



Local Plan Modification



**New York State
Department of Labor**

**Workforce Development
and Training Division**

July 1, 2008 – June 30, 2009

General Instructions for Modifying the Existing Local Plan

The Workforce Investment Act Local Plan Modification for Program Year 2008-2009, for Workforce Investment Act Title I-B and Wagner Peyser programs, must be submitted to the New York State Department of Labor (NYSDOL) no later than April 11, 2008, in accordance with the Planning Guidelines issued by NYSDOL on behalf of the State Workforce Investment Board and the Governor. The Plan Modification must be developed by the Local Workforce Investment Board (Local Board) in partnership with the Local Chief Elected Official(s).

The Plan Modification, generated through this process, will amend and extend both the approved Local Plan, which originally covered the period July 1, 2005 – June 30, 2008, and the local area's approved Functional Alignment Addendum. Therefore, this Local Plan Modification will extend the existing Plan and Addendum to June 30, 2009 and will become the basis for local area policy and monitoring.

Plan Modification Guidelines

The Plan Modification Guidelines are available and can be downloaded on New York's Workforce Development System website at www.workforcenewyork.com. The guidelines are attached to Technical Advisory # 08- 1, dated January 16, 2008.

Publication

The Local Board must make copies of the proposed Plan Modification available for public comment through such means as public hearings, local news media, and local websites. The general public must have access to the proposed Plan Modification and has 30 days from the date of publication and/or availability in which to comment. When the Plan Modification is submitted for approval, any comments received in disagreement must be attached. In addition, the Plan Modification must explain how those disagreements were addressed.

Time Table

Plan Modification Guidelines Issued	January 16, 2008
Latest Date for Publishing Plan for Public Comment	March 10, 2008
Local Plan Modifications due to NYSDOL	April 11, 2008
NYSDOL approval or request for information	No later than May 16, 2008

Submission

The draft Plan Modification is **due April 11, 2008**. NYSDOL requests local areas to complete the submittal process electronically by posting **the draft Plan Modification, any comments received and the manner in which the comments were addressed**, to the local area's workforce website. Specifically, local areas are required to send an e-mail by cob April 11, 2008 to WDTDLocalPlans@labor.state.ny.us that includes the following information:

- Advises that the local Plan Modification, any comments received and information on the manner in which comments were addressed, are posted on the local website and available for State review;
- Indicates the URL and location of the Plan Modification document(s) on the website;
- States the dates the Plan Modification was made available for public comment;
- Provides contact information in the event there are problems accessing the Plan Modification; and
- Attests that no changes will be made to the document once it has been posted for NYSDOL review.

Should a local area be unable to comply with this method of submission, email a request for assistance to: WDTDLocalPlans@labor.state.ny.us. Please use “Request for Assistance with Local Plan Submission” in the Subject line.

Required Attachments

The required Attachments include:

- Attachment A: Signature of Local Board Chair
- Attachment B: Signature of Chief Elected Official
- Attachment C: Signatures of WIB Director and Regional Labor Market Analyst
- Attachment D: Units of Local Government
- Attachment E: Fiscal Agent/Grant Subrecipient
- Attachment F: One Stop Operator Information
- Attachment G: Federal and State Certifications

If any of the following have changed, please also attach:

- Chief Elected Official Agreement (if applicable)
- Local Board By-Laws
- One Stop Operator Agreements

Note: Hard copies of the required attachments and signature pages must be mailed to the address below. These attachments and signature pages must be received no later than June 6, 2008.

**Attn: Karen A. Coleman
Local Plan Modification**

New York State Department of Labor
Workforce Development and Training Division
Building 12 ~ Room 450
W. Averill Harriman Office Building Campus
Albany, New York 12240

Instructions for Filling out the Plan Modification Document

There are two main sections of the Local Plan Modification, each beginning with a short narrative and followed by instructions and questions. **A shaded area is provided into which the details of your response should be typed.** Your response will be formatted in a different font (**Arial 12, Bold Type**) to distinguish it from the form document.

You may unprotect the form by clicking on the lock on the forms toolbar to enter this information. For the check boxes, you may want to re-lock the form to easily tab from box to box. If the forms toolbar is not visible, right click in the upper right hand corner of the document. The toolbar menu will appear—click on “**Forms.**”

It is recommended that you save this document to your computer as your working document using the following naming convention: “LWIA NAME – Plan Modification.” Save your document frequently during its completion.

Technical assistance regarding the development of the Local Plan Modification should be directed to your WIA Program Manager. If you need any assistance with the form, please contact Cathy Laccetti at (518) 457-0389.

Workforce Investment Act Local Plan Modification
July 1, 2008 – June 30, 2009

In compliance with the Workforce Investment Act (WIA), each local workforce investment area is required to have a Comprehensive Local Plan in place. With the delay in WIA Reauthorization and a desire to align the development of the State Plan and Local Plans, NYSDOL has determined that each local Workforce Investment Board will develop a One-Year Plan Modification to extend the current plan to now cover the period July 1, 2005 - June 30, 2009. The Plan Modification will allow for short-term changes, development of strategies and efficiencies for dealing with reductions in funding, and alignment with updated State and local priorities. Commencing July 1, 2008, the Local Workforce Investment Areas (LWIAs) will be monitored according to the current Comprehensive Three-Year Local Plan, the Functional Alignment Addendum to the Three-Year Plan, and the Plan Modification. The Plan Modification will allow Local Boards the opportunity to re-evaluate their current system's delivery of employment and training services in light of funding considerations, new initiatives and performance. In developing those new strategies, local areas are required to consult with their region's Labor Market Analyst to review updated data and trends that may impact planning efforts and to use demographic information provided to assure workforce related needs of special populations.

The Plan Modification consists of two parts, the Strategies and WIA Compliance sections.

1. The Strategies section is in the form of questions that will address current and future strategies and efficiencies to address the impacts of funding reductions including infrastructure costs; further plans to achieve functional alignment; regional initiatives and sector strategies to improve a region's competitive advantage by enhancing the supply and quality of the region's talent pipeline; a vision for Youth Services and program design strategies for achieving the common measures; critical local issues and successes; and continued emphasis on services for special needs populations.
2. The WIA Compliance section deals with the Local Board Policies that are regulated by the Workforce Investment Act. In this section, local boards are asked to verify that the policies contained in their current Three-Year Plan and in their Functional Alignment Addendum remain in effect, or indicate that the policy has changed. Where policies have changed or new policies have been instituted, the policy must be attached.

Plan Modifications will be reviewed by NYSDOL with a specific eye toward local area strategies that include efficiencies designed to address the effects of shrinking resources. During the State review process, local areas may be asked for clarification or additional information. Plan Modifications with strategies that do not include efficiencies will not be acceptable.

Section I. Strategies

1. Funding Strategies

Please describe strategies currently underway or being planned by the local board to address continuing reductions to WIA resources. The State appreciates that local areas will find it increasingly more difficult to deliver the same high quality services they have in the past with less WIA resources. Therefore, we are interested in what other funding sources and resources you are seeking to supplement WIA funds, whether through leveraging foundation or grant funds, establishing corporate partnerships, exploring regional strategies, utilizing partner resources, or other creative initiatives. In describing how the local area will support local and regional workforce needs while continuing to provide high quality services to job seeking customers and businesses, address your area's efforts to:

- a. Further coordinate existing resources;
- b. Leverage additional resources, both public (federal, state, local) and private;
- c. Expand current functional alignment efforts to achieve further integration of workforce services;
- d. Implement consolidation strategies and efficiencies;
- e. Engage with neighboring local areas to regionally plan provision of services;
- f. Reduce current infrastructure costs; and,
- g. Form new partnerships and alliances (i.e. community colleges, faith based entities, etc).

a, b .

The WIB has successfully competed for state and federal grants to augment WIA funding with a focus on re-entry, older youth and key growth sectors. In the coming year, the WIB will seek to increase through strategies that include:

- **Applying for new ITA Pilot**
- **Accessing Bridge (OTDA/TANF) funds awarded through SUNY**
- **“ WDI funds to complement WIA/TAP/PELL**
- **Seeking out more ways to couple w/ VESID \$ for voc. ed.**
- **Bundling funding including private sector = consortium wide strategies to attract employers with similar skill needs to participate in innovative customized training w/ employer \$ commitment**
(e.g. Bartell customized training design for employers in cluster)
- **The WIB has a solid core of partnerships serving low-income, at-risk youth and adults. To position the region for growth, the WIB is working to increase regional high-growth grant projects that can address employer needs.**

c. To continue functional alignment, the WIB and partners will continue to examine roles and responsibilities of all partners staff to make sure that their skills and expertise are utilized in functions that are aligned with the local system plan

d. To implement consolidation strategies and efficiencies, the WIB will explore new/ existing technology to improve efficiency (example seek out from FA staff an “ONET expert” to train staff / assure that we are making the most of federally developed tools

Managers evaluate services and offerings in all centers to consider efficiency of current offerings (e.g. workshops)

- **Consolidate / reduce the frequency / or eliminate those services which do not attract customers**
- **Share strengths and best practices**
- **Check for /cut the outdated**
- **Train the trainer and or occasionally rotate staff for workshops**

Evaluate daily services to identify situations where customers may be able to help themselves (for example with a handout / guide) so that one on one staff time spent with Advisors is a productive as possible

e. Regional partnerships have been developed as projects emerge with common needs. The WIB is currently developing two grant applications with the CDO and Broome-Tioga LWIAs and will continue to reach out to form win-win partnerships

f. Reducing current infrastructure costs requires an attention to detail:

- **Utica reducing one stop space/ copiers**
- **Herkimer has reduced space by over 40%**
- **Madison renegotiated internet connection / turn down heat**

g Strengthening partnerships between economic development and workforce development continues as we find common areas of purpose to assist existing employers and attract new employers through targeting grant funding towards sectors economic development wants to see grow in the region. Other steps include:

Coordination with IDA /Empire Zones

Build better coordination of funding with Bridge program and community partnerships to couple funding such as RCIL/GroWest, Johnson Park Center

2. Regionally Based Sector Strategies

Local areas have previously been engaged in strategic planning to develop their human capital to address the needs identified by key industry sectors in their region. The USDOL's WIRED framework and the Department's own Regional Sectoral Strategy Initiative are also focused on the development of a talent pipeline to fuel the needs of key growth industry sectors and clusters within a regional economy. This framework brings together all the key players in a region to leverage their collective assets, resources and knowledge in order to devise strategies that focus on infrastructure, investment, and talent development that will optimize innovation and successful regional transformation. The workforce system must be fully connected and aligned with state and regional economic development and growth strategies. This requires integration of workforce development, economic development, and education systems in support of economic competitiveness. To this end, discuss your local board's efforts to engage in the development of a regional sector or cluster based strategy. Include within this discussion:

- a. Progress made in advancing the strategic planning efforts outlined and described in the local area's previous WIA Plan, and how this connects to the development of a regionally based sector strategy;
- b. Progress towards aligning the services of the local workforce system, economic development and education systems to support a regional based sector strategy;

- c. Policies adopted or planned for aligning training initiatives and ITAs to sector strategies and demand occupations;
- d. Partnerships developed in support of this effort and the role of these partners;
- e. Planned outcomes related to your strategy; and,
- f. Next steps to be taken in this effort during the coming year.

Briefly describe any other regionally focused initiatives currently underway or planned by your local board.

The WIB’s regional growth strategy touches on several clusters. A long-term care grant from the US Department of Labor is currently helping bring long-term care facilities together on a regional basis within the LWIA. In looking beyond the LWIA, the tri-county region is part of several sectors such as renewable energy, aviation, information technology, advanced manufacturing. The WIB is working to develop regional projects in these sectors through current and past partnerships with LWIAs to the west, south and east.

The upcoming ITA pilot the WIB will participate in will be an opportunity to further align ITAs with growth sector.

Partnerships across the HMO and CDO region have developed through common linkages and opportunities. Current efforts through the 13N project and two grant development projects are helping the LWIAs developed greater understanding of each other’s needs and ability to share.

The optimum goal of the regional partnerships would be to develop and implement an agribusiness/ renewable energy project in all three area (HMO, CDO and Brome-Tioga) to further develop the common goals of the regions.

In the coming year, the WIB will meet with partners to lay the groundwork for opportunity that we expect will come through new grant opportunities to work together. The current efforts of the WIB are based on the STEM and High-Growth Energy Grants available from USDOL. After grant submission, the partners will examine their next growth opportunities.

3. Youth

Describe the strategies, activities and initiatives currently in place or planned by your local area to improve your ability to meet or exceed the Youth System Indicator and Common Measure goals through improved youth program design and service delivery. Include a description of any joint regional efforts your local area is also involved with or is planning with regard to youth initiatives. Specifically, address:

- a. Increasing Out-of-School Youth Participation: Describe the current and planned *recruitment* strategies to expand and market services to out-of-school youth. Describe current and planned *retention* strategies to ensure seamless, year-round services to out-of-school youth despite possible gaps caused by expiration of provider contracts.

Participation will be increased through a collaboration with the Youth Bureaus under a Partnership for Youth grant now being implemented in the tri-county region. The counties are also implementing Youth Coordinators who are responsible to assure that pre tests and post tests are administered within (60 day pre test, one year post test etc.) timeframes They will also act as youth program experts for OSOS, outcome, oversee follow up, track performance, assure accurate & information affecting measures

- b. Literacy/Numeracy Gains: Describe service strategies (current and planned) for assuring that out-of-school youth deficient in basic reading/writing and math, attain these basic skills. Describe the assessment strategy and procedures for pre-testing the basic reading/writing and math skills of all out-of-school youth for basic skills, including the assessment test, and the rationale for the timing of the pre-test within the 60-day window (i.e., is the pre-test administered at the beginning or at the end of the 60-day window, and how does this timing align with the service strategy?). Describe the assessment strategy and the procedure for ensuring post-testing occurs within one year of the first youth service or prior to exit.

- b. The region will follow this model developed by Oneida County: All Oneida County Out-Of-School youth who are interested in WIA Youth Services funded programs and/or activities are referred to, or enter the system through Enrollment/Assessment/Counseling staff located at the Working Solutions Employment Office at Mohawk Valley Community College. In addition to Working Solutions staff and the employment related services that take place at this office, the Youth Engagement for Success (YES) Program and staff are also located there. Staff from this program, which provides academic enrichment, life/employment skills and post-secondary planning/placement for high school students, is also available to assist in the delivery of services to Out-Of-School youth. These Out-Of-School services include: assessment, academic enrichment and life/employment skills instruction. All Out-of-School youth entering the system will be pre-tested using the Test For Adult Basic Education (TABE) by YES staff that are experienced in administering this test. This test is administered as early as possible during the 60 day window so that an accurate determination of an individual Service Plan can be made as quickly as possible allowing this difficult population to serve immediate access to needed services. After assessment, Out-of-School Youth can be delineated into three groups for development of their Individual Service Plan. These groups and some services provided are:

Out-Of-School youth who are in need of a GED will be referred to existing GED programs at area BOCES, School Districts, Community Colleges and or/non profit agencies. Participation in a GED program increases basic skills while preparing one to take the exam. Workforce Development Staff or Vendor/Contractor staff will provide case management, employment services, referral to other services/agencies, post-secondary planning/placement, follow-up and other needed services.

Out-Of-School youth who have their GED or HS Diploma and are Basic Skills Deficient will receive academic enrichment, tutoring and other services needed to improve basic skill scores from YES Staff and/or other appropriate staff/agencies. Workforce Development Staff or Vendor/ Contractor staff will provide case management, employment services, referral to other agencies/services, post-secondary planning/placement, follow-up and other needed services.

Out-of-School Youth who have their GED/High School Diploma and are not Basic Skills Deficient will receive case management, employment services, referral to other services/agencies, post-secondary planning/placement, follow-up and other needed services. For those who Pre-Test as being Basic Skills Deficient and are in a GED Program, the TABE Post Test will be given as an instrument to determine readiness for the GED test and will be given within one year of pre-test regardless of progress.

For those who are basic skills deficient, but do have their secondary credential, TABE Post Tests will be given by YES Staff (or other staff/agency) as early and as frequently needed to assure the timely/accurate collection of this testing data.

- c. Attainment of a Degree or Certificate: Describe assessment and service strategies (current and planned) for youth to attain a high school diploma, GED, or certificate. Describe the specific certificate training (current and planned) offered by the program, and how each certificate relates to employment opportunities in the local area and/or region.

As described in “b.” above, assessment data will determine what, if any, credential is needed by an individual Out-of-School youth. Youth are then referred or enrolled in programs/activities that will help them attain that certificate. In addition to GED’s, appropriate youth can be referred or enrolled at the many educational organizations that provide a litany of training/educational opportunities. Organizations that have close ties with Oneida County Workforce Development such as Mohawk Valley Community College and area BOCES, provide training/education in many demand occupations including Health Care, Information Technology and various Technical Occupations. Additionally, attempts are made to fill the specific needs of local employers by accessing the many training opportunities that have been established locally to fill their needs. Organizations such as the Defense Finance and Accounting Services (DFAS) facility that has recently opened at the Griffis Business Park have specific employment needs. The Mohawk Valley Community College (MVCC) Center for Community and Economic Development (CCED) has established an Accounting Training Program in conjunction with DFAS to fill their employment needs. Attempts will be made to engage appropriate Out-of-School in such occupational training programs that have specific employment outcomes. In addition to the numerous training opportunities that can be accessed within the community in general, Oneida County Workforce Development also operates independent occupational training opportunities in house that award credentials in areas such as Computers. Credentials for those “Soft Employment Skills or Seeking Skills” such as “how to behave at work” or “resume writing” can also be obtained either through Oneida County Workforce Development (OCWD) programs or other independent agencies that OCWD has linkages with. Assessment of basic skills is conducted using TABE either in house or through MO BOCES, ACCESS Center, OC

BOCES, HC BOCES, SUNY Morrisville, School Districts, Community Colleges, Youth Engagement for Success (YES) where skills gap can be addressed toward H.S . diploma, GED

- d. Placement in Employment or Education: Describe assessment and service strategies (current and planned) for placing youth into employment or enrolling youth in post-secondary education and/or advanced training/occupational skills (including apprenticeship, apprenticeship preparation, OJT, work readiness skills training, etc.).

As described in both “b” and “c” above, TABE testing and other assessment instruments, functions and strategies (including case management) will determine what youth are prepared for employment, post-secondary education, advanced training/occupational skills (including apprenticeship, apprenticeship preparation, OJT, work readiness skills training, etc.) Linkages exist with numerous educational and non- profit organizations that allow Oneida County WIA Out-of -School access to various training/educational and employment generating opportunities. Using these linkages and opportunities, Oneida County Workforce Development Staff and Contractors have numerous post secondary endeavors to place appropriate youth. Services described above combined with close counseling, mentoring and follow up provide strong prospects for youth success in literacy, skills development and unsubsidized employment. The process begins with a reality check, an academic plan, and prospects for earnings as incentive to remain committed. Youth can benefit from advisement and one stop resources in career planning so that they can find employment which meets their interests and abilities.

4. Other Service Strategies

Describe your service delivery strategies and initiatives currently in place or planned by your local area to address the workforce related needs of special populations. Include a description of any joint regional efforts your local area is involved with or is planning. Specifically, describe strategies to address the needs of:

- a. Unemployment Insurance Customers: UI claimants comprise over 60 percent of the one-stop system’s current customer base. Describe current and planned strategies to improve services to UI customers, particularly in light of the goals established in the Incentive/Sanction Technical Advisory 07-11 and 07-11.1 and in alignment with the Reemployment Services Plan in your local area.

In Herkimer Madison and Oneida counties, the NYS Dept of Labor has been successfully implementing a Reemployment and Eligibility Assessment (REA) grant for several years. This has proven to be a cost effective strategy to accelerate Unemployment beneficiaries’ return to work.

The area also is served by the Dislocated Worker Assistance center which provides early intervention through rapid response. The REA and DWAC programs are functionally aligned within the Working Solutions centers in Herkimer, Utica and Oneida

The REA grant provides intensive advisement to UI recipients based on a timely and rigorous schedule of services. Participants are assessed, triaged, assigned to workshops and other services that meet their individual needs within timeframe that meet and often exceed those established in the Incentive/Sanction Technical Advisory 07-11 and 07-11.1 The REA staff, coordinator and the one stop managers meet regularly to improve to seek additional efficiencies and improvements to customer flow processes and job search services to UI customers. This intensive effort has helped our area reach high standards for returning UI customers to work despite major challenges and shifts in our local economy.

New efficiencies to be implemented for area customers who file for unemployment insurance on line include a plan to have data that is input by customers transfer directly to the OSOS system. Once in place, this will:

- Shorten data entry /customer information timeframes
Reduce duplication of data entry efforts

- b. Individuals with Limited English Proficiency: Describe the need for employment, training and supportive services to individuals with limited English proficiency in your area. Describe current and planned strategies for increasing access to ESL training; providing services and materials in multiple languages; increasing cultural awareness among staff serving customers; and current and planned partnerships to improve the local area's ability to serve individuals with limited English proficiency.

Individuals with Limited English Proficiency are a particularly challenging and needy population particularly in Oneida County. which is home to the Mohawk Valley Resource Center for Refugees, the largest refugee resettlement organization in the Northeast. Refugees and other immigrants currently make up approximately 15% of Utica's population.

The Utica School system reports 40 languages being used in students' homes including Arabic, Burmese, Sudanese, Bosnian, Maay, Russian, Persian/Dari/Farsi and Vietnamese.

The Refugee Center specializes in resettlement and English in the Workplace and preparation for initial employment. Working Solutions one stop employment services for refugees and immigrants usually begins when individuals lose their jobs or seek alternative or improved employment opportunities. Integration of services has been proposed but not implemented.

Due to the wide array of languages spoken by this population, it is difficult for the one stop center to provide on-site interpretation and written translation services for many of these non-English speakers. Many arrive for services accompanied by family/friends to interpret. For others, the one stops are highly reliant on the 'Interpretalk' Message Relay service.

While many non-English speakers have proven to have a very strong work ethic, their limited language skills prevent them from fully utilizing skills they have acquired in their native land. Working Solutions staff make sure that all limited English speaking customers are aware of the flexible day and evening ESL training opportunities that the nearby BOCES ACCESS center offers at no cost to the participant. Customers are encouraged to improve their English

language skills so that they can expand their employment opportunities. The presence of BOCES staff within the one stop partnership is extremely helpful in connecting limited-English- proficient job seekers with ESL training.

During the next year, cultural awareness will be expanded by accessing MVRCCR training in cultural competency. This will improve one stop professionals' ability to successfully communicate and interact with people of different cultures.

- c. Low-Income, Low-Skilled Workers: Describe current and planned strategies for increasing the ability of low-income workers to earn sustainable wages and access good jobs with benefits and/or career ladders that will help sustain themselves and their families. Describe current and planned strategies for assessing and increasing the skills of workers, including the TANF population, to enable them to qualify for higher wage positions. Describe strategies to partner with other agencies to provide these workers with supportive services including transportation, child care, mentoring, etc.
- Increase awareness of benefits of Customized training, on-site w/wages
 - More use of skills assessments to identify skills gaps
 - Work with area institutions regarding development of more short term, focused training opportunities / certifications outside of regular semester system (such as MVCC Vocational Healthcare Courses in Medical Transcription, Phlebotomy, CNA, Pharmacy Tech)
- more training offered at non-traditional hours for the working poor

Partnerships with Social Services: Madison County has TANF Job Club on site, Herkimer County has Employment Readiness training, Oneida County Pride in Work job search customers use one stop

Additional supports:

- Centro bus pass program up to 3 40/ride packs of passes for 200% eligible individuals with a job
- Facilitated Child Care program funded though the Workforce Development Institute can pay up to 65% of day care costs for income -eligible working parents
- 'Bridge' program funded through SUNY Centers for Academic and Workforce Development offers tuition assistance for 200% income eligible students engaged in 1 year or less vocational training in OC, MC

Community Action Housing and Transportation programs

- d. Individuals with Disabilities: Describe current and planned strategies for providing services to individuals with disabilities through the one-stop center, including the role of the Disability Program Navigator and how that role will be sustained in light of diminishing funds. Discuss how functional alignment has improved service delivery, partner relationships and referral processes as it relates to this population.

VESID is a functionally aligned partner in Utica and provides orientation to their services open to the public @ WS Utica, Rome and Herkimer. In Madison County the ARC participates in serving customers in the Resource Room; in Oneida County the ARC staff functions as a Primary Advisor; VESID and ARC staff present workshops that attract those with disabilities as well as the general population

The Disability Program Navigator and Customized Employment Grant programs increased staff awareness of the services available to individuals with disabilities. One stop staff have learned much more about programs supports which can be successfully accessed through advocacy and referral. Staff have also become much more comfortable and confident in their abilities to address and meet the needs of customers with disabilities.

Diminishing DPN funds have reduced staff in that capacity, but many of the systems they developed have become institutionalized in the system flow.

- e. Veterans: Describe new or planned local/regional initiatives for providing services to veterans in, or returning to, your local area.
 - Stand downs / Homeless program outreach is attracting veterans, however many who self-report as vets lack the required paperwork to qualify for veterans' services.
 - In Oneida County Veterans services staff regularly provide outreach to the prisons with presentations and advisement to veterans transitioning out of corrections
 - New initiative = make more use of ONET on line feature which provides a transferable skills crosswalk between military positions and private sector occupations. This will be especially helpful in centers where Vets staff is present only on a part time basis

- f. Other individuals with barriers to employment: Discuss any other strategies in place to address services to individuals with barriers to employment.

IN the past year, the region has developed a re-entry system that begins with assessment in the Oneida County Correctional Facility, then refers adults or youth to the respective programs operating in the community. Coupled with WIB / Workforce leadership of the Oneida County Re-Entry Task Force, which addresses the needs of inmates returning form state facilities, Oneida County has a comprehensive jail-to-jobs effort to help offenders find work.

5. Critical Local Issues

Please describe any critical issues or major initiatives unique to your local area that you are currently addressing or developing strategies to address. Specifically, describe:

- a. The issue and its impact on the area and/or region;
- b. Other parties involved (e.g., industry sectors, state, local or community partners, etc.); and,
- c. The proposed resolution or actions being taken, timeframe and outcomes expected.

Critical Issue: Growth Sectors

High-cost training in areas such as aviation and information technology is necessary to increase growth in these two very high-growth sectors with firmly established and growing employers. In working with regional economic development and education partners, efforts have been made and will continue to be made to secure funding to target these areas. The WIB continues to seek new funding to address employer needs, but the cost of training remains an issue. The WIB hopes that the ITA pilot will help address this issue.

Critical Issue: Emerging Sector

Renewable Energy has emerged as a sector in which the region has all the pieces in place for growth, but the full potential of the sector is not clear due to the slower-than-expected growth of new facilities in 2008. The WIB has developed regional training strategies, but at this point, is waiting for the larger employer mass needed to fully realize the potential of the sector.

Critical issue: Young professionals:

One issue that crosscuts sectors in the region's need to attract young professionals. The internship program it is developing is aimed at helping to address brain drain concerns. However, regional need has not yet been fully matched by funding from either private sector employers, philanthropic organizations or the public sector.

Section II WIA Compliance

The Local Plan Modification will extend the existing Local Plan and Functional Alignment Addendum to June 30, 2009 and will become the basis for local area policy and monitoring.

It is anticipated that many of the local board's policies and procedures have remained constant since implementing the approved 2005-2008 Plan and Functional Alignment Addendum. Therefore, the purpose of this Compliance Section is to capture and publish local information about policies that may have changed or been updated. The local board is asked to certify as to whether a policy change has occurred and, where that has happened, provide the new policy.

Please complete the following chart (which follows the same order as the Compliance Section of the 2005-2008 Plan) indicating the status of your governing policies and attach new policy where appropriate.

<i>Required Policy</i>	<i>Is current policy, definition, design or provision of services different from that in the approved 2005-2008 Plan or the Functional Alignment Addendum?</i>	<i>Is changed or new policy, definition, design or provision of services description attached?</i>
1. Selecting and Certifying One Stop Operators	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Contracting for Service Providers	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Priority of Service <i>Has the Board declared a priority of service to be in effect?</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
4. Self-Sufficiency	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Supportive Services and Needs-Related Payments <i>Does the Board make needs-related payments?</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
6. Grievances and Complaints <i>Provide the name, title, and contact information of the EO Officer.</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <u>Joseph Gotte</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Youth Services		

<i>In designing this plan and the services to be provided, the LWIA consulted with their regional Labor Market Analyst to assure a comprehensive understanding of the demographic characteristics of the population.</i>		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Performance <i>Provide the name and contact information of the local area's performance expert.</i>	<u>Mark Barbano, Regional Economist NYS DOL</u> <u>207 Genesee St. Rm. 604</u> <u>Utica, NY 13501 315-793-2282</u>		
Design Framework	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Youth Council	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Selecting youth providers</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Youth eligibility definitions</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8. Adult, Dislocated Worker and Wagner-Peyser Services			
<i>In designing this plan and the services to be provided, the LWIA consulted with their regional Labor Market Analyst to assure a comprehensive understanding of the demographic characteristics of the population.</i>		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Performance <i>Provide the name and contact information of the local area's performance expert.</i>	<u>Mark- Same as above</u>		
Eligibility Definitions	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Rapid Response	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Business Services	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Integration of Services	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Services to Special Populations	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Eligible Training Providers (ETP)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Individual Training Accounts (ITA)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Customized Training/OJT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Trade Act Strategies	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9. WIA IB & Title III PY05 Performance and System Indicators	NA		
10. Local Monitoring	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
11. Open Meetings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

12. Public Comment on Local Plan	NA
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Required Signatures

	<i>Required Signatures</i>	<i>Attached?</i>
Attachment A	Signature of Local Board Chair	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment B	Signature of Chief Elected Official(s)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment C	Signatures of WIB Director and Regional Labor Market Analyst	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment D	Units of Local Government	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment E	Fiscal Agent/Grant Subrecipient	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment F	One Stop Operator Information	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Attachment G	Federal and State Certifications	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

If any of the following documents have changed in whole or in part, please attach.

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

ATTACHMENT A: SIGNATURE OF LOCAL BOARD CHAIR

**Workforce Investment Act Local Plan Modification for
Program Year 2008-2009, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification 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 in compliance with the law, rules and regulations and is approved by the State
- affirm that this Plan Modification was developed in collaboration with the Local Board and is jointly submitted with the Chief Elected official(s) on behalf of the Local Board
- agree to comply with § **661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Date:	3/1/08	Signature of Local Board Chair:	
Mr. <input type="checkbox"/>		Typed Name of Local Board Chair:	
Ms. <input checked="" type="checkbox"/>		Robin E. O'Brien	
Other <input type="checkbox"/>			
Name of Board:	Workforce Investment Board, Hermier, Madison, and Oneida County		
Address 1:	209 Elizabeth St.		
Address 2:			
City:	Utica		
State:	NY	Zip:	13501
Phone:	3157936037	E-mail:	REOBRIEN@cs.com

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

ATTACHMENT B: SIGNATURE OF CHIEF ELECTED OFFICIAL

**Workforce Investment Act Local Plan Modification for
Program Year 2008-2009, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification 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 in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:	3/1/08	Signature of Local Chief Elected Official (CEO):	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local CEO:	
Ms.	<input type="checkbox"/>	Raymond Smith	
Other	<input type="checkbox"/>		
Title of Local CEO:	Chairman of the Legislature		
Address 1:	109 Mary St.		
Address 2:	Suite 1310		
City:	Herkimer		
State:	NY	Zip:	13350
Phone:	315-867-1351	E-mail:	RSmith@herkimercounty.org

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

ATTACHMENT B: SIGNATURE OF CHIEF ELECTED OFFICIAL

**Workforce Investment Act Local Plan Modification for
Program Year 2008-2009, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification 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 in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:	3/1/08	Signature of Local Chief Elected Official (CEO):	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local CEO:	
Ms.	<input type="checkbox"/>	Anthony Picente	
Other	<input type="checkbox"/>		
Title of Local CEO:	Oneida County Executive		
Address 1:	Oneida County Office Building		
Address 2:	800 Park Ave.		
City:	Utica		
State:	NY	13501	
Phone:	315-798-5200	E-mail: APicente@OCGov.net	

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

ATTACHMENT B: SIGNATURE OF CHIEF ELECTED OFFICIAL

**Workforce Investment Act Local Plan Modification for
Program Year 2008-2009, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the provisions of the Workforce Investment Act of 1998, the Interim Final Rule, and Planning guidelines and instructions developed by the Governor, this Plan Modification 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 in compliance with the law, rules and regulations and is approved by the State
- affirm that the Chair of the Local Board was duly elected by that Board
- agree to comply with **§661.310** by ensuring a firewall exists between the board and the provision of core services, intensive services, training services and the One Stop Operator

Note: A separate signature sheet is required for each local Chief Elected Official.

Date:	3/1/08	Signature of Local Chief Elected Official (CEO):	
Mr.	<input checked="" type="checkbox"/>	Typed Name of Local CEO:	
Ms.	<input type="checkbox"/>	John Becker	
Other	<input type="checkbox"/>		
Title of Local CEO:	Chair of the Madison County Board of Supervisors		
Address 1:	P.O. Box 635		
Address 2:			
City:	Wampsville		
State:	NY	Zip:	13163
Phone:	315-366-2201	E-mail:	John.Becker@co.Madison.ny.us

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

ATTACHMENT C: SIGNATURES OF WIB DIRECTOR and REGIONAL LABOR MARKET ANALYST

**Workforce Investment Act Local Plan Modification for
Program Year 2008-2009, for Workforce Investment Act Title 1-B
and Wagner Peyser Programs**

In compliance with the Planning guidelines and instructions developed by the Governor, this Plan Modification 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 face-to-face 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:	3/1/08	Signature of Local WIB Director:
Mr.		Typed Name of Local WIB Director: Alice Savino
Ms.	X	
Other	___	
Name of Board:		

Date:	3/1/08	Signature of Labor Market Analyst:
Mr.	X	Typed Name of Labor Market Analyst: Mark Barbano
Ms.	___	
Other	___	
Region:		

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

ATTACHMENT D: 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
Oneida County	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Madison County	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Herkimer County	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

ATTACHMENT E: 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
Herkimer County	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

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

ATTACHMENT F: ONE STOP OPERATOR INFORMATION

Complete the following information for each locally certified One Stop Operator in your Workforce Investment Area.

OPERATOR:	
<i>Method of Selection</i>	<i>Type of Operator</i>
<input checked="" type="checkbox"/> Consortium <input type="checkbox"/> Competitive Bid	<input checked="" type="checkbox"/> System <input type="checkbox"/> Center(s)
Operator Address:	209 Elizabeth St. Utica, NY 13501
Operator Phone: 315-798-5908	
E-Mail: dmathis@ocgov.net	

Attach a list of all One Stop centers overseen by this Operator and include for *each* center:

- Name/Address/Phone of Center(s)
- Identify Full-Service or Certified Affiliate Site
- Identify Partners On-Site and Frequency On-Site (e.g., half day/week; two days/week)
- Identify Center Hours of Operation

OPERATOR CERTIFICATION STATUS

Indicate status of Local Level Operator Recertification:

- Granted
- Application Submitted/Pending LWIB Review
- Application Not Yet Due
- Other (explain)

ATTACHMENT G: 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 Reviewing 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 X 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:
Date: