execution of any contract between the proposer and the County, the proposer will be required to provide proof of the insurance coverage described in Schedule “A”.

Insurance coverage in amount and form shall not be deemed acceptable until approved by the County of Westchester, Department of Risk Management. The Director of Risk Management may alter insurance requirements at his discretion.

NON-COLLUSION

The proposer, by signing the proposal, does hereby warrant and represent that any ensuing agreement has not been solicited, secured or prepared directly or indirectly, in a manner contrary to the laws of the State of New York and the County of Westchester, and that said laws have not been violated and shall not be violated as they relate to the procurement or the performance of the agreement by any conduct, including the paying or the giving of any fee, commission, compensation, gift, gratuity or consideration of any kind, directly or indirectly, to any County employee, officer or official.

CONFLICT OF INTEREST

All firms must disclose with their proposals the name of any officer, director or agent who is also an employee of the County of Westchester. Further, all firms must disclose the name of any County employee who owns, directly or indirectly, an interest of ten percent or more in the firm or any of its subsidiaries or affiliates.

COMPLIANCE WITH LAWS

The preparation of proposals, selection of vendors and the award of contracts are subject to provisions of all Federal, State and County laws, rules and regulations.

CONTENTS OF PROPOSAL

The New York State Freedom of Information Law as set forth in Public Officers Law, Article 6, Sections 84-90, mandates public access to government records. However, proposals submitted in response to this RFP may contain technical, financial background or other data, public disclosure of which could cause substantial injury to the proposer's competitive position or constitute a trade secret. Proposers who have a good faith belief that information submitted in their proposals is protected from disclosure under the New York Freedom of Information Law shall:

- a) insert the following notice in the front of its proposal:

“NOTICE

The data on pages ___ of this proposal identified by an asterisk (*) contains technical or financial information constituting trade secrets or information the disclosure of which would result in substantial injury to the proposer's competitive position.

The proposer requests that such information be used only for the evaluation of the proposal, but understands that any disclosure will be limited to the extent that the County considers proper under the law. If the County enters into an agreement with this proposer, the County shall have the right to use or disclose such information as provided in the agreement, unless otherwise obligated by law.”

and

- b) clearly identify the pages of the proposals containing such information by typing in bold face on the top of each page " ***THE PROPOSER BELIEVES THAT THIS INFORMATION IS PROTECTED FROM DISCLOSURE UNDER THE STATE FREEDOM OF INFORMATION LAW.**"

The County assumes no liability for disclosure of information so identified, provided that the County has made a good faith legal determination that the information is not protected from disclosure under

applicable law or where disclosure is required to comply with an order or judgment of a court of competent jurisdiction.

The contents of the proposal which is accepted by the County, except portions "Protected from Disclosure", may become part of any agreement resulting from this RFP.

MBE/WBE

Pursuant to Local Law No. 27-1997, it is the goal of the County to use its best efforts to encourage, promote and increase the participation of business enterprises which are owned and controlled by persons of color or women in contracts and projects funded by the County. Therefore, the County asks Proposers to complete the questionnaire attached hereto as Schedule "B."

MACBRIDE PRINCIPLES

Pursuant to Act No. 56-1999, no County procuring officer may award or recommend for award any contract not subject to competitive bidding to a proposer that does not execute a certification substantially in the form attached hereto as Schedule "C".

RELATIONSHIPS TO COUNTY

Proposers are required to complete the questionnaire entitled "Required Disclosure of Relationships to County" attached hereto as Schedule "D." In the event that any information provided in the completed questionnaire changes, Proposer agrees to provide a revised "Required Disclosure of Relationships to County" form to the County within ten (10) business days of such event.

QUALIFIED TRANSPORTATION FRINGE PROGRAM

Executive Order No. 7-2005 requires that contractors, concessionaires and vendors doing business with the County enroll in a Qualified Transportation Fringe Program as defined in §132(f)(1) of the IRS Tax Code for all contracts for goods or services of \$100,000 or more in any twelve month period during the contract term if such contractor, concessionaire or vendor employs more than 25 individuals who utilize public transportation and/or pay for commuter parking at least 1 day per week regardless of whether those employees are engaged in work pursuant to the contract.

Proposers shall submit the signed statement which is attached hereto as page 1 of Schedule "E". Notwithstanding the above, a Proposer may submit to the Commissioner a Waiver Application in the form attached hereto as page 2 of Schedule "E".

AUTHORIZED SIGNATURE SHEET

The Proposer Certification, the Authorized Signature Sheet, and the Certification of Compliance with Specifications, Union Consultation and Concurrence as set forth in Appendix C, as well as all other attachments to this RFP which require authorized signatures, shall be signed by an official authorized to bind the applicant.

CERTIFICATION REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

All funded applicants will be required to sign a certification which stipulates that federally appropriated funds will not be paid to influence the award of contracts; and that, if other than federally appropriated funds are or will be paid for this purpose, a "Disclosure Form to Report Lobbying" will be completed and submitted in accordance with regulations.

All prospective recipients of federal funds must certify that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from

participation in this transaction by any federal department or agency. Applicants must also certify that they will provide a drug-free workplace.

Prospective recipients of federal funds who are unable to certify to any of the statements in the certification are required to attach an explanation to the proposal. *(These forms are attached in Appendix C).*

UNION CONSULTATION AND CONCURRENCE

No program shall impair existing contracts for services, or existing collective bargaining agreements, unless the employer and the labor organizations concur in writing with respect to any elements of the proposed activities which affect such agreement, or either such party fails to respond to written notification requesting its concurrence within 30 days of receipt thereof. If applicable, provide dates of negotiations which took place. The proposal shall not be funded until the problem is resolved. If the labor organizations comment on, object, or cite any problems related to the training design or choice of occupation, you must provide full details concerning the comments or objections and any negotiations which took place.

Background:

Historically, the WPWIB has contracted its younger youth programs to youth service providers that provide all program services that include recruitment, intake, eligibility and assessment. The providers also provided the youth development components which incorporate the required ten (10) WIA elements that include mentoring, tutoring, and work experience. In addition, each contractor provided case management and support services to help youth stay in school (and in the program) as they pursue their individual goals and objectives in an effort to complete high school successfully. While this approach has worked, the WIB's evaluation of these programs reveals several areas that may be improved. Respondents must be able to staff the program during and after school, focusing on servicing at-risk high school juniors and seniors. The WIB has developed relationships with three (3) target school districts that will result in a collaborative approach in helping these youth. The school will identify eligible youth, work jointly with selected providers to serve the youth and provide physical space in the school for youth contractors to work during the school day to effectively serve these youth.

The Younger Youth program model includes the following:

- A. Outreach, Recruitment and Intake
- B. Assessment, Case Management and Retention
- C. Youth Development Activities
- D. Program Outcomes

A. Outreach, Intake and Eligibility Determination

1. **Outreach-** As a result of the relationship developed with each school district, selected youth contractors will be able to develop a Memorandum of Agreement (MOA) with the respective school that spells out the relationship between the contractor and the school in implementing this program. The school will identify potential WIA eligible youth for this program, which will eliminate the need for outreach beyond the school. Only one respondent will be contracted to work in a given school. While several respondents may have an interest in a school, only one will be selected per school.

Youth employment service providers will be required to establish a memorandum of agreement between the relevant school district and itself to include the following conditions:

- i. the school district will identify potential WIA eligible students who are primarily at-risk juniors and seniors to be assessed and deemed eligible for the youth provider to serve
- ii. allow selected youth providers to operate its program in the confines of the applicable school facility
- iii. provide the appropriate office space to be used by the youth service provider in delivering this program.

The youth service provider will agree to:

- i. comply with all conditions and terms and requirements as established by the relevant school board
- ii. ensure that all staff meets the applicable personnel requirements as established by the school district. In order to implement this program, successful respondents, other than the school districts, must insure that staff for the program meets the minimum criteria established by the school or other statues for individuals to work in a school facility. These requirements may vary by school districts and will require each respondent to determine what theses are during the development of the response to this RFP. For example, are background checks and finger printing required for someone to work in a particular school district? If so, then this requirement must be met in order for a contractor's staff to be assigned to work there. This is not related to the academic qualifications for the job, which will be the responsibility of the contracting agency.
- iii. work collectively with the school staff. Service should not conflict with the school's plan for students. WIA services are intended to enhance, but will not replace the school's programs.

The Westchester County DSS Office of Workforce Investment has already developed the relationship that will foster the program development. Respondents must contact the prospective school district to discuss and secure a letter of support that will outline the conditions of the Memorandum of Agreement.

The following is a list of the contact persons for the targeted high schools:

Vincent Burruolo, Prinicpal
1072 Elm Street
Peekskill, NY 10566
Phone: (914) 737-0201
Fax: (914) 737-2550
vburruolo@peekskillcsd.org

Timothy Connors, Superintendent
5 Homeside Lane
White Plains, NY 10605
Phone: (914) 422-2019
Fax: (914) 422-2024
timconnos@wpcsd.k12.ny.us

Yolanda Kelley, Mount Vernon City District School Social Worker
Mt. Vernon City School District
Education Center
165 Columbus Avenue
Mt. Vernon, NY 10553
Main Number: (914) 665-5000 Direct Number: (914) 665-5170
e-mail- ykelley@mtvernoncsd.org

The WIB has already established in-school youth providers for New Rochelle, Ossining and Port Chester school districts. These school districts are not included in this RFP.

2. **WIA Eligibility Determination** refers to all activities related to the determination of the youth's eligibility for the youth employment program as outlined below:

Eligibility Determination and Registration: This process includes the use of the WPLWIB Workforce Youth Services application form to generate all information necessary to determine eligibility and meet reporting requirements. It also includes the maintenance of adequate documentation to ensure the credibility of the eligibility determination, which shall at a minimum consist of documents used to determine and verify eligibility. Registration is the process of collecting information to support a determination of eligibility. Equal Opportunity data must be collected during the registration process. School districts are considered to be among public entities as indicated on page 2 of this RFP and are eligible applicants. Successful respondents that are public entities may develop contracts with Westchester County to provide the services prescribed in this RFP. Such a contract will require an Inter Municipality Agreement (IMA). An IMA requires Westchester County legislation that authorizes such contract as required by New York State general municipal law sec. 119-o. The WIB is in the process of seeking such a legislation, which may not materialize in time to implement this program.

One Stop Operating System (OSOS): All youth data and case management notes must be entered into the OSOS. This is a statewide case management system in which all services, activities and outcomes for each youth must be recorded.

Eligible younger youth must be:

Low-income (defined Sec. 10125 of WIA) who meet one or more of the following criteria are eligible under this RFP:

- Demonstrated deficiency in basic literacy skills, defined as reading, writing, or computing assessed at or below the 9th grade level.
- School dropouts, defined as youth who no longer attend any school and have not received a high school diploma or an equivalency diploma (GED).
- Requires assistance to complete an educational program or assistance in employment preparation and retention.
- An offender defined as having been involved in any stage of the criminal justice process or requires assistance in overcoming barriers to employment as a result of arrests or convictions.
- Homeless, runaway, or foster child.
- Pregnant or parenting youth

Up to 5% of the youth served may be above income guidelines if they meet one or more of the following criteria:

- School Dropout
- Basic Skills Deficient
- Below the Age Appropriate Grade Level
- Pregnant or Parenting
- Disabled
- Homeless or Runaway
- Offenders
- Faces Significant Barriers to Employment

A younger youth is defined as one whom: is between of the ages of 14-18 and who is still attending school or has dropped out of school.

3. WIA Eligibility Documentation

All applicants must be screened for eligibility and suitability based on WIA guidelines. The funded contractor(s) must obtain proof of:

- Family income
- Family size
- Date of birth of the applicant
- Residence
- Social Security
- Citizenship
- Disability
- Registration for Selective Service
- 1-9 Forms (required on all participants receiving work experience)

A participant must be a resident of Westchester County (exclusive of the City of Yonkers), who is 14-18 years of age, and who:

- receives, or is a member of a family that receives, cash payment under a Federal, State, or local income-based public assistance program, or
- received an income, or is a member of a family that received a total family income, for the six (6) month period prior to the date of the application that does not exceed the higher of the poverty line or 70% of the lower living standard income level, or
- is a member of a household that receives (or had been determined to be eligible to receive in the prior six (6) month period food stamps, or
- qualifies as a homeless individual, or
- Is a foster child on whose behalf State or local government payments are made.

B. Assessment, Service Strategy and Case Management

- Objective Assessment:** For each youth participant, an objective assessment must be provided that meets the requirements of WIA Section 129(c)(1)(A) and that incorporates a review of the youth's skill levels including basic skills, occupational skills, prior work experience, employability, interests, aptitudes (including interests and aptitudes for non-traditional jobs), supportive service needs, and developmental needs. To determine each enrolled individual's basic literacy skill level, provider will ensure appropriate, certified vendors will administer one of the approved WIA testing instruments to each enrolled individual within sixty (60) days of individual's registration date and upon individual's exit from the program or at one-year intervals following the registration date.
- Individual Service Strategy (ISS):** For each youth participant, an individual service strategy must be developed that meets the requirements of WIA Section 129(c)(1)(B) and include the identification of an age-appropriate career goal, taking into consideration the youth's assessment results and preparation for post-secondary education opportunities. The ISS information is to provide linkages between academic and occupational learning, provide preparation for employment, and provide effective connections to intermediary organizations that provide strong links to job market and employers. Provider will utilize the WPLWIB ISS form for each enrolled individual and complete updates on a monthly basis. Provider will include within each ISS the goal of achieving an industry-recognized credential and/or WPLWIB defined work-readiness credential. Provider will also include in the ISS the 10 Elements of Service (as applicable) and indicate the level of participation by youth participant.
- Case Management:** Through individual connection with participants, Case Managers will serve as the youths' advocate within the education, training, and employment arenas. Working with the appropriate guidance counselor(s)/school counselors, the youth service provider will manage the youth's participation in this program to ensure that the goals and objectives for the

youth are attained. All services, activities and outcomes must be recorded in the appropriate section in the OSOS. As a part of the service model, youth contractors will be required to provide a wide variety of services and activities that will engage the youth and steadily move youth towards completion of high school and the attainment of the appropriate skills that will help them post program/ post high school. Among the expectations are: referrals to existing youth development services, provision of in program supportive services, and provision of post program supportive services.

- iv. **Referral Services:** In addition to the information shared at the orientation level, participants should receive referral information regarding the full array of available services in and around the community. To best meet the needs of youth, youth service providers will need to network of agencies providing youth services that provide youth with the opportunities to develop.
- v. **Supportive Services:** Intended to enable the youth to participate in program activities that will lead to completion of high school, and to secure and retain post-secondary education, military, advanced training apprenticeship and or employment after high school graduation.
- vi. **Retention Services (Follow-Up Services):** These services are intended to assist customers in maintaining and succeeding in their jobs, as well as progressing in wage levels to achieve self-sufficiency. Provider will ensure the provision of post-exit services of continued case management; employment, post-secondary education, advanced training and military retention services; supportive services; counseling; and training; as allowed under WIA.

C. Youth Development and Employment Activities -WIA Ten Elements

Youth Development services and training are to be delivered by youth service providers consistent with WIA Section 123. To ensure compliance with WIA and the delivery of superior service, Respondent must make the following “**ten elements**” available to youth participants and applied as appropriate. Failure to offer all ten elements will deem your proposal non-responsive and your proposal will be disqualified. Also, all program activity/services must be pre- and post tested to demonstrate the need and the subsequent change that the youth has accomplished.

1. Summer employment opportunities that are directly linked to academic and occupational learning are mandatory. All younger youth participants **must be** placed in a summer job during the summer months, except for those who are fully engaged in other supporting activities that would prevent them from working. The youth service provider must develop these positions in the private sector. There will be no funds set aside in association with this RFP for summer employment. Youth can be put in an internship and or summer employment in for profit, not-for-profit, community and faith based settings. The contractor is responsible for monitoring youth in all program activities.
2. Comprehensive guidance and counseling, youth service provider must have resources available the resources available for youth who may need career counseling. This will include the appropriate staff and resource material that will be made available to the participating youth needing career counseling.
3. Adult mentoring for the period of participation, plus a subsequent period, for a total of not less than 12 months. One of the most valuable resources a youth could have during the adolescent years is a caring adult involved in his or her life. Respondent may take advantage of existing mentoring programs or develop its own. This must be clearly addressed in your RFP. Names and support letters from adult mentors will be considered as evidence that this resource will be available for the youth who may need it.
4. Tutoring, study skills training, and instruction leading to completion of secondary school, including dropout prevention strategies. Eligible youth who score below an 8.9 grade level in either Reading or Math, or an approved standardized test, indicates that they are below their expected grade level in one or both of these subjects and deemed basic skills deficient. These youth must be provided with special services to address deficiency. Tutoring may be

the service needed to help at-risk and or failing youth get back on track. Respondent must provide a clear description along with documented evidence that a tutoring service will be available for those youth who may need it. Respondent may use existing tutoring programs and or develop its own. Proposals must be clear about how this service will be made available to the youth who may need it.

5. Alternative secondary school services, as appropriate. This refers to the placement of a youth in a program other than his or her home school in order to ensure same level of success in erasing the basic skills deficiency, completion of high school and or the GED. For example, placing a youth in the BOCES or and adult education program because he or she is unable to function in the regular school. Most school districts have the funding resources to pay for this service. However, this may not always be the case. Therefore, if it is determined among the youth, school counselor and the youth service provider that a youth will need this service, it should be made available to the youth under this RFP. Respondent must describe the process to be used to determine if this is necessary and identify how it will be paid.
6. Paid and unpaid work experiences, including internships and job shadowing, as appropriate. Respondent must make this service available to youth who have been deemed not to be work ready based on initial assessment. Work experience and or internship may be used to help improve the youth's readiness to work. Efforts must be made to get employers to provide stipend. The respondent may also include a line in its budget for fro this RFP for this expense.
7. Occupational skill training, as appropriate. It may become necessary to place a youth in an occupational skills training program because it has been determined with the youth and the school counselor that this is the best strategy that will lead to successful completion of high school. Respondent must describe the process to be used to determine if a youth needs this service, and how this will be implemented. All training must lead to a license or certificate and linked to the demand occupations and or available job opportunities in Westchester County. The WIB will make payment directly to a training provider for a youth who is referred to training program. Therefore, this expense must not be included in the respondent's budget.
8. Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social behaviors during non-school hours, as appropriate. Respondent must clearly identify opportunities for youth to develop leadership skills if it is determined that the youth needs such an activity. Respondent may take advantage of existing leadership programs and or develop its own. There must be a clear description of how this service will be made available to participating youth. Where existing programs will be used, there must be a letter of support from the program.
9. Supportive services as defined in the Workforce Investment Act. Respondent must describe how it will make other supportive services available to the youth that support full engagement in school and or program activities that will lead to successful completion of high school. In this section respondent must describe how it intends to provide work readiness and life skills preparation for the youth in their care. In order to evaluate the success of each youth in this activity, there must be a pre and post test to clearly illustrate the need and the acquiring skill or trait. Respondent may take advantage of existing programs or create its own. In either case, the respondent must provide adequate documentation that describes how these supportive services will be delivered.
10. Follow-up services for not less than 12 months after the completion of participation, including updated personal data information for the customer satisfaction survey. Respondent will be required to provide at least twelve months of follow up services to each youth who completes their planned activities/services. Respondent must describe clearly how they intend to deliver follow-up services to youth in all post program activities; such as

employment, post secondary education, the military, advance occupational training or apprenticeship program.

VI. INSTRUCTIONS FOR COMPLETING APPLICATION FORMS

Where provided, all of the application forms discussed in this section are contained in Appendix “A”, checklist and program summary; Appendix “B”, benchmarks/payment points and budgets; Appendix “C” required forms and assurances.

Original and five copies of the proposal must be submitted.

CHECKLIST (Appendix (A))

The checklist shows all of the items that must be submitted with each proposal. Proposals that do not contain all of the required documents will not be reviewed or considered for funding.

PROPOSAL SUMMARY FORM (Appendix (A))

On the Summary Form present a concise statement describing the project for which funds are requested.

- This should be a one paragraph summary which includes:
- Activities and services to be provided
- Linkages and other resources brought into the program
- Program duration
- Number of youth to be served
- Special target groups
- Geographic area(s) to be served

PROGRAM NARRATIVE

Provide a **narrative description** of the proposed program following the outline provided below. The narrative should be concise and to the point. A maximum of five (5) typewritten pages is recommended.

1. Program Design (2 pages)

Respondent must describe in succinct details, its plan for implementing the various components of this program. Briefly describe the mission, vision and goal of the proposed youth employment program and state how they relate to the WPLWIA's workforce development mission, vision and performance outcomes. This section requires detailed information on the content of the proposed project and the methods and procedures the applicant will utilize to meet the objectives stated above. Address the following areas:

- Describe how students identified by the school will be handled at intake and how they will be registered into the program.
- Identify and describe the assessment tools to be used in developing a comprehensive assessment for each registered youth. All youth in this program must participate in the Ansel Casey Life Skill Program. However, respondent must also identify other assessment tools that it may use to develop a comprehensive assessment for each youth.
- List and describe in detail, how the respondent intends to make the mandated ten youth development activities (ten required WIA youth program service elements) available to all the youth to be registered in the program. These mandated services are: *comprehensive guidance and career counseling, adult mentoring, alternative secondary school services, summer youth employment, work experience, occupational skills, leadership development, supportive services and follow up services*. This should include a discussion of the linkages with other service providers, employers, public and private sector, other resources that are being brought into the program.
- Describe how the youth service provider will use the OSOS to case-manage the registrants. Also, identify the needs for staff training and development in order to use the system.
- Describe how the respondent intends to track the outcomes for each participant and the program. What interim steps will be implemented to ensure that the targets will be met?

2. Background of Organization (1 page)

- Identify the type of organization
- Describe your experience in providing services to individuals in this age group
 - Respondent must include:
 - performance from youth program it operated for the past three years
 - experience with proposed target groups

Organizational Structure and Program Management (2 pages)

- Provide a narrative description of the organizational structure of the program. Describe how the youth service provider will operate in the confines of the school. Discuss the memorandum of agreement to be developed with the school and how the contractor and school intend to implement this MOA. Identify the position and or personnel to occupy each and describe the role of each staff who will be working in the program, to include the school personnel. If any positions are shared with other programs, describe the inter-relationship and state the percentage of time devoted to this project for each position. Describe all linkages and outside resources brought into the program
- Provide a job descriptions and qualifications for all proposed staff
- Discuss program supervision
- Provide an organizational chart reflecting the proposed staffing of the program to include the high school staff
- Provide a listing of your organization's board of directors and their contact information
- Describe the steps need to ensure that all the contractor staff meets the requirements of the school Board and relevant NY State Education Department requirement to working the school facility, to include background checks.

FISCAL MANAGEMENT CAPABILITY (BUDGET SECTION)

In order to ensure that each youth service provider provides the appropriate level of staffing to operate the program, the WIB is allowing a two part budget for this program: (1) A cost-reimbursement budget for staffing and start up cost and (2) a performance-based component that compensates the contractor for performance outcomes accomplished as a result of the program implementation.

- Appendix B (I): Complete Appendix B (I) for all proposals. This schedule should be used to estimate personnel and start up cost. These costs will be reimbursed on a monthly basis. This budget must include the true cost of the proposed program staff. These costs cannot be inflated. Please be sure the costs included here are those that the agency would incur for these positions under its normal operations.
- Appendix B (II): Respondent must complete the performance based schedule indicating the proposed number of youth to attain each milestone, the cost per youth for each milestone in this schedule. The WIB reserve the right to amend and negotiate different rates if the respondent is selected as youth contractor.

The total annual budget should be the sum of the total from both the cost reimbursement and performance based schedules.

MOST RECENT FINANCIAL STATEMENT

Each respondent must provide a copy of its most recent financial statement and financial audit. Describe the accounting and fiscal reporting arrangements of the project, including such information as who acts as the fiscal auditor-controller, who approves purchases and contracts, what financial records are kept, what reports are regularly made and to whom.

PROPOSAL RATING CRITERIA AND SELECTION

All proposals will be evaluated on a 100 point system. Proposals will be rated on:

1. PROGRAM DESIGN (50 Pts.)

- A. Program Parameters (30 Pts.): Has the respondent provided adequate information on how it will manage the following program components: ***intake and registration, comprehensive and development of individual employment plan and the delivery of the ten mandated youth development activities?*** Is the program likely to be effective in terms of its plans for intake and registration? Review the proposals assessment tools, including, objective assessment, ISS, basic skills tests, vocational tests, and any other material used to complete an assessment of the participants needs. Does the program provide for staff with the qualifications to complete the assessments? Has the respondent described its plans for the delivery of the youth development services? Has the respondent described a strategy for attaining the program outcomes? Does the program offer substantive long term services to its participants that will help them to achieve academic and employment success?
- B. Program Linkages (20 Pts.): Has the respondent developed the required relationship and has secured the appropriate letter of support from the school? Has the respondent provided adequate proof of linkages developed with other youth service agencies that will provide the full array of services required under WIA and this RFP? These should include businesses, educational institutions and other community and youth service providers.

2. BACKGROUND OF ORGANIZATION (20 Pts.)

- A. Experience (20Pts.): Evaluate the experience that the organization has in providing programs with similar employment and training activities. Evaluate the organization's experience in providing services to the proposed target group. Evaluate the performance data provided by the respondent regarding its success with other youth development programs? Has the respondent provided documented evidence from its funding sources that validate its claimed successes with other youth development initiatives? Does the organization have any other funded programs in operation?

3. ORGANIZATIONAL STRUCTURE AND PROGRAM MANAGEMENT (15 Pts.)

- A. Management and administration (5 Pts.): Evaluate the organizational structure and administrative structure of the proposed program. Has the respondent clearly describes its relationship with the school personnel in delivery of this program? Has the respondent clearly identified the role of each staff in the program?
- B. Staffing and supervision (5 Pts.): Evaluate proposed staffing and supervision of the proposed program. Is staff adequate to provide the proposed services? Has the respondent clearly describes how staffing the program will be supervised? How has the respondent tied staff supervision to the program outcomes?
- C. Systems (5 Pts.): Has the respondent described how it intends to use the OSOS system? Has the respondent identified the training needs of staffing in order for them to use OSOS? Does the respondent have any experience in the use of OSOS?

4. FISCAL MANAGEMENT CAPABILITY (15 Pts.)

Evaluate the organization's capacity to conduct the proposed program based upon the fiscal management system in place, assessment of financial statements accompanying the application, and the fiscal controls described in the proposal application. Determine whether proposed costs are reasonable: cost per participant, cost per placement, and cost per positive outcome.

- A. Fiscal performance record (5 Pts.): Does the respondent have any adverse findings and or investigation pending from any of its funding sources?
- B. Financial solvency (5Pts.): Does the respondent's financial statement indicate financial solvency?
- C. Cost effectiveness (cost ranges): (5 Pts.) Is the respondent's proposed budget and unit cost reasonable?

Due to the competitive nature of the award process and the limited availability of funding, it is entirely possible that funding support will not be offered to all deserving applicants. Meritorious proposals that are not selected for funding in the first round of awards may be maintained on file and considered for second-round funding during the program year if additional monies become available.

NOTE: Regulations prohibit the use of WIA funds for the writing and development of proposals.

5. OTHER REQUIREMENTS

A. MONITORING AND REPORTING

Funded programs will be required to provide monthly and other reports on individual participant outcomes to the Office of Workforce Investment. OWI staff will provide on-going monitoring and supervision of each program to ensure Compliance with performance standards and contract requirements. Site visits and weekly reports will be used as instruments to measure program effectiveness. Where programs seem to be having difficulty, the OWI staff will require corrective action that must be implemented in an established time frame. The information received at termination will determine the performance outcomes for the program and for the Local Workforce Investment Area. Follow up services will take place after termination and will be reported to OWI staff on an ongoing basis.

B. FISCAL/BUDGET REQUIREMENTS

Provider will submit financial reports consisting of line item detail of actual expenses to support each budget line item provided in the Program budget with each monthly invoice, and require any subcontractors to file financial report consisting of line item detail of actual expenses to support each budget line item provided in the Program Budget with each invoice.

C. REPORTING REQUIREMENTS

1. Funded agencies will be required to generate and submit accurate and timely reports to the Local Workforce Investment Board or its designee.
2. Request for reimbursement on payment points must be submitted according to the Programmatic Schedule.
3. The applicant's records will be subject to periodic monitoring and/or audit by the Local Workforce Investment Board or its designee.
4. Funded applicants will be required to have an audit performed in accordance with the Single Audit Act of 1984 and audit provisions of the Office of Management and Budget (OMB) Circulars A-133 (Institutions of Higher Education and Not-For-Profit) or A-128 (State and Local Governments).

5. Accounting /record keeping should be maintained according with GAAP (General Accepted Accounting Principles) and OMB Circular A-87.
6. Under no circumstances will payment be made for activities incurred by the funded agencies beyond the contract dates.

D. PROGRAM RECORDS

Each contract will be required to maintain all program and participant records for a period of up to seven years. These records must be made available to the LWIB or its designee whenever required. If there is a termination of contract, the LWIB will require the contractor to turn over all program and participant records relative to this youth employment program.

APPENDIX A

- Checklist
- Proposal Summary Form

CHECKLIST

AGENCY _____

Application Number _____

- _____ Proposals (original and seven copies)
- _____ Proposal Summary Form (**provided, Appendix A**)
- _____ Program Narrative (no more than 5 pages)
- _____ Cost based preliminary budget (**provided, Appendix B – I**)
- _____ Performance based budget in-school youth or out-of-school youth (**provided, Appendix B – II**)
- _____ Proposer Certification (**provided, Appendix C**)
- _____ Authorized Signature Sheet (**provided, Appendix C**)
- _____ Certificate Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (**provided, Appendix C**)
- _____ Union Consultation and Concurrence (**provided, Appendix C**)
- _____ Standard Insurance Provisions (**provided, Appendix C**)
- _____ Minority Business Questionnaire (**provided, Appendix C**)
- _____ Mac Bride Principles (**provided, Appendix C**)
- _____ Required Disclosure of Relationships to County (**provided, Appendix C**)
- _____ Qualified Transportation Fringe Program (**provided, Appendix C**)
- _____ Waiver Qualified Transportation Fringe Program (**provided, Appendix C**)
- _____ Assessment Tools (copy of Objective Assessment and ISS formats)
- _____ Training Curriculum
- _____ Listing of Board of Directors
- _____ Organizational Chart
- _____ Affirmative Action Plan
- _____ EEO Statement
- _____ Most Recent Financial Statement

Applications that do not contain all the required documents will not be reviewed or considered for funding. Please be sure to include all information requested. Use this checklist to make sure that you have all of the required pieces included in your proposal.

**PROPOSAL SUMMARY FORM
YOUTH WORKFORCE INVESTMENT PROGRAM**

Application Number: _____

Date Received: _____

IMPORTANT: THIS FORM MUST BE COMPLETED AND SUBMITTED WITH EACH COPY OF YOUR PROPOSAL

Organization
Name: _____

Address: _____

Telephone: _____ Fax _____

Program
Title: _____

Designated Contact
Person: _____

Telephone (if different): _____

Funds Requested: _____

Total Number of Youth to be Served: _____

Number of TANF eligible Youth to be served _____

Is Program Accessible to the disabled? Yes _____ No _____

ONE PARAGRAPH SUMMARY

APPENDIX B

- Cost-based preliminary budget - B (I)
- Instructions for Completing the Cost Reimbursement Budget Form
- Program benchmarks/payment points for in school youth - B (II)

APPENDIX B (I)

Respondent Name _____

Contract Period: April 1, 2007 - June 30, 2008

A1. PERSONNEL (full time)					
Title	# of	% of Time	Amount Funded		
	Staff	Charged	Annual	First quarter	15 month
					0
					0
					0
Subtotal personnel(full time)			0	0	0
B1. FRINGE					
Category	Rate	Annual	First quarter	15 month	
FICA		0	0	0	
Wkr Comp		0	0	0	
Health		0	0	0	
Disability		0	0	0	
Unemployment		0	0	0	
Other		0	0	0	
Sub total fringe (full time staff)		0	0	0	
A2. PERSONNEL (part time)					
				0	0
				0	0
				0	0
Subtotal fringe (part time staff)			0	0	0
B2. FRINGE					
Category	Rate	Annual	First quarter	15 month	
FICA	7.20%	0	0	0	
Wkr Comp	0.29%	0	0	0	
Health	16.38%	0	0	0	
Disability	0.66%	0	0	0	
Unemployment	0.17%	0	0	0	
Other	4.85%	0	0	0	
Subtotal fringe (part time staff)		0	0	0	
C. OTHER THAN PERSONNEL SERVICES					
Items	% Charged	Annual	First quarter	15 month	
				0	
				0	
				0	
				0	
TOTAL OTPS		0	0	0	
GRAND TOTAL			0	0	0

Instructions for Completing the Cost Reimbursement Budget Form

Cost Reimbursement Budget

Please note that the Budget Sheet has formulas. Therefore, you are only required to fill in certain information.

A1 and A2 Personnel (full-time)

Respondent must only complete job title, number of staff, % of time charged, annual salary and first quarter salary.

The formulas that are built into the worksheet will do the calculations.

B1 and B2 Fringe Benefits

Respondent must complete rate only. The formula will do the calculation.

C. Other Than Personnel Expenses (OTSP)

Respondent must complete item, % charged and the annual charge and the charge for the first quarter.

The formulas will do the additional calculations.

APPENDIX B (II)

Contract Period: April 1, 2007 - June 30, 2008

Respondent's Name

PERFORMANCE AND PAYMENT MILESTONE						
Milestone			# of Customers	Measures	Rate	Total Cost
Enrollment and WIA Registration	Seniors	Juniors				
Application and OSOS Entry						
WIA Orientation				100%	100	\$0
WIA Eligibility						
Service Strategy					150	
Assessment						
Individual Service Strategy	0	0	0	100%	100	\$0
Case Management						
Summer Employment	0	0	0	100%	100	\$0
Customer Satisfaction						\$2,500
Skill Attainment						
Basic Skills (Literacy & Numeracy)	0	0	0	100%	100	0
Work Readiness	0	0	0	100%	100	\$0
Occupational Skills	0	0	0	33%	150	\$0
Terminations						
High School Degree or GED	0	0	0	90%	100	\$0
Employment						
Post-Secondary Education						
Military Service	0	0	0	90%	100	\$0
Apprenticeship						
Advance Training						
Retention (1st Quarter)						
Employment						
Post-Secondary Education						
Military Service	0	0	0	90%	100	\$0
Apprenticeship						
Advance Training						
Retention (3rd Quarter)						
Employment						
Post-Secondary Education						
Military Service	0	0	0	90%	100	\$0
Apprenticeship						
Advance Training						
Youth Satisfaction Survey						\$2,500
Total Cost						

APPENDIX C

- Proposer Certification
- Authorized Signature Sheet
- Certification of Compliance with Specifications
- Certification Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
- Union Concurrence Form
- Standard Insurance Provisions
- Minority Business Questionnaire
- Mac Bride Principles
- Required Disclosure of Relationships to County
- Qualified Transportation Fringe Program
- Waiver Qualified Transportation Fringe Program

PROPOSER CERTIFICATION

The undersigned agrees and understands that this proposal and all attachments, additional information, etc. submitted herewith constitute merely an offer to negotiate with the County of Westchester and is NOT A BID. Submission of this proposal, attachments, and additional information shall not obligate or entitle the proposing entity to enter into a service agreement with the County of Westchester for the required services. The undersigned agrees and understands that the County of Westchester is not obligated to respond to this proposal nor is it legally bound in any manner whatsoever by the submission of same. Further, the undersigned agrees and understands that any and all proposals and negotiations shall not be binding or valid against the County of Westchester, its directors, officers, employees or agents unless a formal written agreement is duly approved by the Westchester County Board of Acquisition & Contract, signed by a duly authorized officer of the County of Westchester and approved by the Office of the County Attorney.

It is further understood and agreed that the County of Westchester reserves the right to reject consideration of any and all proposals including, but not limited to, proposals which are conditional or incomplete. It is further understood and agreed that the County of Westchester reserves all rights specified in the Request for Proposals.

It is represented and warranted by those submitting this proposal that except as disclosed in the proposal, no officer or employee of the County of Westchester is directly or indirectly a party to or in any other manner interested in this proposal or any subsequent service agreement that may be entered into.

Proposer Name

By: _____
Name and Title

AUTHORIZED SIGNATURE SHEET

The applicant hereby certifies that the information in the application is correct to the best of her/his knowledge and belief, and that projected costs are reasonable and necessary for the operation of the proposed program. The applicant further certifies that projected costs are not a duplication of funds already available or which will be available from other sources.

Legal Name of Organization _____

Telephone Number _____

Address _____

The following individual(s) has/have the authority to negotiate and contractually bind the applicant, and may be contacted during the period of proposal evaluation.

Name _____ Title _____

Address _____

Telephone Number _____

Name _____ Title _____

Address _____

Telephone Number _____

_____ Date _____
Signature of Authorized Representative

Typed Name & Title of Authorized Representative

CERTIFICATION OF COMPLIANCE WITH SPECIFICATIONS

This is to certify that, to the best of the undersigned's knowledge and belief, the data in this application is responsive to the specifications and is true and correct. The undersigned understands that non-responsive applications, as determined by the Westchester/Putnam Local Workforce Investment Board, Westchester County DSS/Office of Workforce Investment or The Putnam County Department of Social Services, may not be reviewed for consideration. Further, the submission of this application shall comply with the requirement of NYSDOL web-based application and the requirements for initial application as set forth in the Workforce Investment Act of 1998 (WIA Sec. 122 (c)).

Name and Title

Signature

Date

Certification Regarding Lobbying

**CERTIFICATION FOR CONTRACTS, GRANTS, LOANS,
AND COOPERATIVE AGREEMENTS**

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

Organization

Authorized Signature

Title

Date

NOTE: If Disclosure Forms are required, please contact: Mr. Will Sexton, Deputy Director, Grants and Contracts Management Division, Room 341F, HHH Building, 200 Independence Avenue, SW, Washington, D.C. 20201-0001

CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

1) As required by Federal Executive Order 12549, and prescribed by federal regulations, including 40 CRF Part 32, the contractor certifies that it, and its principals:

- (a) Are not presently disbarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded by any Federal department or agency;
- (b) Have not within a 3-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction, including any violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a Government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) above; and
- (d) Have not within a 3-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

2) Where the Contractor is unable to certify to any of the statements in this paragraph, the Contractor shall attach an explanation to this certification.

Date: _____

Signature

Title

Organization

**CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS**

GRANTEES OTHER THAN INDIVIDUALS

This certification is required by regulations implementing Section 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41U.S.C. 701 et seq.). 7 CFR Part 3017, Subpart F, Section 3017.600 and 45 CFR Part 76, Subpart F. The January 31, 1989 regulations were amended and published as Part II of the May 25, 1990 Federal Register (Page 21681-21691).

The grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and,
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) Abide by the terms of the statement; and,
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination;
or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraph (a), (b), (c), (d), (e) and (f).

Organization

Authorized Signature

Title

Date

UNION CONCURRENCE FORM

AGENCY: _____

PROGRAM NAME: _____ -

DATE: _____

List All Unions with which you have Collective Bargaining Agreements covering occupations in which employment or training is provided for WIA enrollees.

Name of Union: _____

Address:

Person(s) who signed agreement for Union:

Name: _____

Title: _____

Dates of Contract(s):

Categories of Workers Covered:

- | | |
|----------|-------|
| 1. _____ | _____ |
| 2. _____ | _____ |
| 3. _____ | _____ |

Union Concurrence will be obtained if job is covered by a Collective Bargaining Agreement.

SCHEDULE "A"

STANDARD INSURANCE PROVISIONS **(Contractor)**

1. Prior to commencing work, the Contractor shall obtain at its own cost and expense the required insurance from insurance companies licensed in the State of New York, carrying a Best's financial rating of A or better, and shall provide evidence of such insurance to the County of Westchester, as may be required and approved by the Director of Risk Management of the County. The policies or certificates thereof shall provide that thirty days prior to cancellation or material change in the policy, notices of same shall be given to the Director of Risk Management of the County of Westchester by registered mail, return receipt requested, for all of the following stated insurance policies. All notices shall name the Contractor and identify the Agreement.

If at any time any of the policies required herein shall be or become unsatisfactory to the County, as to form or substance, or if a company issuing any such policy shall be or become unsatisfactory to the County, the Contractor shall upon notice to that effect from the County, promptly obtain a new policy, submit the same to the Department of Risk Management of the County of Westchester for approval and submit a certificate thereof. Upon failure of the Contractor to furnish, deliver and maintain such insurance, the Agreement, at the election of the County, may be declared suspended, discontinued or terminated. Failure of the Contractor to take out, maintain, or the taking out or maintenance of any required insurance, shall not relieve the Contractor from any liability under the Agreement, nor shall the insurance requirements be construed to conflict with or otherwise limit the contractual obligations of the Contractor concerning indemnification. All property losses shall be made payable to and adjusted with the County.

In the event that claims, for which the County may be liable, in excess of the insured amounts provided herein are filed by reason of any operations under the Agreement, the amount of excess of such claims or any portion thereof, may be withheld from payment due or to become due the Contractor until such time as the Contractor shall furnish such additional security covering such claims in form satisfactory to the County of Westchester.

2. The Contractor shall provide proof of the following coverage (if additional coverage is required for a specific agreement, those requirements will be described in the "Special Conditions" of the contract specifications):

(a) Workers' Compensation. Certificate form C-105.2 or State Fund Insurance Company form U-26.3 is required for proof of compliance with the New York State Workers' Compensation Law.

NOTE: Other generally recognized forms/certificates may be substituted for the above at the sole discretion of the Director of Risk Management.

State Workers' Compensation Board form DB-120.1 is required for proof of compliance with the New York State Disability Benefits Law. Location of operation shall be "All locations in Westchester County, New York."

(Where an applicant claims to not be required to carry either a Workers' Compensation Policy or Disability Benefits' Policy, or both, a temporary permit may be issued if the employer completes form WC/DB-100 or, if applicable, form WC/DB-101. PLEASE NOTE THESE FORMS REPLACE FORM C-105.21. THE APPROPRIATE REPLACEMENT FORM MUST BE NOTARIZED PRIOR TO BEING SUBMITTED TO THE WORKERS' COMPENSATION BOARD, INFORMATION UNIT FOR INVESTIGATION AND REPORT).

If the employer is self-insured for Worker's Compensation, he should present a certificate from the New York State Worker's Compensation Board evidencing that fact.

(b) Employer's Liability with minimum limit of \$100,000.

(c) Commercial General Liability Insurance with a minimum limit of liability per occurrence of \$1,000,000 for bodily injury and \$100,000 for property damage or a combined single limit of \$1,000,000 (c.s.1), naming the County of Westchester as an additional insured. This insurance shall include the following coverages:

- (i) Premises - Operations
- (ii) Broad Form Contractual
- (iii) Independent Contractor and Sub-Contractor
- (iv) Products and Completed Operations.

(d) Automobile Liability Insurance with a minimum limit of liability per occurrence of \$1,000,000 for bodily injury and a minimum limit of \$100,000 per occurrence for property damage or a combined single limit of \$1,000,000 unless otherwise indicated in the contract specifications. This insurance shall include for bodily injury and property damage the following coverages:

- (i) Owned automobiles.
- (ii) Hired automobiles.
- (iii) Non-owned automobiles.

(e) Contractor's Professional Liability. The Contractor shall provide proof of such insurance. (Limits of \$1,000,000 per occurrence/\$3,000,000 aggregate).

3. All policies of the Contractor shall be endorsed to contain the following clauses:

(a) Insurers shall have no right to recovery or subrogation against the County of Westchester (including its employees and other agents and agencies), it being the intention of the parties that the insurance policies so effected shall protect both parties and be primary coverage for any and all losses covered by the above-described insurance.

(b) The clause "other insurance provisions" in a policy in which the County of Westchester is named as an insured, shall not apply to the County of Westchester.

(c) The insurance companies issuing the policy or policies shall have no recourse against the County of Westchester (including its agents and agencies as aforesaid) for payment of any premiums or for assessments under any form of policy.

(d) Any and all deductibles in the above described insurance policies shall be assumed by and be for the account of, and at the sole risk of, the Contractor.

SCHEDULE "B"

For Informational Purposes Only

**QUESTIONNAIRE REGARDING BUSINESS ENTERPRISES
OWNED AND CONTROLLED BY PERSONS OF COLOR OR WOMEN**

As part of the County’s program to encourage the meaningful and significant participation of business enterprises owned and controlled by persons of color or women in County contracts, and in furtherance of Section 308.01 of the Laws of Westchester County, completion of this form is required.

The term persons of color means a United States citizen or permanent resident alien who is and can demonstrate membership of one of the following groups: (a) Black persons having origins in any of the Black African racial groups; (b) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin regardless of race; (c) Native American or Alaskan native persons having origins in any of the original peoples of North American; or (d) Asian or Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian sub-continent or the Pacific Islands.

An enterprise owned and controlled by persons of color or women means a business enterprise including a sole proprietorship, limited liability partnership, partnership, limited liability corporation or corporation that is (a.) at least 51% owned by one or more persons of color or women; (b.) an enterprise in which such ownership by persons of color or women is real, substantial and continuing; (c.) an enterprise in which such ownership interest by persons of color or women has and exercises the authority to control and operate, independently, the day-to-day business decisions of the enterprise; and (d.) an enterprise authorized to do business in this state which is independently owned and operated.

In addition, a business enterprise owned and controlled by persons of color or women shall be deemed to include any business enterprise certified as an MBE or WBE pursuant to Article 15-a of the New York State Executive Law and implementing regulations, 9 NYCRR subtitle N Part 540 et seq., or as a small disadvantaged business concern pursuant to the Small Business Act, 15 U.S.C. 631 et seq., and the relevant provisions of the Code of Federal Regulations as amended.

1. Are you a business enterprise which is owned and controlled by persons of color or women in accordance with the standards listed above?

_____ No
_____ Yes (as a business owned and controlled by persons of color)
_____ Yes (as a business owned and controlled by women)

2. If you are a business owned and controlled by persons of color, please specify, the minority classifications which apply: _____

3. Are you certified with the State of New York as a minority business enterprise (“MBE”) or a women business enterprise (“WBE”)?

_____ No
_____ Yes (as a MBE)
_____ Yes (as a WBE)

4. If you are certified with the State of New York as an MBE, please specify the minority classifications which apply: _____

5. Are you certified with the Federal Government as a small disadvantaged business concern?
_____ No
_____ Yes

Name of Firm/Business Enterprise: _____

Address: _____

Name/Title of Person completing MBE/WBE Questionnaire: _____

Signature: _____

SCHEDULE “C”

CERTIFICATION REGARDING BUSINESS DEALINGS WITH NORTHERN IRELAND

A. The Contractor and any individual or legal entity in which the Contractor holds a ten percent (10%) or greater ownership interest and any individual or legal entity that holds a ten percent (10%) or greater ownership interest in the Contractor (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Principles.

B. For purposes of this Certification, “MacBride Principles” shall mean those principles relating to nondiscrimination in employment and freedom of workplace opportunity which require employers doing business in Northern Ireland to:

1. increase the representation of individuals from underrepresented religious groups in the work force, including managerial, supervisory, administrative, clerical and technical jobs;
2. take steps to promote adequate security for the protection of employees from underrepresented religious groups both at the workplace and while traveling to and from work;
3. ban provocative religious or political emblems from the workplace;
4. publicly advertise all job openings and make special recruitment efforts to attract applicants from underrepresented religious groups;
5. establish layoff, recall and termination procedures which do not in practice favor a particular religious group;
6. abolish all job reservations, apprenticeship restrictions and differential employment criteria which discriminate on the basis of religion;
7. develop training programs that will prepare substantial numbers of current employees from underrepresented religious groups for skilled jobs, including the expansion of existing programs and the creation of new programs to train, upgrade and improve the skills of workers from underrepresented religious groups;
8. establish procedures to assess, identify and actively recruit employees from underrepresented religious groups with potential for further advancement; and
9. appoint a senior management staff member to oversee affirmative action efforts and develop a timetable to ensure their full implementation.

C. For purposes of this Certification, “Northern Ireland” shall be understood to be the six counties partitioned from the Irish Province of Ulster, and administered from London and/or from Stormont.

D. The Contractor agrees that the warranties and representation in paragraph "A" are material conditions of this Agreement. If the County receives information that the Contractor is in violation of paragraph "A", the County shall review such information and give the Contractor opportunity to respond. If the County finds that such a violation has occurred, the County may declare the Contractor in default, and/or terminate this Agreement. In the event of any such termination, the County may procure the supplies, services or work from another source in accordance with applicable law. The Contractor shall pay to the County the difference between the contract price for the uncompleted portion of this Agreement and the cost to the County of completing performance of this Agreement either by itself or by engaging another Contractor. If this is a contract other than a construction contract, the Contractor shall be liable for the difference in price if the cost of procurement from another source is greater than what the County would have paid the Contractor plus any reasonable costs the County incurs in any new procurement and if this is a construction contract, the County shall also have the right to hold the Contractor in partial or total default in accordance with the default provisions of this Agreement. In addition, the Contractor may be declared not to be a responsible bidder or proposer for up to three (3) years, following written notice to the Contractor, giving the Contractor the opportunity for a hearing at which the Contractor may be represented by counsel. The rights and remedies of the County hereunder shall be in addition to, and not in lieu of, any rights and remedies the County has pursuant to this Agreement or by operation of law or in equity.

Agreed:

Name of Contractor: _____

By (Authorized Representative): _____

Title: _____ Date: _____

SCHEDULE D

REQUIRED DISCLOSURE OF RELATIONSHIPS TO COUNTY
(Prior to execution of a contract by the County, a potential County contractor must complete, sign and return this form to the County)

Contract Name and/or ID No.:

(To be filled in by County)

Name of Contractor:

(To be filled in by Contractor)

A.) Related Employees:

1. Are any of the employees that you will use to carry out this contract with Westchester County also an officer or employee of the County, or the spouse, or the child or dependent of such County officer or employee?

Yes _____ No _____

If yes, please provide details: _____

B.) Related Owners:

1. If you are the owner of the Contractor, are you or your spouse, an officer or employee of the County?

Yes _____ No _____

If yes, please provide details: _____

To answer the following question, the following definition of the word "interest" shall be used:

Interest means a direct or indirect pecuniary or material benefit accruing to a county officer or employee, his or her spouse, child or dependent, whether as the result of a contract with the county or otherwise. For the purpose of this chapter, a county officer or employee shall be deemed to have an "interest" in the contract of:

- i. His/her spouse, children and dependents, except a contract of employment with the county;
- ii. A firm, partnership or association of which such officer or employee is a member or employee;
- iii. A corporation of which such officer or employee is an officer, director or employee; and
- iv. A corporation of which more than five (5) percent of the outstanding capital stock is owned by any of the aforesaid parties.

2. Do any officers or employees of the County have an **interest** in the Contractor or in any subcontractor that will be used for this contract?

Yes _____ No _____

If yes, please provide details: _____

Authorized Company Official shall sign below and type or print information below the signature line:

Name

Title

Date