



[Westchester Putnam]
LOCAL PLAN

JULY 1, 2013 - JUNE 30, 2014

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Labor Market Overview

WIA §118 (b) The local plan shall include - (1) an identification of—

- (A) the workforce investment needs of businesses, jobseekers, and workers in the local area;
- (B) the current and projected employment opportunities in the local area; and
- (C) the job skills necessary to obtain such employment opportunities;

1. Based on consultation with NYSDOL’s Labor Market Analyst, and a review of your Regional Economic Development Council’s (REDC) Five-Year Strategic Plan, describe the current and projected employment opportunities in your local area and region. Provide a priority ranked list of the local area’s demand occupations for PY 2013 that includes SOC codes and job titles.

Some of the occupations and corresponding codes (noted by *) may apply to one or more sectors. Ours are not listed in any particular order of priority as we are focusing on all six sectors named, which are all priorities, but which may change as the local economy dictates.

Construction / "green" Hospitality Healthcare Advanced Manufacturing

Business and Professional Services Bio-technology / Life Sciences Not-for-profit

Current and Projected Opportunities / Priorities with Codes and Titles - Some of the occupations and corresponding codes (noted by *) may apply to one or more sectors. All of the jobs listed are priorities in each sector, which may change as the local economy dictates.

Construction / "green"

47-2031 Carpenters

47-2061 Construction Laborers

47-2111 Electricians

47-2152 Plumbers, Pipefitters, Steamfitters

49-9021 HVAC and Refrigeration Mechanics and Installers

Hospitality

33-9032 *Security Guard

35-2021 Food Preparation Worker

37-2012 Maids and Housekeeping Cleaner

41-3099 *Sales Representative

49-9071 * Maintenance and Repair General

Healthcare

31-1-11 Home Health Aide

31-1-12 Nursing Aides, Orderlies, Attendants

31-9012 Personal Care Aide

31-9091 Dental Assistant

31-9092 Medical Assistant

Advanced Manufacturing

51-4041 Machinists

51-4121 Welders, Cutters, Solderers, Brazers

51-9023 Mix and Blend Machine Setters, Operators and Tenders

Business and Professional Services / Not for Profit

43-4171 Receptionists & Information Clerks

43-6011 Executive Secretaries and Administrative Assistants

43-6014 Secretaries and Administrative Assistants

43-9011 Computer Operators

43-9021 Data Entry

Bio-technology / Life Sciences

17-2030 Biomedical Engineer

17-2031 Biomaterial Engineer

17-3029 Biomedical Engineering Technician
 19-4021 Bacteriology Technician
 49-9062 Biomedical Equipment Technician

2. Explain how your demand list was shaped. Describe the data source(s) used to develop/support your demand list.

The demand list was shaped by many factors and data sources, including but not limited to the following: our regional Labor Market Analyst who serves the 7 counties in our region; EMSI, a national source of economic data and trends; the Westchester County Planning Department; the Westchester Business Council whose President sits on the WIB; the County Office of Economic Development, whose Director also sits on the WIB; our Regional Economic Development Council which includes three WIB members from Westchester-Putnam WIB. As a result of input from the above list, the Westchester putnam WIB has for the past 2-3 years focused on a sector -based strategy for employment and training and continues to do so into PY-12.

3. Identify the job skills/credentials for the occupations that are highest in demand, including those identified as priorities by your REDC. Describe the education and training resources that exist in your area/region to assist individuals to obtain these skills. Training options such as on-the-job training, ITAs, customized training and contracted training should be discussed where relevant.

One problem we have experienced in Westchester is that we have a skilled labor force and we have available jobs, but in many cases, we are unable to match the job seekers to those jobs. On the lower educational spectrum we have job seekers who need basic education, GED and ESL or a credential like the National Work Readiness Credential while at the upper end of the spectrum we have highly educated and highly skilled workers who need retraining and / or skills enhancement to become competitive in the current job market and into the future. As a result we have used OJT, ITA's and customized training to fill these needs. Westchester also offers staff assisted services including Microsoft Word, Excel and PowerPoint workshops as well as contracted services for the use of social media for personal "branding" and as a job search tool, as well as Metrix on-line learning in a wide variety of areas. Customized training has proven to be helpful in the retention of employees while OJT has proven to be more successful in getting customers into jobs that pay at or above the living wage for the county, which is currently \$11.00 per hour.

4. Describe any regional or sector-based training initiatives in which your local area is involved or is planning to be involved during PY 2013. Explain how these initiatives align with the demand occupations on your list.

Targeting 6 major sectors for PY-12 and beyond: "Green" / Construction; Hospitality; Healthcare; Advanced Manufacturing; Bio-tech / Life Sciences, and Professional Services. The WIB has experienced great success in the "green" area with the three year Hudson Valley Green Talent Pipeline which was conducted in conjunction with the seven Hudson Valley WIB's and our training partners. We are optimistic that when construction picks up, success in this are will increase as well, especially as the Tappan Zee Bridge project moves forward. The WIB also recently received

notification that it is one of seven grant recipients across the country for the National Youth Build grant for which we received an award of \$829,000. Those youth will be trained at actual sites where buildings are being rehabilitated for low to moderate income families and individuals. Those who need it will also access classroom training in building skills, ESL and GED.

Hospitality has proven to be a difficult area due to the current state of the economy. We have used this opportunity to provide customized training including management skills and vocational ESL to approximately 17 local hotels and hospitality related companies. The goal was to promote better communication between employees and management which would help to reduce turnover and facilitate better customer service overall. In addition to retention, an added benefit of this program is that some individuals will be more promotable within or outside the organization.

Healthcare has also been difficult despite being one of the growth industries in the region. We have recently experienced budgetary cuts and layoffs of trained individuals. We have in one case in particular saved approximately 25 jobs that would have disappeared if not for the customized training provided to staff of the Northern Westchester Hospital. All of their staff were trained on a new intake system as well as other job related training necessary for them to perform their jobs. We have also embarked on training for a consortium of local hospitals whereby they will adopt a vocational ESL program similar to the one delivered in the hotel / hospitality sector.

Bio-technology / Life Sciences - Westchester County has been named the "intellectual capital" of the Hudson Valley region with the highest percentage of workers holding a bachelors degree or higher. In addition, Bio-Hud Valley is an attempt to make Westchester County a bio-tech hub similar to what Silicon Valley in California was to the computer industry. We have experienced success in this area as well with training to three bio-tech companies in the following two areas; a Mini-MBA program that received statewide recognition and Management Skills for Scientists which focused on the skills necessary to manage effectively and efficiently outside of a laboratory setting.

Advanced Manufacturing - The WIB is currently working with the local community college and several local businesses to develop training for Curtis Instruments, BASF and Fenbar Precision Machinists. This is our first endeavor in this area, however, the need to bring manufacturing back to the state, region and county is high on our list of priorities. The training focuses on the use of computer assisted design, drafting and manufacturing. Coupled with the intellectual capital discussed earlier, this area should remain on the rise.

Business and Professional Services (formerly Finance and Banking) - Westchester County is rich in "service" related companies. To take advantage of this richness, the WIB has redefined this sector in hopes that we will achieve greater success. We found that banks have access to and provide training in their areas of need and they have restrictions to receiving funding from outside sources. As a result, we will continue working with banks but will expand this sector to include insurance companies, accounting firms, legal services, printing and copying as well as others.

Performance

WIA §118 (b) The local plan shall include - (3) a description of the local levels of performance negotiated with the Governor and chief elected official pursuant to section 136(c), to be used to measure the performance of the local area and to be used by the local board for measuring the performance of the local fiscal agent (where appropriate), eligible providers, and the one-stop delivery system, in the local area;

Information and documentation produced through the yearly Performance Indicator Negotiation Process will become part of this plan. No additional information is required.

Planned Services and Expenditures

Adult and Dislocated Workers

WIA §118 (b) The local plan shall include - (2) a description of the one-stop delivery system to be established or designated in the local area, including—

- (A) a description of how the local board will ensure the continuous improvement of eligible providers of services through the system and ensure that such providers meet the employment needs of local employers and participants;*

WIA §118 (b) The local plan shall include - (4) a description and assessment of the type and availability of adult and dislocated worker employment and training activities in the local area;

Please complete the charts entitled “PY 2012 Training” and “PY 2013 Training Projection” located in the Budget spreadsheet (Attachment I). In addition, if you procure service providers to provide Adult and Dislocated Worker or Business services, complete the Adult/Dislocated Worker and Business Services worksheets in the Service Provider spreadsheet (Attachment J).

5. Briefly describe the type and availability of Adult and Dislocated Worker services in your area.

Services for Adults and Dislocated Workers include a staffed resource room with computers that have internet access for research, job search activities, on-line training through Metrix Learning and labor market information, fax machine, telephone bank, training provider information, job postings and adaptive technology for customers with disabilities. Staff assisted services include workshops focused on Microsoft Excel, Word, Power Point , job search, resume and cover letter writing, SMART 2010 resume development, an Access VR Job Coach, use of social media for personal "branding" and as a job search tool, career exploration and vocational counseling, Candid Capture which allows customers to record a generic interview to be played back by employers, skills assessment, initial and comprehensive assessment as well as IEP development, OJT, ITA and customized training. In addition, the One Stop hosts on site and virtual job fairs, company recruitment, job screening, matching and referral services.

6. Describe the steps the Workforce Investment Board takes to ensure the continuous improvement of Adult and Dislocated Worker services through the system. Describe the information that is reviewed to determine that providers are meeting the employment needs of local businesses and jobseekers.

The WIB has recently begun to develop a system for tracking placements of customers who received training into training related jobs. We have widened our offerings to meet the needs of our business and job seeking customers, however, purchasing training from a course catalogue is not a "performance based" contractual relationship. As such, every student receives the same outplacement services as listed in the training provider's catalogue (if any).

In those instances where the services are being provided in response to an RFP or RFQ, the county has in place a report card system geared toward improving the performance of our vendors. This system is outlined in more detail in section 10, youth.

7. Describe any partnerships that the WIB and One-Stop Operators have developed to improve services to customers in the local area or region.

The Red Carpet Team provides a variety of services to business customers in Putnam County; Joint Business Services team meets at least every other month, shares job leads and postings, coordinates job fairs and recruiting throughout the County and in Yonkers; Business Sector Partnership / Sector Partnership Manager coordinates the WIB's efforts in six employment sectors, gets feedback from the business community vis a vis business needs, outreaches and provides information to local employers and encourages membership and active participation; WWDAY (Westchester Workforce Development Academy for Youth) and WWDAY Coordinator links local businesses with youth in seven selected communities; plans, coordinates and runs an annual youth summit with participation from local businesses; College Internship Clearinghouse and CIC Coordinator links local and returning college students with internships by providing a clearinghouse or repository of resumes and available internship opportunities (this will later be expanded to high school students); Big 5 Workplace Attributes is an adaptation of a California model and outlines workplace attributes that are needed by youth in order to be successful in any area whether they have relevant work experience or not; Westchester Putnam One Stop - Library System Partnership offers "satellite" locations in three local libraries where WIA participants can go to access services and satisfy reporting requirements in their local communities without having to make the trip to a specific one stop location; the Regional Economic Development Council (Westchester) on which three Westchester Putnam WIB members sit and actively contribute; development of the One Stop website www.westchesterputnamonestop.com; approval of a wider variety of eligible training providers; working with businesses and local training providers to develop a customized curriculum that fills the particular need(s) of that business, and tying that training to direct placement into the company for which the training was developed; utilization of customized training and OJT to fill specific needs of a wide variety of businesses in jobs that pay at or above the county's living wage, \$11.00 per hour.

Youth

WIA §118 (b) The local plan shall include - (6) a description and assessment of the type and availability of youth activities in the local area, including an identification of successful providers of such activities;

Please complete the Youth worksheet in the Service Provider spreadsheet (Attachment J).

8. Describe the metrics that the WIB uses to determine whether or not a youth provider is successful.

The Westchester Putnam WIB utilizes a Report Card Program Review system that monitors and rates the performance of each youth contractor. This review process is conducted on a quarterly basis and the following items are rated:

- Matching the goals of the program with the actual outcomes
- Reviewing the actual program costs with outcomes
- Actual costs spent per quarter
- Reviewing the number of successful youth outcomes

9. How do the Workforce Investment Board and/or Youth Council monitor Youth Program providers?

The report cards are submitted at the end of each program year to the WIB Director and are also reviewed by the WIB Youth Council and the WIB Board. The outcome of each program's performance is a factor that can determine any new funding in future years.

In addition the youth coordinator monitors each program and submits a quarterly report of each program's performance and submits a report and follows up with corrective actions if necessary.

10. What steps are in place for addressing unsatisfactory providers?

Once a provider is performing in an unsatisfactory manner as determined through a review of their performance, a report is first developed. Following the report that signifies unsatisfactory performance a meeting is conducted with the Youth Coordinator and the designated provider. The issues that need correction are identified and a time table established for the corrections to be completed. The Children’s Village Older Youth program performance was unsatisfactory in the area of OSOS maintenance. Services were not being completed on a timely nature and comments were not updated. A meeting was held with the day to day case manager, the WIB’s youth coordinator and the supervisory staff of the provider. Each individual youth OSOS program that was deficient was discussed and at the end of the meeting a timetable for corrective action was determined. In this case one month from the day of the meeting was the deadline for all corrective action to be completed. OSOS was reviewed at that time and all issues were completed. As a result of the youth coordinator conducting monthly meetings, on-site monitoring visits and technical assistance, we’ve been able to turn around low and unsatisfactory performance from any of our providers.

11. Do your Youth Program Providers have direct access to the One Stop Operating System (OSOS)?

Yes No

a. If not, what process is in place to ensure youth activities are entered into OSOS in a timely manner?

12. Describe *what* youth data is shared and *how* it is shared and reviewed with the Workforce Investment Board, Youth Council, and Youth Program Providers. Please address each group specifically.

The Youth Coordinator is available to provide oversight/support and technical assistance for all the providers on an as needed basis. There is a monthly meeting held at the WIB with all the youth providers and the youth coordinator to discuss issues. Upon the receipt of each quarterly common measures report the results are discussed with all youth providers and if corrective actions must be undertaken those issues are initiated at that time and then later individually as previously described. We also encourage the youth providers to learn from each other, share best practices, pitfalls, trainings and workshops.

The WIB Director and management staff along with the youth coordinator regularly meet to discuss youth data, share data with our providers, one stop partners and staff. In addition to the County Youth Bureau, local City Youth Bureaus are all involved to review data that can determine present youth outcomes as well as future youth programming.

Staff Information

Consulting with your Wagner-Peyser partners, please complete the charts entitled “PY 2012 FTE Staffing” and “Projected PY 2013 FTE Staffing” located in the attached Budget spreadsheet (Attachment I).

13. Please explain the reasons for any changes between PY2012 and PY2013.

Three WIB staff members were added in the third quarter of PY-12 and should remain in PY-13, however one Dept. of Labor staff person was re-assigned and yet to be replaced.

Procurement

WIA §118 (b) The local plan shall include - (9) a description of the competitive process to be used to award the grants and contracts in the local area for activities carried out under this subtitle;

14. Please describe the competitive bidding process that is used to award grants and contracts in your local area (including how vendors are made aware of opportunities to compete for these funding opportunities and how the process is being documented). Describe the process used for Adults/DW services, administrative services, and Youth services.

The LWIA issues an RFP (Request For Proposals) for services to ensure that there is an open and free competitive bidding process used to award grants and contracts. The RFP's are developed with input and assistance from the County Department of Law to ensure compliance with local, state and federal procurement guidelines. Each RFP contains a clear description of the services to be procured, requirements for submission, and specifications and qualifications a bidder must fulfill and evaluation criteria. RFP's are posted in the local newspaper as well as on both the County and One Stop websites. In addition, an e-mail blast is sent out to all partners who have expressed an interest in providing services to the WIB. Every effort is made to ensure that minority owned and women owned businesses participate in solicitations. The WIB schedules a bidder's conference to answer questions about the RFP and will make a record of and post online, questions that were submitted by potential bidders. A sign-in sheet and attendance log are maintained in a procurement file for each solicitation along with a copy of the RFP, legal notice and original of each proposal received. Proposals that are received after the posted deadline are rejected. Proposals received by the deadline are logged in and kept in a file until the deadline for submission expires. Once the deadline has passed, the WIB Assistant Director opens all proposal packages and canvasses local representatives to review and rate the proposals received. In order to be considered for funding, proposals must achieve an average rating of 70% or higher. Those proposals that do not score an average of 70% or higher are rejected. Once reviewed and scored, the information from the rating sheets is summarized for review by the WIB Director and is then shared with the WIB Board for review and recommended action, either to fund or not to fund.

All successful bidders are required to participate in contract negotiations with the WIB Director and staff as needed. The WIB board then reviews the recommendations of the staff and WIB Director and votes as they deem appropriate. Any board member who has either submitted a proposal or has any affiliation with a proposer, that may or may not cause a conflict of interest, abstains from voting.

Once board approval is obtained the WIB staff submits a resolution to the County Board of Acquisition and Contract requesting authorization to contract with the winning bidder(s). If approved contract negotiations are initiated. The award of any contract is contingent upon satisfactory negotiations and the availability of funding. Procurement records shall be maintained in a manner that satisfies local, state and federal procurement guidelines.

The WIB has implemented a new on-line process whereby interested businesses can apply for training dollars for OJT and for customized training. Requests are reviewed by an in-house panel and are

recommended to the board for approval. Once approved it is the responsibility of the business to procure the needed training.

Waivers

The general statutory and regulatory waiver authority granted to the Secretary of Labor is a continuing authority granted by the Workforce Investment Act at section 189(i)(4), Public Law 105-220, and provides increased flexibility to states and local areas in implementing reforms to the workforce development system in exchange for state and local accountability for results, including improved programmatic outcomes. A list of the current waivers that are in effect for New York can be found in Workforce Development System Technical Advisory #10.19.1.

15. Please suggest future WIA waivers that may be useful to your local area and which you would like NYS to consider requesting (optional).

None at this time.

Contracts, MOUs, and Appendices

WIA §118 (b) The local plan shall include - (2) a description of the one-stop delivery system to be established or designated in the local area, including—

(B) a copy of each memorandum of understanding described in section 121(c) (between the local board and each of the one-stop partners) concerning the operation of the one-stop delivery system in the local area;

16. Is each Memorandum of Understanding for the local area up-to-date?

Yes No

a. If not, when will they be updated?

Currently working on PY-13 MOU.

WIA §118 (b) The local plan shall include - (8) an identification of the entity responsible for the disbursement of grant funds described in section 117(d)(3)(B)(i)(III), as determined by the chief elected official or the Governor under section 117(d)(3)(B)(i);

WIA §118 (b) The local plan shall include - (10) such other information as the Governor may require.

Please complete all of the required attachments. Hard copies of signature pages must be delivered to NYSDOL per the instructions at the beginning of these guidelines.

If any of the following documents have changed in whole or in part since the submittal of your PY 2012 Local Plan, please email any updated documents with your Local Plan:

	<i>Changed?</i>		<i>Attached?</i>	
Chief Elected Official Agreement	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Local Board By-Laws	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
One-Stop Operator Agreement(s)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Memorandum(s) of Understanding	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

ATTACHMENT A: UNITS OF LOCAL GOVERNMENT

Where a local area is comprised of multiple counties or jurisdictional areas, provide the names of the individual governmental units and identify the grant recipient.

Unit of Local Government	Grant Recipient	
	Yes	No
Westchester County	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Putnam County	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

ATTACHMENT B: FISCAL AGENT/GRANT SUBRECIPIENT

Identify the Fiscal Agent or a Grant Recipient to assist in the administration of grant funds. Provide the names of the agent and/or subrecipient.

Entity	Fiscal Agent	
	Yes	No
Westchester County	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Putnam County	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

Entity	Grant Subrecipient	
	Yes	No
Westchester County	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Putnam County	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

ATTACHMENT C: SIGNATURE OF LOCAL BOARD CHAIR

**Workforce Investment Act Local Plan for
Program Year 2013-2014, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the composition of the Local Board is either in compliance with the law, rules and regulations and is approved by the State or, will be in compliance within 90 days of local plan submittal
- affirm that this Plan was developed in collaboration with the Local Board and is jointly submitted with the Chief Elected official(s) on behalf of the Local Board
- affirm that the board, including any staff to the board, will not directly provide any core, intensive or training services.

Date:		Signature of Local Board Chair:
Mr. <input checked="" type="checkbox"/>	Typed Name of Local Board Chair: David Singer, Robison Oil Corp.	
Ms. <input type="checkbox"/>		
Other <input type="checkbox"/>		
Name of Board:	Westchester Putnam	
Address 1:	120 Bloomingdale Road, 2nd Floor	
Address 2:		
City:	White Plains	
State:	New York	Zip: 10605
Phone:	9143455700	E-mail: Dsinger@Robisonoil.com

Submittal directions: Complete this form as part of the Plan development process and submit the entire Plan electronically as described earlier in this guidance. Submit this form with original signatures as directed on page 2 of the Instructions.

ATTACHMENT D: SIGNATURE OF CHIEF ELECTED OFFICIAL

**Workforce Investment Act Local Plan for
Program Year 2013-2014, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan is being submitted jointly by the Local Board and the respective Chief Elected Official(s).

By virtue of my signature, I:

- agree to comply with all statutory and regulatory requirements of the Act as well as other applicable state and federal laws, regulations and policies
- affirm that the Grant recipient possesses the capacity to fulfill all responsibilities and assume liability for funds received, as stipulated in §667.705 of the rules and regulations
- affirm that the composition of the Local Board is either in compliance with the law, rules and regulations and is approved by the State or, will be in compliance within 90 days of local plan submittal
- affirm that the Chair of the Local Board was duly elected by that Board
- affirm that the board, including any staff to the board, will not directly provide any core, intensive or training services.

Note: A separate signature sheet is required for each local Chief Elected Official. If additional pages are necessary, please see Attachment B – Extended Version.

Date:		Signature of Local Chief Elected Official (CEO):	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local CEO:	
Ms.	<input type="checkbox"/>	Robert P. Astorino	
Other	<input type="checkbox"/>		
Title of Local CEO:	County Executive, Westchester		
Address 1:	148 Martine Avenue, 9th Floor		
Address 2:			
City:	White Plains		
State:	New York	Zip:	10601
Phone:	9149952000	E-mail:	Rastorino@westchestergov.com

Submittal directions: Complete this form as part of the Plan development process and submit the entire Plan electronically as described earlier in this guidance. Submit this form with original signatures as described on page 2 of the Instructions.

ATTACHMENT E: SIGNATURE OF WIB DIRECTOR

**Workforce Investment Act Local Plan for
Program Year 2013-2014, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

This Plan was developed through consultation and dialogue between the local area’s representative(s) and the New York State Department of Labor’s Regional Labor Market Analyst.

By virtue of my signature, I:

- attest that dialogues were conducted between the WIB’s representatives and the LMA which provided the WIB with data and the demographic characteristics of the LWIA’s resident population
- assure that service delivery and design, resource allocation, and other planning decisions were made by the WIB as a result of a careful consideration of the implications of the data and demographics as provided

Date:		Signature of Local WIB Director:
Mr. <input checked="" type="checkbox"/>		Typed Name of Local WIB Director: Donnovan P. Beckford
Ms. <input type="checkbox"/>		
Other <input type="checkbox"/>		
Name of Board:	Westchester Putnam	

Submittal directions: Complete this form as part of the Plan development process and submit the entire Plan electronically as described earlier in this guidance. Submit this form with original signatures as directed on page 2 of the Instructions.

ATTACHMENT F: FEDERAL AND STATE CERTIFICATIONS

The funding for the awards granted under this contract is provided by either the United States Department of Labor or the United States Department of Health and Human Services which requires the following certifications:

A. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statement in this certification, such prospective participant shall attach an explanation to this proposal.

B. CERTIFICATION REGARDING LOBBYING - Certification for Contracts, Grants, Loans, and Cooperative Agreements

By accepting this grant, the signee hereby 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 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 signer 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 facts 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.C. **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.**

C. DRUG FREE WORKPLACE. By signing this application, the grantee certifies that it will provide a Drug Free Workplace by implementing the provisions at 29 CFR 98.630, Appendix C, pertaining to the Drug Free Workplace. In accordance with these provisions, a list of places where performance of work is done in connection with this specific grant will take place must be maintained at your office and available for Federal inspection.

D. NONDISCRIMINATION & EQUAL OPPORTUNITY ASSURANCE:**For contracts funded by the U.S. Department of Labor**

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

- (1) Section 188 of the Workforce Investment Act of 1998 (WIA) which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age disability, political affiliation, or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I - financially assisted program or activity;
- (2) Title VI of the Civil Rights Act of 1964, as amended which prohibits discrimination on the basis of race, color, and national origin;
- (3) Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
- (4) The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
- (5) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance. For grants serving participants in work activities funded through the Welfare-to-Work block grant programs under Section 407(a) of the Social Security Act, the grant applicant shall comply with 20 CFR 645.255.

For contracts funded by the U.S. Department of Health and Human Services

As a condition to the award of financial assistance from the Department of Labor under Title IV-A of the Social Security Act, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws including but not limited to:

- (1) Title VI of the Civil rights Act of 1964(P.L. 88-352) and Executive Order Number 11246 as amended by E.O. 11375 relating to Equal Employment Opportunity which prohibits discrimination on the basis of race, color or national origin;
- (2) Section 504 of the Rehabilitation Act of 1973, as amended, and the regulations issued pursuant thereto contained in 45 CFR Part 84 entitled "Nondiscrimination on the Basis of Handicap in Programs and Activities Reviewing or Benefiting from Federal Financial Assistance" which prohibit discrimination against qualified individuals with disabilities;

(3) The Age Discrimination Act of 1975, as amended, and the regulations at 45 CFR Part 90 entitled “Nondiscrimination on the Basis of Age in Programs and Activities Receiving Federal Financial Assistance”, which prohibits discrimination on the basis of age;

(4) Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs; and

(5) The Americans with Disabilities Act (ADA) of 1990, 42 U.S.C. Section 12116, and regulations issued by the Equal Employment Opportunity Commission which implement the employment provisions of the ADA, set forth at 29 CFR Part 1630.

The grant applicant also assures that it will comply with 45 CFR Part 80 and all other regulations implementing the laws listed above. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

STATE CERTIFICATIONS

E. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY, AND OUTSTANDING DEBTS

The undersigned, as a duly sworn representative of the contractor/vendor, hereby attests and certifies that:

- 1) No principle or executive officer of the contractor’s/vendor’s company, its subcontractor(s) and/or successor(s) is presently suspended or debarred; and
- 2) The contractor/vendor, its subcontractor(s) and/or its successor(s) is not ineligible to submit a bid on, or be awarded, any public work contract or sub-contract with the State, any municipal corporation or public body for reason of debarment for failure to pay the prevailing rate of wages, or to provide supplements, in accordance with Article 8 of the New York State Labor Law.
- 3) The contractor/vendor, its subcontractor(s) and/or its successor do not have any outstanding debts owed to the Department, including but not limited to, contractual obligations, fines related to Safety and Health violations, payments owed to workers for public works projects or the general provisions of the Labor Law, unemployment insurance contributions or other related assessments, penalties or charges.

F. CERTIFICATION REGARDING "NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MacBRIDE FAIR EMPLOYMENT PRINCIPLES"

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either:

(answer Yes or No to one or both of the following, as applicable.)

1. Has business operations in Northern Ireland:

Yes No

If Yes:

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of its compliance with such Principles.

Yes No

G. NON-COLLUSIVE BIDDING CERTIFICATION

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his or her knowledge and belief:

1. The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit to bid for the purpose of restricting competition.

I, the undersigned, attest under penalty of perjury that I am an authorized representative of the Bidder/Contractor and that the foregoing statements are true and accurate.

Signature of Authorized Representative:
Title: WIB Director
Date: