

MONROE COUNTY REQUEST FOR PROPOSALS [RFP]

Qualified Individuals for Families First Congregate Care Needs Assessments

Release Date: September 18, 2026

Response Deadline: October 16, 2026



Monroe County
Department of Human Services
111 Westfall Road
Rochester, NY 14620
monroecounty.gov

NO RESPONSE FORM

If you choose not to respond to this Request for Proposals, please fax or email this form back to MONROE COUNTY at your earliest convenience, to the attention of:

Walter Webert
Monroe County Office of Purchasing & Central Services
301 County Office Building
Rochester, NY 14614
Fax (585) 753-1104
Email: wwebert@monroecounty.gov

RFP

Qualified Individuals for Families First Congregate Care Needs Assessments

Company:

Address:

Contact:

Contact Phone:

Email:

Reason for No-Response:

Project capacity.

Cannot bid competitively.

Cannot meet delivery requirements.

Cannot meet specifications.

Do not want to do business with Monroe County.

*Other:

Suggested changes to RFP

Specifications for next

Request for Proposals.

*Other reasons for not responding might include insufficient time to respond, do not offer product or service, specifications too stringent, scope of work too small or large, unable to meet insurance requirements, cannot meet delivery or schedule requirements, etc.

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SECTION 1 - INVITATION TO PARTICIPATE

1.1 Purpose

Monroe County ("the County") is soliciting proposals on behalf of the county social services district, the Monroe County Division of Social Services (MCDSS), for Qualified Individuals for Families First Congregate Care Needs Assessments. Prospective Respondents must offer a proposal that will meet the scope of services, qualifications, and general description of work activities identified in this Request for Proposals ("RFP").

In responding to this RFP, Respondents must follow the prescribed format as outlined in Section 3. By so doing, each Respondent will be providing the County and MCDSS with data comparable to that which was submitted by other Respondents and, thus, be assured of fair and objective treatment in the County review and evaluation process.

MCDSS' objective is to enter into a one-year agreement with the option to renew for four additional one-year terms.

1.2 RFP Coordinator; Issuing Office

This RFP is issued for the County. The RFP Coordinator, identified below, is the sole point of contact regarding this RFP from the date of issuance until the selection of the successful Respondent.

Walter Webert
Monroe County Purchasing and Central Services
39 West Main Street
Room 200
Rochester, New York 14614
Fax: (585) 753- 1104
Email: wwebert@monroecounty.gov

Only those Respondents who have registered and received a copy of this RFP via the County website at <https://contracts.monroecounty.gov/bid/list/rfps> will receive addenda if issued.

1.3 County's Rights and Intentions

As a result of this RFP, MCDSS intends to enter into a contract with the selected Respondent to supply the services described in Section 2. However, this intent does not commit MCDSS or the County to award a contract to any Respondent, or to pay any costs incurred in the preparation of the proposal in response to this request, or to procure or contract for any services. The MCDSS and the County reserve the right, in their sole discretion, to (a) accept or reject in part or in its entirety any proposal received as a result of this RFP if it is in the best interest of MCDSS and/or the County to do so; (b) award one or more contracts to one or more qualified Respondents if necessary to achieve the objectives of this RFP and if it is in the best interest of MCDSS and/or the County to do so. The County and MCDSS maintain the option to expand these types of services to other MCDSS or County projects, departments, and divisions as needed.

1.4 Time Line

The schedule of events for this RFP is anticipated to proceed as follows:

- This RFP will be distributed on **September 18, 2026**.
- All requests for RFP clarification must be submitted in writing to the RFP Coordinator at the email address provided in Section 1 and received no later than 3:00 PM ET on **September 25, 2026**.
- All questions will be answered and documented in writing as an Addendum to the RFP and posted on the County website. These will be sent out to all Respondents who received the original RFP on or before **October 2, 2026**.
- **Final RFP submissions must be received by 3:00 PM ET on October 16, 2026** at the address shown in Section 3.1. The right to withdraw will expire on this date and time.

1.5 Overview of the Organization

The County is located in the Finger Lakes Region of New York State, where the Genesee River meets the south shore of Lake Ontario. The County has a population of over 755,000 residents. The County is comprised of 19 towns, 10 villages, and the City of Rochester, the fourth largest city in New York State.

The County is a community of innovators on the cutting edge of scientific research and discovery; a community of entrepreneurs; home to some of the world's best-known brands and fastest-growing companies; and, a community recognized for its leadership in arts, culture, and higher education.

Monroe County government, with a workforce of approximately 4,600 full and part-time employees, has an annual operating budget close to \$1.3 billion. County government provides a variety of services, including general government, public safety, health and human services, economic development, recreation, transportation and environmental services. The County operates a small-hub airport; a 566-bed skilled nursing facility; four sewer districts for sanitary and stormwater management including two treatment plants; a solid waste landfill, transfer/haul station, and recycling center; an AZA-accredited zoo, and three municipal golf courses. Under the governance of an elected 29-member County Legislature, the County is structured among four elected offices, eleven operating departments, and eight staff departments.

SECTION 2 – SCOPE OF WORK

2.1 Background:

Monroe County (the County) is soliciting proposals on behalf of the county social services district, the Monroe County Division of Social Services (MCDSS), for an organization(s) to provide Qualified Individuals (QI) for the purpose of conducting assessments of youth in foster care in accordance with the federal Family First Prevention Services Act (“FFPSA”) and corresponding New York State law, timely production of reports related to such assessments, and court testimony related to their assessments. Prospective Respondents must offer a proposal that will meet the scope of services, qualifications, and general description of work activities identified in this RFP.

MCDSS’ objective is to enter into a one-year agreement with the option to renew for four additional one-year terms. It is estimated that each assessment will require approximately twelve (12) hours to complete, and that MCDSS will assign approximately 35-40 children per year for assessment. The assessment may involve any of a number of different situations including but not limited to: a child potentially entering a Qualified Residential Treatment Program (QRTP) from home or a foster home, from a QRTP to another congregate care setting, from one QRTP to another QRTP, from a non- specified congregate care setting into a QRTP, or from detention, an OMH placement, or runaway shelter to a QRTP.

FFPSA requires an assessment of a child by a QI who is a licensed clinician for a child to enter certain types of residential placements. More specifically, within thirty (30) days of a child being placed in a New York State QRTP setting, a qualified individual must assess the child’s strengths and needs using an age-appropriate, evidence-based, validated, functional federally approved assessment tool to determine if the child’s needs can be met with family members or, in a foster family home, or if not, in one of the other OCFS approved residential settings (i.e., facilities for pregnant or parenting youth or independent living facilities) which would provide the most effective and appropriate level of care in the least restrictive environment and be consistent with the short and long-term goals of the child and their permanency plan. In addition, the QI must develop a list of child-specific short-term and long-term mental health and behavioral goals.

A QI is a trained professional or licensed clinician acting within their scope of practice who shall have current or previous relevant experience of at least two (2) years in the child welfare field. Organizations with employees holding the following licenses and meeting the minimum qualifications specified above and throughout the course of this document are encouraged to indicate interest in and eligibility to provide the services described herein: physician, psychiatrist, psychologist, nurse practitioner, psychoanalyst, registered nurse, clinical social worker, marriage and family therapist, mental health counselor, master social worker, licensed creative arts therapist, within their scope of practice under their licensure.

To meet the requirement of two (2) years of experience in the child welfare field, applicants must have worked for or under contract with a child welfare program in their professional capacity as licensed clinician for a minimum of two (2) years within the last fifteen (15) years. Child welfare programs include, but are not limited to, a local department of social services, a voluntary authorized agency, a residential agency serving youth or families, a community- based provider, and/or other entity that addressed child safety as it pertained to abuse and neglect, provided and/or coordinated services for children and families to address challenges such as substance abuse, mental health, and domestic violence. QI, and their supervisors, must be certified and trained in the use of the Child and Adolescent Needs Assessment (“CANS”) before services are performed.

A QRTP is a non-foster family residential program which has a trauma-informed treatment model that is designed to address the needs, including clinical needs as appropriate, of children with serious emotional or behavioral disorders or disturbances and, with respect to a child, is able to implement the treatment identified for the child by the assessment of the QI. Further the program must be certified as a QRTP per Federal and New York State standards.

2.2 Detailed Scope of Work

MCDSS is seeking an organization to complete assessments for children who are being considered for Family Court placement in a Qualified Residential Treatment Program.

Specific responsibilities are as follows:

A. Within 21 calendar days of assignment by MCDSS a qualified individual shall submit an assessment of the child that:

- (i) assesses the strengths and needs of the child using the NYS OCFS approved CANS;
- (ii) determines whether the needs of the child can be met with family members or through placement in a foster family home. Where the QI determines that the child may not be placed in a foster family home, the QI must specify in writing the reasons why the needs of the child cannot be met by the child's family or in a foster family home. A shortage or lack of foster family homes shall not constitute circumstances warranting a determination that the needs of the child cannot be met in a foster family home. The qualified individual shall also include why such a placement is not the most effective and appropriate level of care for such child. Such determination shall include whether the needs of the child can be met through placement in:
 - A QRTP; or
 - A setting specializing in providing prenatal, post-partum, or parenting supports for youth; or
 - In the case of a child who has attained 18 years of age, a supervised setting in which the child is living independently; or
 - A setting providing high-quality residential care and supportive services to children and youth who have been found to be, or are at risk of becoming, sex trafficking victims, which would provide the most effective and appropriate level of care for the child in the least restrictive environment and be consistent with the short- and long-term goals for the child, as specified in the permanency plan for the child.
- (iii) develops a list of child-specific short- and long-term mental and behavioral health goals.

B. In performing the assessment, the QI shall:

- (i) Work in conjunction with the child's family and permanency team, which consists of:
 - All appropriate biological family members, relatives and fictive kin of the child;
 - As appropriate, professionals who are a resource to the family of the child, including, but not limited to, the attorney for the child; the attorney for the parent, if applicable; teachers; medical or mental health providers who have treated the child; or clergy;
 - If the child has attained the age of 14, members of the child's permanency planning team.

The QI shall attempt to contact and interview, preferably in person, each member of the child's family and permanency team, and document such attempts to contact, and the substance of the team members' input. In addition to the family and permanency team, the interviews shall also include the child, the child's foster parents/guardian(s)/caretakers(s), if any, and the MCDSS caseworker. The QI shall re-interview, as necessary, family, the child, and others to obtain or clarify any information needed to complete functional assessments and formulate child-specific short and long-term mental and behavioral health goals.

The QI will work in collaboration with MCDSS, and family and permanency team to gather other information to formulate its determination. If the child has already been placed in a QRTP, the QI will also obtain information from the QRTP.

- (ii) The QI shall, during the assessment period, schedule a group family and permanency team meeting, at a time convenient for the family.
- (iii) The QI shall completely document all aspects of the assessment, including attempts to contact permanency team members and others, and the results of interviews and meetings, and any material obtained in the context of the assessment.

C. Other responsibilities:

- (i) The QI shall promptly, but not later than five (5) days after completion of their assessment, provide their assessment, determination and documentation to MCDSS, the Court, the Attorney for the Child, the parent or guardian of the child, and attorney for the parent if applicable.
- (ii) The Respondent shall also provide testimony, if necessary, for court hearings related to the placement of the children that are the subject of the QI assessment.
- (iii) The Respondent shall also be aware of certified QRTP's and the specific services that they provide so as to inform the recommendation of the level of care for each child referred for assessment to the QI, as well as the other three placement types listed in section A(ii) above.

SECTION 3 - SPECIFIC PROPOSAL REQUIREMENTS

3.1 Submission of Respondent's Proposal(s)

- A. Acceptance Period and Location.** To be considered, Respondents must submit a complete response to this RFP. Respondents not responding to all information requested in this RFP or indicating exceptions to those items not responded to may have their proposals rejected as being non-responsive.

Sealed proposals must be received at the address below on or before 3:00 PM Eastern Time, on October 16, 2026

Walter Webert
Monroe County Purchasing and Central Services
39 West Main Street
Room 200
Rochester, New York 14614
Email address: wwebert@monroecounty.gov

Refer to Section 3 for further detail regarding response formats and requirements. There will be no public opening of the proposals.

- B. Withdrawal Notification.** Respondents receiving this RFP who do not wish to submit a proposal should reply with the "No Response Form" [page 2 of this RFP] to be received by the indicated contact on the form no later than the proposal submission date. This RFP is the property of the County and may not be reproduced or distributed for purposes other than proposal submission without the written consent of the Monroe County Attorney.
- C. Required copies.** Respondents must submit one (1) signed original Proposal and five (5) complete copied sets of the signed original Proposal. **Proposals should be clearly marked as "Proposal for Qualified Individuals for Families First Congregate Care Needs Assessments."** The Respondent should also include an electronic copy of its full proposal in PDF format on a USB Flash Drive. The Respondent will make no other distribution of proposals. An official authorized to bind the Respondent to its provisions must sign the Proposal.
- D. Pricing Period.** For this RFP, the proposal must remain valid for a minimum of 120 days past the due date for receipt of RFPs.
- E. Economy of Preparation.** Proposals should be prepared as simply as possible and provide a straightforward, concise description of the Respondent's capabilities to satisfy the requirements of the RFP. Expensive bindings, color displays, promotional material, etc. are not necessary or desired. Emphasis should be concentrated on accuracy, completeness, and clarity of content. All parts, pages, figures, and tables should be numbered and clearly labeled. Vague terms such as "Respondent complies" or "Respondent understands" should be avoided.

3.2 Response Date

To be considered, sealed proposals must arrive on or before the location, time, and date specified in Section 3.1.A. *Requests for extension of the submission date will not be granted.* Respondents mailing proposals should allow ample delivery time to ensure timely receipt of their proposals.

3.3 Clarification of RFP and Questions

Questions that arise prior to or during proposal preparation must be submitted **in writing or via email** pursuant to the instructions in Section 1 of this RFP. Questions and answers will be provided to all Respondents who have received RFPs and must be acknowledged in the RFP response. No contact will be allowed between the Respondent and any other member of the County with regard to this RFP during the RFP process unless specifically authorized in writing by the RFP Coordinator. Prohibited contact may be grounds for Respondent disqualification.

3.4 Addenda to the RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be provided to all Respondents that received the original RFP. **An acknowledgment of such addenda, if any, must be submitted with the RFP response. Applicants will only receive notices of addenda by downloading the original RFP document via the Monroe County website at www.monroecounty.gov.**

3.5 Organization of Proposal

This section outlines the information that must be included in your proposal. Please respond with your information in the same order as the items in the section.

- A. Transmittal Letter.** Each response to the RFP should be accompanied by a letter of transmittal not exceeding one (1) page that summarizes key points of the proposal and which is signed by an officer of the firm authorized to commit the Respondent to the obligations contained in the proposal. The transmittal letter should also include a phone number, fax number, and e-mail address for the Respondent's contact person.
- B. Table of Contents.** Include a Table of Contents at the beginning, which clearly outlines the contents of your proposal.
- C. Company Information.** Provide information related to your company and any companies you are proposing to use as subcontractors. Specifically, address the following:
 - 1. Year the company was organized.
 - 2. Identification of company ownership.
 - a. Functions and location of your nearest regional office to Monroe County. Identify the location of your company's headquarters.
 - b. Documentation of Minority and Women-Owned Business Enterprise (MWBE) and/or Disadvantaged Business Enterprise (DBE) and/or certified Service-Disabled Veteran-Owned (SDVOB) ownership status.
 - c. Both the State and Federal governments have programs for the certification of small businesses that are owned by Veterans or Service-Disabled Veterans. The Federal program certifies Veteran-Owned Small Business (VOSB) and Service-Disabled Veteran-Owned Small Business (SDVOSB), and the New York state program certifies Service-Disabled Veteran-Owned Business (SDVOSB). The goal of this requirement is to acknowledge local businesses that have achieved these designations. Respondents

should provide documentation of certification, if applicable.

3. Total gross revenues of the company covering the last three years. The County reserves the right to request additional financial information during the proposal review process.
4. Anticipated growth of your organization including expansion of the client base and acquisitions.
5. Any conflicts of interest that may affect the County's potential selection of, or entering into an agreement with, your organization, i.e., your organization currently holds an agreement with the County for other services, a relative of any employee of the Respondent is a member of the selection committee, etc.
6. Any disputes or litigations as a result of services provided for Monroe County, either through a direct contract with Monroe County or as a subcontractor to another entity contracting with Monroe County.

D. Experience. Provide information that clearly demonstrates your organization's prior experience and background (both business and technical) in engagements similar to this project. This section must include:

1. A list of all public sector clients in the State of New York. Include the following information for each public sector client:
 - a. Name and address of the client;
 - b. Dates of engagement for the client;
 - c. Approximate annual budget;
 - d. Name, telephone number, and email address of contact person;
2. A list of all agreements either directly with Monroe County or as a subcontractor for another agency's agreement with Monroe County. Include the following information:
 - a. Name and address of the agency or Monroe County Department;
 - b. Services provided;
 - c. Dates of engagement;
 - d. Approximate annual budget;
 - e. Name, telephone number, and email address of contact person;
3. Résumés for the key personnel to be involved in providing services to the County.

E. Respondent's proposal. Respondent must submit a detailed Project Narrative and Work Plan that describes:

1. its expertise and that of its proposed personnel and how its management procedures will ensure quality work is performed;
2. how its proposed services and proposed work plan will meet the tasks and deliverables as described in Section 2 of this Request for Proposals;
3. proposed quality control mechanisms that ensure a high level of quality and commitment to excellence.

- F. Cost Proposal.** Respondents must detail the proposed method of compensation for the services.
- G. Certifications Regarding Debarment and Procurement Policy.** Respondents and proposed subcontractors must print, sign, and submit with the proposal Appendix B: Certification Regarding Debarment, Suspension, and Responsibility and Certification Regarding Monroe County Procurement Policy and Consequences for Violation.
- H. Equal Pay Certification.** Respondents and proposed subcontractors must print, sign, and submit with the proposal Appendix C: Monroe County Equal Pay Certification.
- I. Insurance Certificates.** Each Respondent must supply a copy of their current Certificate of Insurance showing the insurance coverage at or above those described in Section 5.12 of this RFP.
- J. Exceptions to General Information for the Respondent.** For all exceptions to Section 5, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the General Information for the Respondent," the section number of any requirement to which an exception is being taken and an explanation of their position.
- K. Exceptions to the Standard Contract.** For all exceptions to the Standard Contract, attached herein as Appendix A, the Respondent must indicate on a separate sheet labeled "Exceptions Taken to the Standard Contract," the section number of any requirement to which an exception is being taken and an explanation of their position. It is not intended that new contract wording be proposed by the Respondent, but rather that the Respondent explain their position so that the conflict can be evaluated. If no exceptions are noted, the Respondent is presumed to have agreed with all sections of the standard contract.
- L. Certification.** Proposals should include a letter from an authorized corporate officer certifying the accuracy of the information provided and guaranteeing the proposed prices.
- M. MWBE & SDVOB Utilization Plan.** Each Respondent shall prepare and submit a Utilization Plan (Appendix D) in connection with its proposal and the proposed Contract. The Utilization Plan shall identify Certified Businesses, if known, that have committed to perform work in connection with the proposed Contract as well as any such Certified Businesses, if known, which the Respondent intends to use in connection with the Respondent's performance of the proposed Contract. The Utilization Plan shall specifically contain a list, including the name, address, and telephone number, of each Certified Business with which the Respondent intends to subcontract.

3.6 Method of Evaluation

- A. Evaluation Committee.** Selected personnel from the County will form the evaluation committee for this RFP. It will be the responsibility of this committee to evaluate all properly prepared and submitted proposals for the RFP and make a recommendation for award.
- B. Evaluation and Selection Criteria.** All properly prepared and submitted proposals shall be subject to evaluation deemed appropriate for the purpose of selecting the Respondent with whom a contract may be signed. Responses to this RFP will be evaluated according to criteria that the County deems pertinent to these services, which may include, but may not be limited to, the following:
- Cost/Proposed Fees
 - Understanding of and Approach to the Project
 - Specific Experience on Similar Projects

- General Technical and Professional Competence
- Capacity and Availability to Perform All Services
- MWBE/SDVOB/DBE Utilization
- Local Office/Support
- Other Pertinent Criteria

C. Contract Approval Process. Respondents must be aware that any contract resulting from this request for proposals is subject to prior approval by the Monroe County Law Department.

3.7 Oral Presentation

Respondents who submit a proposal may also be required to make an oral presentation of their proposal to the County. These presentations will provide an opportunity for the Respondent to clarify their proposal to ensure a thorough mutual understanding. At the same time, the County is under no obligation to offer any Respondent the opportunity to make such a presentation.

3.8 Investigations

The County reserves the right to conduct any investigations necessary to verify information submitted by the Respondent and/or to determine the Respondent's capability to fulfill the terms and conditions of the RFP contract document. The County reserves the right to visit a prospective Respondent's place of business to verify the existence of the company and the management capabilities required to administer this agreement. The County will not consider Respondents that are in bankruptcy or in the hands of a receiver at the time of tendering a proposal or at the time of entering into a contract.

SECTION 4 – MWBE & SDVOB REQUIREMENTS

4.1 MWBE Goals and Utilization Plan

The successful Respondent shall employ its best efforts to subcontract at least twelve percent (12%) of the total cost of services to Minority-Owned Business Enterprises that are Certified Businesses (“MBE”) and three percent (3%) of the total cost of services to Women-Owned Business Enterprises that are Certified Businesses (“WBE”) each year of the Contract. Each prospective Respondent shall submit with its proposal a Utilization Plan identifying with whom the Respondent would subcontract and the dollar amount of such subcontract. This Section and the successful Respondent’s Contract shall be subject to the requirements of Chapter 26 of the Monroe County Code (Gantt’s Law for Utilization of Minority and Women-Owned Businesses).

In the event a Respondent is a MBE, such Respondent shall remain subject to the goal of subcontracting at least three percent (3%) of the total cost of services to a WBE. In the event a Respondent is a WBE, such Respondent shall remain subject to the goal of subcontracting at least twelve percent (12%) of the total cost of services to a MBE. In the event a Respondent is both a MBE and WBE, the Respondent shall choose one of the two designations and shall remain subject to the subcontracting best efforts requirement for the designation not chosen.

4.2 Definitions

“Certified Business” – shall mean a business verified as a Minority or Women-Owned Business Enterprise pursuant to § 26-4 of the Monroe County Code and/or a business certified by New York State pursuant to Article 15-a of the New York State Executive Law.

“Minority Group Members” – shall mean a United States citizen or permanent resident alien who has and can demonstrate membership in one of the following groups:

1. Black persons having origins in any of the Black African racial groups;
2. Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American Descent of either Indian or Hispanic origin, regardless of race;
3. Native American or Alaskan native persons having origins in any of the original peoples of North America;
4. Asian and Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands.

“Minority-Owned Business Enterprise” – shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is:

1. at least fifty-one percent owned by one or more minority group members;
2. an enterprise in which such minority ownership is real, substantial and continuing;

3. an enterprise in which such minority ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; and
4. an enterprise authorized to do business in the State of New York state and independently owned and operated.

“Utilization Plan” - shall mean a plan prepared by each Respondent and submitted in connection with its proposal and the proposed Contract. The utilization plan shall identify certified businesses, if known, that have committed to perform work in connection with the proposed Contract as well as any such certified businesses, if known, which the Respondent intends to use in connection with the Respondent’s performance of the proposed Contract. The plan shall specifically contain a list, including the name, address and telephone number, of each Certified Business with which the Respondent intends to subcontract.

“Women-Owned Business Enterprise” – shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is:

1. at least fifty-one percent owned by one or more United States citizens or permanent resident aliens who are women;
2. an enterprise in which the ownership interest of such women is real, substantial and continuing;
3. an enterprise in which such women ownership has and exercises the authority to control independently the day-to-day business decisions of the enterprise; and
4. an enterprise authorized to do business in the State of New York state and independently owned and operated.

4.3 Waivers

Any requests for waivers from these requirements shall be governed by § 26-12 of the Monroe County Code. Notwithstanding the foregoing, the County reserves the right to determine, in its sole discretion: (1) to waive the requirements of Section 4.1, above, for municipal corporations, school districts, district corporations, boards of cooperative educational services, utilities, not-for-profit corporations, and publicly traded companies, and/or (2) that it is not in the County’s interest to permit subcontracting under the proposed Contract.

4.4 Disqualification of Proposal

Without limiting other grounds for the disqualification of proposals on the basis of nonresponsiveness and/or non responsibility, the County may disqualify a Respondent’s proposal as nonresponsive and/or nonresponsible for failure to provide a complete Utilization Plan and/or remedy noted deficiencies in the Respondent’s Utilization Plan within ten days after receiving notification of such failure and/or deficiencies from the County.

4.5 Enforcement of Contract

Upon receipt of a complaint that the successful Respondent has violated § 26-12 of the Monroe County Code, including but not limited to a failure or refusal to comply with Minority and Women-Owned Business Enterprise participation requirements as set forth in the County Contract, the County's Director of Diversity, Equity and Inclusion shall send a notice of deficiency to said successful Respondent setting forth the facts and circumstances giving rise to the complaint. If the successful Respondent fails to cure or otherwise address the complaint within fifteen (15) days of receiving notice thereof, the County shall have the right to cancel, terminate, or suspend the Contract in whole or in part, and/or seek any other remedy afforded to the County in law or in equity.

4.6 SDVOB Goals and Utilization Plan

The successful Respondent shall employ its best efforts to subcontract at least six (6%) of the total cost of services to Certified SDVOB Firms each year of the Contract. Each prospective Respondent shall submit with its proposal a Utilization Plan identifying with whom the Respondent would subcontract and the dollar amount of such subcontract.

Respondents that are Certified SDVOB Firms will be allowed to include their own participation towards meeting the Certified SDVOB Firms participation goals established for this project.

4.7 Definitions

"Certified SDVOB Firms" – shall mean Federal SDVOSB Certified Contractors and/or State SDVOB Certified Contractors.

"Federal SDVOSB Certified Firms" – shall mean Service-Disabled Veteran-Owned Small Business Concerns that have been certified by the U.S. Small Business Administration in accordance with 13 C.F.R. Part 128.

"SDVOB Utilization Plan" – shall mean a plan prepared by a contractor and submitted in connection with a proposed county contract. The utilization plan shall identify Certified SDVOB Firms, if known, that have committed to perform work in connection with the proposed county contract as well as any such Certified SDVOB Firms, if known, which the contractor intends to use in connection with the contractor's performance of the proposed county contract. The plan shall specifically contain a list, including the name, address and telephone number, of each Certified SDVOB Firms with which the contractor intends to subcontract.

"State SDVOB Certified Firms" – shall mean Service-Disabled Veteran-Owned Business Enterprises that have been certified by the New York State Division of Service-Disabled Veterans' Business Development in accordance with Veterans' Services Law § 41.

4.8 Waivers

If a Respondent is unable to show obtainment of program goals when submitting the utilization plan, the Respondent must submit a Request for SDVOB Utilization Waiver with the proposal. An approved Utilization Plan or granted utilization waiver will be required prior to contract issuance. If

the Utilization Plan is reviewed and determined to be insufficient and/or a utilization waiver is not granted, the proposal may be disqualified as non-responsive. Notwithstanding the foregoing, the County reserves the right to determine, in its sole discretion: (1) to waive the requirements of Section 4.6, above, for municipal corporations, school districts, district corporations, boards of cooperative educational services, utilities, not-for-profit corporations, and publicly traded companies, and/or (2) that it is not in the County's interest to permit subcontracting under the proposed Contract.

4.9 Disqualification of Proposal

Without limiting other grounds for the disqualification of proposals on the basis of nonresponsiveness and/or non responsibility, the County may disqualify a Respondent's proposal as nonresponsive and/or nonresponsible for failure to provide a complete Utilization Plan and/or remedy noted deficiencies in the Respondent's Utilization Plan within ten days after receiving notification of such failure and/or deficiencies from the County.

4.10 Enforcement of Contract

Upon receipt of a complaint that the successful Respondent has violated an approved SDVOB Utilization Plan, the County's Director of Diversity, Equity and Inclusion shall send a notice of deficiency to said successful Respondent setting forth the facts and circumstances giving rise to the complaint. If the successful Respondent fails to cure or otherwise address the complaint within fifteen (15) days of receiving notice thereof, the County shall have the right to cancel, terminate, or suspend the Contract in whole or in part, and/or seek any other remedy afforded to the County in law or in equity.

SECTION 5 - GENERAL INFORMATION FOR THE RESPONDENT

5.1 Reservation of Rights

The County reserves the right to refuse any and all proposals, in part, or in their entirety, or select certain products from various Respondent proposals, or to waive any informality or defect in any proposal should it be deemed to be in the best interest of the County. The County is not committed, by virtue of this solicitation, to award a contract, or to procure or contract for services. The proposals submitted in response to this solicitation become the property of the County. If it is in its best interest to do so, the County reserves the right to:

- A. Make selections based solely on the proposals or negotiate further with one or more Respondents. The Respondent selected will be chosen on the basis of greatest benefit to the County as determined by an evaluation committee.
- B. Negotiate contracts with the selected Respondents.
- C. Award a contract to more than one Respondent.

5.2 Contract Negotiation

Negotiations may be undertaken with those Respondents whose proposals prove them to be qualified, responsible, and capable of fulfilling the requirements of this solicitation. The contract that may be entered into will be the most advantageous to the County, price and other factors considered. The County reserves the right to consider proposals or modifications thereof received at any time before a contract is awarded, if such action is in the best interest of the County. Attached as Appendix A is a copy of the Standard Contract which contains mandatory provisions.

Negotiations do not include further revisions to the mandatory provisions depicted in Appendix A. Respondents must take exception as instructed in Section 3.5.K. if necessary. Any exceptions will be evaluated by the Monroe County Law department prior to proposal rating.

5.3 Acceptance of Proposal Content

The contents of the proposal of the successful Respondent may become contractual obligations, should a contract ensue. Failure of a Respondent to accept these obligations may result in cancellation of the award. The awarded respondent will be required to provide Monroe County with a *Word* version of its final proposal.

5.4 Prime Responsibilities

The selected Respondent will be required to assume responsibility for all services offered in its proposal whether or not provided by them. The selected Respondent will be liable, both individually and severally, for the performance of all obligations under the awarded contract and will not be relieved of non-performance of any of its subcontractors. Further, the County shall approve all subcontractors

and will consider the selected Respondent to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

5.5 Property Rights

For purposes of this document and for the contract, the term “Work” is defined as all data, records, files, information, work products, discs or tapes developed, produced or generated in connection with the services to be provided by the Respondent. The County and the Respondent intend the contract to be a contract for services and each considers the Work and any and all documentation or other products and results of the services to be rendered by the Respondent to be a work made for hire. In submitting a proposal in response to this solicitation, the Respondent acknowledges and agrees that the Work (and all rights therein) belongs to and shall be the sole and exclusive property of the County.

The Respondent and the Respondent’s employees shall have no rights in or ownership of the Work and any and all documentation or other products and results of the services or any other property of the County. Any property or Work not specifically included in the Contract as property of the Respondent shall constitute property of the County.

In addition to compliance with the right to audit provisions of the contract, the Respondent must deliver to the County, no later than the twenty-four (24) hours after receipt of the County’s written request for same; all completed, or partially completed, Work and any and all documentation or other products and results of the services under such contract. The Respondent’s failure to timely deliver such work or any and all documentation or other products and results of the services will be considered a material breach of the contract. With the prior written approval of the County, this twenty-four (24) hour period may be extended for delivery of certain completed, or partially completed, work or other such information, if such extension is in the best interests of the County.

The Respondent will not make or retain any copies of the Work or any and all documentation or other products and results of the services provided under such Contract without the prior written consent of the County.

5.6 Contract Payment

Actual terms of payment will be the result of agreements reached between Monroe County and the Respondent selected.

5.7 News Release

News releases pertaining to this solicitation or the services to which it relates will not be made without prior approval by the County and then only in coordination with the County Department of Communications and Special Events.

5.8 Notification of Respondent Selection

All Respondents who submit proposals in response to this solicitation will be notified by the Coordinator of acceptance or rejection of their proposal.

5.9 Independent Price Determination

- A. By submission of a proposal, the Respondent certifies, and in case of a joint proposal, each party thereto certifies as to its own organization, that in connection with the proposal:
 - 1. The prices in the proposal have been arrived at independently without consultation, communication, or agreement, with any other Respondent or competitor for the purpose of restricting competition; and
 - 2. No attempt has been made or will be made by the Respondent to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
- B. Each person signing the proposal certifies that:
 - 1. They are the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal and they have not participated and will not participate in any action contrary to A.1 and A.2 above; or
 - 2. They are not the person in the Respondent's organization responsible within that organization for the decision as to prices being offered in the proposal but that he has been authorized in writing to act as agent for the persons responsible for such decisions in certifying that such persons have not participated, and will not participate, in any action contrary to A.1 and A.2 above, and that as their agent, does hereby so certify; and that he has not participated, and will not participate in any action contrary to A.1 and A.2 above.
- C. A proposal will not be considered for award if the sense of the statements required in the proposal has been altered so as to delete or modify A.1 and A.2 above.

5.10 Incurring Costs

The County is not liable for any costs incurred by Respondent prior to the effective date of the contract.

5.11 Material Submitted

All right, title and interest in the material submitted by the Respondent as part of a proposal shall vest in Monroe County upon submission of the Respondent's proposal to Monroe County without any obligation or liability by Monroe County to the Respondent. Monroe County has the right to use any or all ideas presented by a Respondent.

Monroe County reserves the right to ownership, without limitation, of all proposals submitted. However, because Monroe County could be required to disclose proposals under the New York Freedom of Information Law (Public Officers Law §§ 84 – 90), Monroe County will, to the extent permitted by law, seek to protect the Respondent's interests with respect to any trade secret information submitted as follows:

Pursuant to Public Officers Law § 87, Monroe County will deny public access to Respondent's proposal to the extent the information constitutes a trade secret, which if disclosed would cause substantial harm to the Respondent's competitive position, provided the Respondent identified the information it considers to be a trade secret and explains how disclosure would cause harm to the Respondent's competitive position.

Respondent acknowledges that resultant Agreement(s) will be made available to the public and searchable online in a digital form pursuant to Public Officers Law § 87.

5.12 Insurance Requirements

The Respondent shall procure and maintain at their own expense until final completion of the work covered by the Contract, insurance for liability for damages imposed by law of the kinds and in the amounts hereinafter provided, issued by insurance companies authorized to do business in the State of New York, covering all operations under the Contract whether performed by the Respondent or by their subcontractors.

The successful Respondent shall furnish to the County a certificate or certificates of insurance in a form satisfactory to the County Attorney showing that he has complied with all insurance requirements set forth in the contract for services, that certificate or certificates shall provide that the policies shall not be changed or canceled until thirty (30) days written notice has been given to the County. Except for Workers' Compensation Insurance, no insurance required herein shall contain any exclusion of municipal operations performed in connection with the Contract resulting from this proposal solicitation. The kinds and amounts of insurance are as follows:

- A. **WORKERS' COMPENSATION AND DISABILITY INSURANCE:** A policy covering the operations of the Respondent in accordance with the provisions of Chapter 41 of the Laws of 1914, as amended, known as the Workers' Compensation Law, covering all operations under contract, whether performed by them or by their subcontractors. The Contract shall be void and of no effect unless the person or corporation making or executing same shall secure compensation coverage for the benefits of, and keep insured during the life of said Contract, such employees in compliance with the provisions of the Workers' Compensation Law known as the Disability Benefits Law (chapter 600 of the Laws of 1949) and amendments hereto.
- B. **LIABILITY AND PROPERTY DAMAGE INSURANCE** issued to the Respondent naming Monroe County as an additional insured, and covering liability with respect to all work performed by him under the Contract. The policy must be endorsed by the insurance carrier to authorize the additional insured designation. The minimum limits for this policy for property damage

and personal injury shall be \$1,000,000 per occurrence and \$3,000,000 aggregate covered under liability and damage property. All of the following coverage shall be included:

Comprehensive Form
Premises-Operations
Products/Completed Operations
Contractual Insurance covering the Hold Harmless
Provision Broad Form Property Damage
Independent
Respondents
Personal Injury

- C. CONTRACTOR'S PROTECTIVE LIABILITY INSURANCE issued to the Respondent and covering the liability for damages imposed by law upon the said Respondent for the acts or neglect of each of his subcontractors with respect to all work performed by said subcontractors under the Contract.
- D. PROFESSIONAL LIABILITY INSURANCE covering errors and omissions of the Respondent with minimum limits of \$1,000,000 per occurrence and \$3,000,000 aggregate coverage.
- E. MOTOR VEHICLE INSURANCE issued to the Respondent naming Monroe County as an additional insured, and covering liability and property damage on the Respondent's vehicles in the amount of \$1,000,000 per occurrence. The policy must be endorsed by the insurance carrier to authorize the additional insured designation.

5.13 Proposal Certification

The Respondent must certify that all material, supervision, and personnel will be provided as proposed, at no additional cost above the proposal price. Any costs not identified and subsequently incurred by the County must be borne by the Respondent. This certification is accomplished by having the Proposal signed by an individual who has the authority to bind the Respondent.

APPENDIX A
SAMPLE MONROE COUNTY DIVISION OF SOCIAL SERVICES CONTRACT

The County contemplates that, in addition to all terms and conditions described in this document, the final agreement between the County and the selected Respondent will include, without limitation, the terms contained in this Appendix A, Sample Monroe County Division of Social Services Contract.

Respondents should note that, at a minimum, all the contractual provisions included in the sample contract herein will automatically be deemed part of the final Contract. Although such provisions will govern all proposals as submitted, MCDSS may later amend such provisions. The sample contract is included so that all proposals will be governed by the same contractual terms.

PROFESSIONAL SERVICES AGREEMENT

This AGREEMENT shall be deemed to be dated as of the last date executed by a party hereto, by and between the Monroe County Division of Social Services, with offices at 111 Westfall Road, Rochester, NY 14620, hereinafter referred to as the "Division" and _____, a corporation with offices at _____ hereinafter referred to as the "Contractor".

WITNESSETH

WHEREAS, the Division is desirous of obtaining the services of the Contractor to perform the scope of services set forth in Section 1 hereof, and

WHEREAS, the Contractor is willing and able and qualified to perform such services,

NOW, THEREFORE, in consideration of the mutual covenants and agreements hereinafter set forth, the parties hereto mutually agree as follows:

1. The term of this agreement shall be from _____ to _____. This contract may be terminated by either party upon 60 days written notice to the other party.
2. The Division hereby agrees to pay the Contractor a sum in full satisfaction of all expenses and compensation due the Contractor not to exceed _____ DOLLARS (\$_____.00). Said sum shall be paid as follows:

In order to receive payment by the County for the sum(s) herein contracted for the Contractor must submit a properly completed and executed Monroe County claim voucher(s), supported with such information and documentation necessary to substantiate the voucher, approved by the COMMISSIONER of Monroe County Division of Social Services, or by his/her designee, and audited by the Controller of the County.

3. The Contractor hereby agrees to perform the following services for the Division:
4. The Division agrees to make payment in accordance with the terms established and designated in Appendix B. Contractor agrees to comply with all of the Division's applicable claiming practices and policies, and to submit claims in a timely manner only for services actually provided under the terms of this contract.
5. Contractor assures and agrees that it will fully perform the services described in this contract in accordance with generally accepted professional standards in a manner satisfactory to the Division. The Division reserves the right to evaluate the quality of services provided by Contractor and suspend or terminate the purchase of services from Contractor should Division determine such

services are not being performed in accordance with the provisions of this contract. Nothing contained in this section however shall be construed to limit any other rights or duties of the parties of this contract to suspend or terminate this contract.

6. The parties agree that the following attachments are part of this agreement:

APPENDIX A: Standard Clauses for Monroe County Division of Social Services Contracts

APPENDIX B: Reimbursement for Services

ATTACHMENT A: Program Narrative/Scope of Services

ATTACHMENT B: Program Budget

IN WITNESS WHEREOF, the parties have hereunto signed this agreement on the day and year appearing opposite their respective signatures.

Date _____

Thalia Wright, Commissioner Monroe
County Division Of Social Services

Date _____

FEDERAL ID #

STATE OF NEW YORK) SS
COUNTY OF MONROE)

On this _____ day of _____, 20____, before me personally came THALIA WRIGHT, to me known, who being by me duly sworn, did depose and say that she resides in ROCHESTER, N.Y., that she is the COMMISSIONER of the MONROE COUNTY DIVISION OF SOCIAL SERVICES, the Agency described in and which executed the above instrument; that as COMMISSIONER of said Agency she signed her name thereto.

NOTARY PUBLIC

STATE OF NEW YORK) SS
COUNTY OF MONROE)

On this _____ day of _____, 20____, before me personally came _____, to me known, who duly sworn, did depose and say that he/she resides in _____; that he/she is the _____ of _____, the corporation described in and which executed the foregoing instrument, that he/she signed his/her name thereto by order of the Board of Director's.

NOTARY PUBLIC

STANDARD CLAUSES FOR MONROE COUNTY DIVISION OF SOCIAL SERVICES
CONTRACTS

The parties to the attached Agreement (hereinafter, "the Agreement") agree to be bound by the following clauses which are hereby made a part of the Agreement (the word "Contractor" herein refers to any party other than the Monroe County Division of Social Services (the "Division") or Monroe County ("the County"), whether a contractor, licenser, licensee, lessor, lessee or any other party):

Section 1. AMENDMENTS

This Agreement may be modified or amended only in writing duly executed by both parties. Any modification or amendment shall be attached to and become part of this Agreement. All notices concerning this Agreement shall be delivered in writing to the parties at the principal addresses as set forth above unless either party notifies the other of a change in address.

Section 2. INSURANCE AND FAMILY LEAVE BENEFITS

The Contractor will, at its own expense, procure and maintain a policy or policies of insurance during the term of this Agreement. The policy or policies of insurance required are standard Worker's Compensation and Disability Insurance, if required by law; professional liability and general liability insurance (including, without limitation, contractual liability) with single limits of liability in the amount of \$1,000,000 per occurrence, and \$3,000,000 aggregate coverage; automobile liability insurance in the amount of \$1,000,000 with a minimum of \$1,000,000 each occurrence, bodily injury, and property damage. Such coverage may be fulfilled via a combination of primary and excess or umbrella liability policies. Original certificates and endorsements evidencing such coverage shall be delivered to the County before final execution of this Agreement. The certificates shall indicate that such coverage will not be cancelled or amended in any way without thirty (30) days prior written notice to the County and original renewal certificates conforming to the requirements of this section shall be delivered to the County at least sixty (60) days prior to the expiration of such policy or policies of insurance. The Contractor's insurance shall provide for and name the Monroe County Division of Social Services and Monroe County as an additional insured. All policies shall insure the Monroe County Division of Social Services and the County for all claims arising out of the Agreement. All policies of insurance shall be issued by companies in good financial standing duly and fully qualified and licensed to do business in New York State or otherwise acceptable to the Division and the County.

If any required insurance coverage contain aggregate limits or apply to other operations of the Contractor, outside of those required by this Agreement, the Contractor shall provide Monroe County with prompt written notice of any incident, claims settlement, or judgment against that insurance which diminishes the protection of such insurance affords the Division and Monroe County. The Contractor shall further take immediate steps to restore such aggregate limits or shall provide other insurance protection for such aggregate limits.

The Contractor will also provide proof duly subscribed by an insurance carrier in a form satisfactory to the Chair of the Worker's Compensation Board that the payment of family leave benefits for all its employees required under New York law to receive such benefits has been secured.

Section 3. INDEMNIFICATION

The Contractor shall defend, indemnify and save harmless the Division and the County, its officers, agents, and employees from and against all liability, damages, costs or expenses, causes of actions, suits, judgments, losses, and claims of every name not described, including attorneys' fees and disbursements, brought against the Division and/or the County which may arise, be sustained, or occasioned directly or indirectly by any person, firm or corporation arising out of or resulting from the performance of the services by the Contractor, its employees, agents or subcontractors, the provision of any products by the Contractor, its employees, agents, or subcontractors, arising from any act, omission or negligence of the Contractor, its employees, agents, or subcontractors, or arising from any breach or default by the Contractor, its employees, agents or subcontractors under the Agreement. Nothing herein is intended to relieve the Division or the County from its own negligence or misfeasance or to assume any such liability for the Division or the County by the Contractor.

Section 4. INDEPENDENT CONTRACTOR

For the purpose of this Agreement, the Contractor is and shall in all respects be considered an independent contractor. The Contractor, its individual members, directors, officers, employees and agents are not and shall not hold themselves out as, nor claim to be, an officer or employee of Monroe County nor make claim to any rights accruing thereto, including, but not limited to, Worker's Compensation, unemployment benefits, Social Security or retirement plan membership or credit.

The Contractor shall have the direct and sole responsibility for the following: payment of wages and other compensation; reimbursement of the Contractor's employees' expenses; compliance with Federal, state and local tax withholding requirements pertaining to income taxes, Worker's Compensation, Social Security, unemployment and other insurance or other statutory withholding requirements; and all obligations imposed on the employer of personnel. The County shall have no responsibility for any of the incidences of employment.

Section 5. EXECUTORY NATURE OF CONTRACT

This Agreement shall be deemed executory only to the extent of the funding available and the Division and the County shall not incur any liability beyond the funds annually budgeted therefore. The Division and the County may make reductions in this Agreement for the loss/reduction in State Aid or other sources of revenues. If this occurs, the Contractor's obligations regarding the services provided under this Agreement may be reduced correspondingly.

Section 6. NO ASSIGNMENT WITHOUT CONSENT

The Contractor shall not, in whole or in part, assign, transfer, convey, sublet, mortgage, pledge, hypothecate, grant any security interest in, or otherwise dispose of this Agreement or any of its right, title or interest herein or its power to execute the Agreement, or any part thereof to any person or entity without the prior written consent of the Division.

Section 7. FEDERAL SINGLE AUDIT ACT

In the event the Contractor is a recipient through this Agreement, directly or indirectly, of any funds of or from the United States Government, Contractor agrees to comply fully with the terms and requirements of Federal Single Audit Act [Title 31 United States Code, Chapter 75], as amended from time to time. The Contractor shall comply with all requirements stated in "Uniform Administrative Requirements, Cost

Principles, and Audit Requirements for Federal Awards” (Uniform Grant Guidance) Subpart F and such other circulars, interpretations, opinions, rules or regulations that may be issued in connection with the Federal Single Audit Act.

If on a cumulative basis the Contractor expends Seven Hundred and Fifty Thousand and no/100 Dollars (\$750,000.00) or more in federal funds in any fiscal year, it shall cause to have a single audit conducted, the Data Collection Form (defined in Federal Office of Management and Budget Uniform Grant Guidance) shall be submitted to the Division or the County; however, if there are findings or questioned costs related to the program that is federally funded by the Division or the County, the Contractor shall submit the complete reporting package (defined in Federal Office of Management and Budget Uniform Grant Guidance) to the Division or the County.

If on a cumulative basis the Contractor expends less than Seven Hundred and Fifty Thousand and no/100 Dollars (\$750,000.00) in federal funds in any fiscal year, it shall retain all documents relating to the federal programs for three (3) years after the close of the Contractor’s fiscal year in which any payment was received from such federal programs.

All required documents must be submitted within nine (9) months of the close of the Contractor’s fiscal year end to:

Monroe County Internal Audit Unit
303 County Office Building
39 West Main Street
Rochester, New York 14614

The Contractor shall, upon request of the Division or the County, provide the Division or the County such documentation, records, information and data and response to such inquiries as the Division or the County may deem necessary or appropriate and shall fully cooperate with internal and/or independent auditors designated by the Division or the County and permit such auditors to have access to, examine and copy all records, documents, reports and financial statements as the Division or the County deems necessary to assure or monitor payments to the Contractor under this Agreement.

The Division or the County’s right of inspection and audit pursuant to this Agreement shall survive the payment of monies due to Contractor and shall remain in full force and effect for a period of three (3) years after the close of the Contractor’s fiscal year in which any funds or payment was received from the Division or the County under this Agreement.

Section 8. RIGHT TO INSPECT

Designated representatives of the Division and/or the County shall have the right to monitor the provision of services under this Agreement which includes having access, at reasonable times and places to the Contractor’s employees, reports, books, records, audits and any other material relating to the delivery of such services. The Contractor agrees to maintain and retain all pertinent records related to this Agreement for a period of ten (10) years after final payment.

Upon request, the Contractor shall provide to the Division copies of its certified public accountant prepared financial statements, prepared in accordance with generally accepted accounting principles, and management letter within ninety (90) days after the end of the Contractor’s fiscal year

The Contractor agrees to comply with all confidentiality and access to information requirements in Federal, State and Local laws and regulations.

The Contractor shall deliver monitoring reports to the Division in a manner prescribed by the Division.

8.1 HOUSING CONTRACTS

If this is a contract for housing, the following shall apply:

All Housing contracts

The Contractor shall submit a report to the Emergency Housing Coordinator of the Division within 10 days of the end of each month detailing the number of Division clients served in that month, including the number of actual beds days used.

Transitional Housing contracts

If this is a transitional housing contract, the Monroe County Division of Social Services shall approve in writing all requests for entry to the transitional housing provided from Contractor by assessing the client and notifying the Contractor in writing prior to assuming payment for said client.

Additionally, Contractor shall submit to Emergency Housing Coordinator of the Division a monthly status report on each client within ten (10) business days of the close of each month.

The Division shall determine the appropriate length of stay for each client and shall inform Contractor of a departure date for the client to exit the transitional housing.

The report shall also include submitting an independent living plan and monthly updates on client progress towards goals for those in Transitional Housing.

Contractor shall not be reimbursed for clients admitted to the Contractor's transitional housing facility prior to the written approved date or for clients remaining in the transitional housing beyond the departure date established by the Division.

8.2 PREVENTIVE SERVICES CONTRACTS

If this is a preventive services contract, the Contractor shall submit a report to the Manager of Child and Family Services of the Division within 10 days of the end of each month detailing the number of Division clients served in that month, including the number of service units utilized.

8.3 FOSTER CARE

If this is a foster care contract, the Contractor shall submit a report to the Manager of Child and Family Services of the Division within 10 days of the end of each month detailing the number of Division clients served in that month, including the number of bed days utilized.

Section 9. NON-DISCRIMINATION

To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of an individual's age, race, creed, color, national origin, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is

qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. The Contractor is subject to penalties by the County and the Division of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

Section 10. CONTRACTOR QUALIFIED, LICENSED, ETC.

The Contractor represents and warrants to the Division and the County that it and its employees is duly and fully qualified under the laws of the state of its incorporation and of the State of New York, to undertake the activities and obligations set forth in this Agreement, that it possesses as of the date of its execution of this Agreement, and it will maintain throughout the term hereof, all necessary approvals, consents and licenses from all applicable government agencies and authority and that it has taken and secured all necessary board of directors and shareholders action and approval.

Section 11. CONFIDENTIAL INFORMATION

For the purpose of this Agreement, "Confidential Information" shall include information or material proprietary to the Division and/or the County or designated as "Confidential Information" by the Division and/or the County, and not generally known by non-County personnel, which Contractor may obtain knowledge of or access to as a result of a contract for services with the Division. The Confidential Information includes, without limitation, the following types of information or other information of a similar nature (whether or not reduced to writing): methods of doing business, computer programs, computer network operations and security, finances and other confidential and proprietary information belonging to the Division and/or the County. Confidential Information also includes any information described above which the Division and/or the County obtained from another party which the Division and/or the County treats as proprietary or designates as Confidential Information, whether or not owned or developed by the Division and/or the County. Information publicly known and that is generally employed by the trade at the time that Contractor learns of such information or knowledge shall not be deemed part of the Confidential Information.

1. Scope of Use

- a. Contractor shall not, without prior authorization from the Division and/or the County acquire, use or copy, in whole or in part, any Confidential Information.
- b. Contractor shall not disclose, provide or otherwise make available, in whole or in part, the Confidential Information other than to those employees of Contractor who have executed a confidentiality agreement with the Division and/or the County, have a need to know such Confidential Information, and who have been authorized to receive such Confidential Information.
- c. Contractor shall not remove or cause to be removed, in whole or in part, from County facilities, any Confidential Information, without the prior written permission of the Division and/or the County.
- d. Contractor shall take all appropriate action, whether by instruction, agreement or otherwise, to insure the protection, confidentiality and security of the Confidential Information and to satisfy its obligations under this Confidentiality Agreement.

2. Nature of Obligation

Contractor acknowledges that the County, because of the unique nature of the Confidential Information, would suffer irreparable harm in the event that Contractor breaches its obligation under this Agreement in that monetary damages would be inadequate to compensate the Division and/or the County for such a breach. The parties agree that in such circumstances, the Division and/or the County shall be entitled, in addition to monetary relief, to injunctive relief as may be necessary to restrain any continuing or further breach by Contractor, without showing or proving any actual damages sustained by the Division and/or the County.

3. Freedom of Information Law

This paragraph 3 of Section 11 shall apply only after written notice by the Contractor that certain information provided to the Division or the County is Contractor's Confidential Information. In the event that the Division or the County or any of the Division's or the County's members, officers, agents or representatives is requested or required (by oral questions, interrogatories, requests for information or documents in legal proceedings, subpoena, civil investigative demand or other similar process) to disclose any Confidential Information relative to Contractor, the Division or the County shall provide Contractor with prompt written notice of any such request or requirement so that Contractor may seek a protective order or other appropriate remedy and/or waive compliance with this provision of the Agreement. Furthermore, in recognition of the fact that the Division or the County is subject to laws requiring disclosure of public documents, including the Freedom of Information Law ("FOIL"), the parties agree that in the event that the Division or the County receives a request or order for the release of Contractor's Confidential Information, the County shall provide Contractor with prompt notice thereof so that Contractor may seek a protective order or other appropriate remedy prior to such disclosure, if Contractor chooses to do so. If, in the absence of a protective order or waiver from Contractor, the Division or the County is nonetheless, in the opinion of the County Attorney and after consultation with Contractor, compelled to disclose some portion of the Contractor's confidential information, the Division or the County may disclose such information to such person without penalty under the terms of this Agreement and shall immediately advise Contractor of such disclosure.

Section 12. FEDERAL, STATE AND LOCAL LAW AND REGULATORY COMPLIANCE

a. Notwithstanding any other provision in this Agreement, the Contractor remains responsible for ensuring that any service(s) provided pursuant to this Agreement complies with all pertinent provisions, including but not limited to any and all reporting requirements, of Federal, State and local statutes, rules and regulations, including without limitation, Title VI of the Civil Rights Act of 1964 (CRA Title VI), Federal Executive Order 13166, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act (ADA).

b. The Contractor is responsible for ensuring compliance with New York State Labor Law Section 201-g and Executive Law Section 296-d. Upon request by the Division or the County, the Contractor shall provide evidence of compliance with the sexual harassment training required under Labor Law Section 201-g for all its employees performing work under this Agreement.

c. To the extent that State-funds/State-authorized payments (SF/SAP) received are used to pay for program services by covered providers, any subcontractors or sub-awardees shall be made aware of the provisions of the regulations of 9 NYCRR Part 6157 - "Limits on Administrative Expenses and Executive Compensation". Additionally, Contractor and any subcontractors shall review as appropriate Executive Order No. 38, which can be located at <http://executiveorder38.ny.gov>.

Section 13. EQUAL PAY CERTIFICATION

Prior to the execution of this Agreement, the Contractor shall submit to the County an Equal Pay Certification ("Certification") affirming the Contractor's compliance with the Federal Equal Pay Act, 29 USC § 206 and New York State Labor Law §194, as amended from time to time ("Equal Pay Laws"). As set forth in the Certification, the Contractor's violation of one or more of the Equal Pay Laws or its filing of a false or misleading Certification during the term of this Agreement may constitute grounds for the County in its sole discretion to immediately terminate the Agreement and for determining the Contractor to be not qualified to participate in future Monroe County contracts.

Section 14. LAW

This Agreement shall be governed by and under the laws of the State of New York without regard or reference to its conflict of law principles. In the event that a dispute arises between the parties, venue for the resolution of such dispute shall be the County of Monroe, New York.

Section 15. NO-WAIVER

In the event that the terms and conditions of this Agreement are not strictly enforced by the Division and/or the County, such non-enforcement shall not act as or be deemed to act as a waiver or modification of this Agreement, nor shall such non-enforcement prevent the Division and/or the County from enforcing each and every term of this Agreement thereafter.

Section 16. SEVERABILITY

If any provision of this Agreement is held invalid by a court of law, the remainder of this Agreement shall not be affected thereby if such remainder would then continue to conform to the laws of the State of New York.

Section 17. TITLE TO WORK

a. The title to all work performed by the Contractor and any unused materials or machinery purchased by the Contractor with funds provided by the County in order to accomplish the work hereunder shall become legally vested to the Division and/or the County upon the completion of the work required under this Agreement. The Contractor shall obtain from any subcontractors and shall transfer, assign, and/or convey to the Division and/or Monroe County all exclusive, irrevocable, or other rights to all work performed under this Agreement, including, but not limited to trademark and/or service mark rights, copyrights, publication rights, distribution rights, rights of reproduction, and royalties.

b. No information relative to this Agreement shall be released by the Contractor or its employees for publication, advertising or for any other purpose without the prior written approval of the Division and/or the County. The Contractor hereby acknowledges that programs described herein are supported by this Agreement by the Division and/or the County and the Contractor agrees to state this fact in any and all publicity, publications and/or public information releases.

Section 18. WAGE AND HOURS PROVISIONS

If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the Division and/or the County of any the Division approved sums due and owing for work done upon the project.

Section 19. STATE FINANCE LAW PROVISIONS

a. In accordance with Section 139-d of the State Finance Law, if this Agreement was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the County a non-collusive bidding certification on Contractor's behalf.

b. To the extent this Agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this Agreement the Contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the Division may terminate this Agreement by providing written notification to the Contractor in accordance with the terms of the Agreement.

Section 20. FAIR HEARINGS

Contractor acknowledges that eligible individuals receiving services under this contract may be entitled to request a Fair Hearing to appeal matters relating to the provision of services. Contractor agrees to cooperate and participate in the Fair Hearing process as directed by the Division or appropriate New York State Agencies, consistent with applicable law and regulation, regarding services provided under this contract. Such cooperation and participation shall include, but not be limited to, providing testimony, reports, records and documents at, and in preparation for Fair Hearings, aid continuing in appropriate cases, and compliance with Fair Hearing decisions.

Section 21. RENEGOTIATION

The parties agree to re-negotiate this Agreement in the event that the Federal Department of Human Services or appropriate New York State Agencies, issue new or revised requirements binding on the Division as a condition for receiving continued Federal or State reimbursement.

Section 22. ACCREDITATION

The Contractor represents and warrants to the County and Division that it and its employees is duly and fully qualified under the laws of the state of its incorporation and of the State of New York, to undertake the activities and obligations set forth in this Agreement, that it possesses as of the date of its execution of

this Agreement, and it will maintain throughout the term hereof, all necessary approvals, consents and licenses from all applicable government agencies and authority and that it has taken and secured all necessary board of directors and shareholders action and approval.

The Contractor further assures that all professional staff are qualified for their positions and all educational records and other credentials are genuine and on file. The records are to include but not limited to proof of: academic degrees, continuing education transcripts, state certifications, and professional licenses.

Section 23. CHILD ABUSE/STATE REGISTRY REQUIREMENTS

The Contractor agrees to comply with the reporting provision of suspected child abuse or maltreatment as set forth in Article 6 of Title 6 of the Social Services Law.

Pursuant to New York Social Services Law §413, effective July 1, 2014, the following persons and officials are required to report or cause a report to be made in accordance with New York State Law Social Services Law §413-420 when they have reasonable cause to suspect that a child coming before them in their professional or official capacity is an abused or maltreated child, or when they have reasonable cause to suspect that a child is an abused or maltreated child where the parent, guardian, custodian or other person legally responsible for such child comes before them in their professional or official capacity and states from personal knowledge facts, conditions or circumstances which, if correct, would render the child an abused or maltreated child: any physician; registered physician assistant; surgeon; medical examiner; coroner; dentist; dental hygienist; osteopath; optometrist; chiropractor; podiatrist; resident; intern; psychologist; registered nurse; social worker; emergency medical technician; licensed creative arts therapist; licensed marriage and family therapist; licensed mental health counselor; licensed psychoanalyst; licensed behavior analyst; certified behavior analyst assistant; hospital personnel engaged in the admission, examination, care or treatment of persons; a Christian Science practitioner; school official, which includes but is not limited to school teacher, school guidance counselor, school psychologist, school social worker, school nurse, school administrator or other school personnel required to hold a teaching or administrative license or certificate; social services worker; director of a children's overnight camp, summer day camp or traveling summer day camp, as such camps are defined in section thirteen hundred ninety-two of the New York public health law; day care center worker; school-age child care worker; provider of family or group family day care; or any other child care or foster care worker; mental health professional; substance abuse counselor; alcoholism counselor; all persons credentialed by the office of alcoholism and substance abuse services; peace officer; police officer; district attorney or assistant district attorney; investigator employed in the office of a district attorney; or other law enforcement official. Reports shall be made to the Local Register (461-5690) or to the New York State Child Abuse and Maltreatment Register (1-800-342-3720). When such a person is required to report under this title, he shall immediately notify the person in charge of such agency who shall then become responsible to report or cause reports to be made. Persons, officials or institutions participating in good faith making a report, taking photographs or removing or keeping a child pursuant to the law shall have immunity from any liability that may result. Any such person, official or institution who willfully fails to report suspected child abuse or maltreatment shall be guilty of a Class A misdemeanor and shall be civilly liable for damages.

The Contractor understands that the Division is required by New York State Law and Administrative Directive 86-43 to have individuals (e.g. applicants for employment, employees, volunteers, consultants, and other providers of service, etc.) who will have the potential for regular and substantial contact with children, to be screened through the New York State Child Abuse Registry. The Contractor agrees to cooperate with the Division in order for the Division to meet the requirements of 86 ADM-43, including but not limited to, having individuals as noted above complete form DSS-3370 and to submit such forms

to the Division. Upon being notified that an individual is the subject of an indicated report, the Division shall follow the provisions of 86 ADM-43 regarding making use of that individual's services.

Section 24. BACKGROUND CHECKS

Contractor remains, at all times during the term of this Agreement, responsible for the actions or inactions of its volunteers, agents and servants providing services pursuant to this Agreement. Such responsibility includes conducting criminal and other background checks for all such persons prior to said service.

Section 25. LOBBYING

As required by Section 1352, Title 31 U.S.C., and implemented at 34 CFR Part 82, Sec. 82.105 and 82.110, the Contractor certifies that:

No Federal appropriated funds will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any Federal contract, the making of any federal grant or 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.

If any funds other than Federal appropriated funds will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this agreement, the Contractor shall complete and submit Federal Standard Form 111, DISCLOSURE FORM TO REPORT LOBBYING, in accordance with its instructions.

Section 26. DRUG-FREE WORKPLACE

As required by the Drug-Free Workplace Act of 1988 (41 USC 8103), the Contractor certified that it will provide a drug-free workplace by:

Publishing a statement notifying employees that the manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

Establishing an ongoing drug-free awareness program to inform employees about:

- The dangers of drug abuse in the workplace.
- The contractor's policy of maintaining a drug-free workplace.
- Any available drug counseling, rehabilitation, and employee assistance program.
- The penalties that may be imposed upon employees for drug abuse violation occurring in the workplace.

Making it a requirement that each employee to be engaged in the performance of this contract be given a copy of the statement required by paragraph a.

Notifying the employee in the statement required by paragraph a., that as a condition of employment under this contract, the employee will:

- Abide by the terms of the statement.
- Notify the employer in writing of his or her conviction for a violation of a criminal drug statute **occurring in the workplace** no later than five calendar days after such conviction.

Notifying, in writing within 10 calendar days after having received notice under subparagraph d from an employee or otherwise receiving actual notice of such conviction, the Division.

Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d., with respect to any employee who is so convicted:

- Taking appropriate personnel action against such an employee, up to and including termination including termination, consistent with the requirements of the Rehabilitation Act of 1973, or
- Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by an appropriate agency.

Making a good faith effort to continue to maintain a drug-free workplace through the above steps.

Section 27. PROPERTY REQUIREMENTS

The Contractor agrees that all property with a useful life of more than two years and a cost of \$500 or more, purchased in connection with this Agreement becomes the property of the DIVISION and is subject to all Federal and State regulations governing such property.

The Contractor agrees to provide the Division with copies of receipts for the purchase of all such equipment.

The Contractor agrees to notify the Division in writing upon the loss, theft, or damage of any such equipment.

The Contractor agrees that within 45 days of the termination date of this Agreement, or upon request of the Division, all such equipment in the possession of the Contractor will be delivered to the Division.

Section 28. MISCELLANEOUS

a. The Contractor agrees to comply with all confidentiality and access to information requirements in Federal, State and local laws and regulations.

b. The Division shall have the right, via its Director of Services, to direct the Agency to remove specific employees of the Agency from work within the scope of services under this agreement, and to not have those employees assigned to other work involving the Division.

c. The Contractor shall not enter into subcontracts for services to be provided through this contract without the Division's written permission. In the event a subcontract is permitted by the Division, the Contractor remains responsible for the performance of the subcontractor and the form and substance of the subcontract shall be consistent with 18 NYCRR Part 405, if applicable. This contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred conveyed, sublet or disposed of without the previous consent, in writing of the Division.

d. Contractor agrees to cooperate with the Division, as may be required, so that the Division and appropriate New York State Agencies will be able to fulfill their function and responsibilities under

applicable provisions of the Social Security Act and the Social Services Law and be able to meet all of the applicable requirements, both State and Federal pertaining thereto.

e. The Contractor acknowledges and agrees that usage of any computer hardware, computer software and/or electronic equipment used in the course of carrying out duties under this Agreement will be governed by all applicable laws, rules and regulations.

f. This Agreement constitutes the entire agreement between the Division and the Contractor and supersedes any and all prior agreements between the parties hereto for the services herein to be provided.

g. Attached to this Agreement and incorporated herein is the Certification Regarding Debarment, Suspension and Responsibility/Certification Regarding Monroe County Procurement Policy and Consequences for Violation.

h. The Contractor agrees that this Agreement may be made available to the public and searchable online in a digital format.

----END OF PAGE----

APPENDIX B

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND RESPONSIBILITY

The undersigned certifies, to the best of his/her knowledge and belief, that the Contractor and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded by any Federal department or agency;
2. Have not within a three (3) year period preceding this transaction/application/proposal/contract/agreement been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and
4. Have not within a three (3) year period preceding this transaction/application/proposal/contract/agreement had one or more public transactions (Federal, State or local) terminated for cause or default.

CERTIFICATION REGARDING MONROE COUNTY PROCUREMENT POLICY AND CONSEQUENCES FOR VIOLATION

The undersigned certifies, to the best of his/her knowledge and belief, that the Contractor and its principals:

5. Have read and understand the Monroe County Procurement Policy and agree to abide by its terms (<http://www2.monroecounty.gov/purch-overview.php>);
6. Understand that any violation of the Monroe County Procurement Policy may result in the exclusion of any response to a public bid, Request for Proposals (RFP) or Request for Qualifications (RFQ) submitted on our behalf; and
7. Understand that any contract or agreement entered into subsequent to a violation of this policy during the procurement process is null and void.

Date: _____

[Print Name of Contractor]

By: _____

[Signature]

[Print Name]

[Print Title/Office]

APPENDIX C

MONROE COUNTY EQUAL PAY CERTIFICATION

The undersigned certifies, to the best of his/her knowledge, that the Contractor:

1. Compensates its employees in compliance with the Federal Equal Pay Act, 29 USC § 206, and the New York State Labor Law § 194, as amended from time to time ("Equal Pay Laws").
2. Has not been subject to an adverse finding by the United States Department of Labor, New York State Department of Labor or a court of law with regard to the Equal Pay Laws within the previous five years ("Adverse Finding"). If the Contractor has been subject to an Adverse Finding, the Contractor shall immediately disclose in writing the outcome and circumstances of such Adverse Finding to the County Purchasing Manager at the following address: Room 200, County Office Building, 39 West Main Street, Rochester, New York 14614.
3. Is not the subject of any currently pending claims involving the Equal Pay Laws. If the Contractor is the subject of any currently pending claims involving the Equal Pay Laws, the Contractor shall immediately disclose in writing to the County's Purchasing Manager the nature and status of such claims.
4. Acknowledges that the violation of one or more of the Equal Pay Laws or its filing of a false or misleading Monroe County Equal Pay Certification during the term of the Contractor's agreement with Monroe County may constitute grounds for the County in its sole discretion to immediately terminate such agreement with the Contractor and for determining the Contractor to be not qualified to participate in future Monroe County contracts.
5. Acknowledges that the Contractor will cooperate with the County's compliance monitoring and periodic auditing of Certifications provided by the Contractor to the County.

Date: _____

[Print Name of Contractor]

By: _____
[Signature]

[Print Name]

[Print Title/Office]

9/4/2020

Appendix D

MWBE & SDVOB Utilization Plan

<u>Bidder/Contractor's Detailed MBE/WBE/SDVOB Utilization Plan</u>					
Bidder/Contractor Information				BID/RFP/RFQ Title	
Company Name					
POC Name					
Phone					
E-Mail					
<u>Projected MBE/WBE/SDVOB Spending Summary</u>					
Total Bid/Contract Value					
Minority Business Enterprise (MBE)		Women Business Enterprise (WBE)		Service Disabled Veteran Owned Business (SDVOB)	
MBE Goal Percentage	12%	WBE Goal Percentage	3%	SDVOB Goal Percentage	6%
MBE Goal Amount	\$	WBE Goal Amount	\$	SDVOB Goal Amount	\$
MBE Utilization Amount	\$	WBE Utilization Amount	\$	SDVOB Utilization Amount	\$
MBE Utilization Percentage	%	WBE Utilization Percentage	%	SDVOB Utilization Percentage	
MBE Utilization Shortfall	\$	WBE Utilization Shortfall	\$	SDVOB Utilization Shortfall	\$
<u>Contractor Utilization Plan Checklist</u>					
Utilization Plan:	Please be specific and provide detail of work being performed by MBE/WBE/SDVOB				☐
Letters of Intent:	Signed form must be submitted for each MBE/WBE/SDVOB listed on the plan.				☐
Waiver Request:	Must be submitted if there are any dollar amounts listed under " Utilization Shortfall "				☐
DEI Use Only					
Plan Approved _____		Plan Disapproved _____		Waiver Granted _____ Waiver Denied _____	
By:			Date:		

CONTRACTOR'S DETAILED MBE/WBE/SDVOB UTILIZATION

PLAN SECTION I-MBE PARTICIPATION

MBE FIRM		DESCRIPTION OF WORK	CONTRACT INFORMATION	
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				

CONTRACTOR'S DETAILED MBE/WBE/SDVOB UTILIZATION PLAN

SECTION II-WBE PARTICIPATION

WBE FIRM		DESCRIPTION OF WORK	CONTRACT INFORMATION	
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				

CONTRACTOR'S DETAILED MBE/WBE/SDVOB UTILIZATION PLAN

SECTION III - SDVOB PARTICIPATION

SDVOB FIRM		DESCRIPTION OF WORK	CONTRACT INFORMATION	
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				
NAME			CONTRACT AMOUNT	
ADDRESS			DATE OF CONTRACT	
			SCHEDULE START DATE	
CERTIFICATION			PAYMENT SCHEDULE	
CONTACT PERSON			COMPLETION DATE	
PHONE				
EMAIL				

MBE/WBE/SDVOB LETTER OF INTENT

PROJECT: _____

TO: _____

(Name of Bidder)

_____ intends to perform work on the above project as a: (Check One):
(MBE/WBE/SDVOB Subcontractor)

_____ MBE

_____ WBE

_____ SDVOB

The above-identified (MBE/WBE/SDVOB) is prepared to perform the following described work in connection with the above project:

at the following price: _____

You have projected the following commencement date for such work, and the undersigned is projecting completion of such work as follows:

Projected Start Date: _____

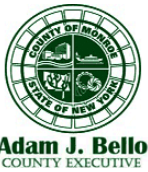
Completion Date: _____

With respect to the proposed subcontract described above, _____% of the dollar value of such subcontract will be sublet and/or awarded to non-MBE/WBE/SDVOB contractors or non-MBE/WBE/SDVOB suppliers. The undersigned will enter into a formal agreement for the above work with you conditioned upon your execution of a contract with the County of Monroe.

Date

Name of MBE/WBE/SDVOB Contractor

Authorized Signature



APPLICATION FOR WAIVER OF MBE/WBE/SDVOB PARTICIPATION GOAL

Section 1: Basic Information					
Contractor's Name:			E-Mail Address:		
Street Address:			Telephone:		
City, State, Zip Code			Bid/RFQ/RFP Title:		
MBE Goal %12		WBE Goal 3%		SDVOB Goal 6%	
Section 2: Type of MBE/WBE/SDVOB Waiver Requested					
MBE Waiver	☐ Total	☐ Partial	If partial waiver, please enter the revised MBE percentage:		
WBE Waiver	☐ Total	☐ Partial	If partial waiver, please enter the revised WBE percentage:		
SDVOB Waiver	☐ Total	☐ Partial	If partial waiver, please enter the revised SDVOB percentage:		
Please explain the reason for the waiver request (additional pages may be attached):					
Section 3: Supporting Documentation					
Provide the following documentation as evidence of your best efforts to meet the MBE/WBE/SDVOB goals set forth in the contract and in support of your waiver application. If Attachment F is applicable, you must include the date on the space provided and copies of the notice of application receipt.					
☐ Attachment A. List of the general circulation, trade and MBE/WBE/SDVOB-oriented publications and dates of publications soliciting for certified MBE/WBE/SDVOB participation as a subcontractor/supplier and copies of such solicitation. ☐ Attachment B. List of the certified MBE/WBE/SDVOB appearing in the NY State M/WBE and SDVOB directories, the Federal SDVOSB Directory and the Monroe County M/WBE Directory that were solicited for this contract. Provide proof of dates or copies of the solicitations and copies of the responses made by the certified MBE/WBE/SDVOB s. Describe specific reasons that responding certified MBE/WBE/SDVOBs were not selected for subcontracting. ☐ Attachment C. Descriptions of the contract documents/plans/specifications made available to certified M/WBEs by the contractor when soliciting their participation and steps taken to structure the scope of work for the purpose of subcontracting with or obtaining supplies from certified MBE/WBE/SDVOBs. ☐ Attachment D. Description of the negotiations between the contractor and certified MBE/WBE/SDVOB s for the purposes of complying with the MBE/WBE/SDVOB goals of this contract. ☐ Attachment E. Identify dates of any pre-bid, pre-award, or other meetings attended by contractor, if any, scheduled by Monroe County with certified MBE/WBE/SDVOB. ☐ Attachment F. Waiver Pending ESD, OGS, or Monroe County Certification (Check here if subcontractors or suppliers of Contractor are not certified MBE/WBE/SDVOB, but an application for certification has been filed with New York State or Monroe County). Date of such filing with New York State: Must provide a copy of notice of application receipt issued by Empire State Development (ESD), Office of General Services (OGS) or an application statement form DEI/M/WBE-SDVOB: _____ ☐ Attachment G: List of all proposed subcontractors and the scope of work they will perform, regardless of certification status. ☐ Attachment H. Other information deemed relevant to the request.					
Section 4: Signature and Contact Information					
By signing and submitting this form, the contractor certifies that best efforts were made to promote MBE/WBE/SDVOB participation pursuant to the MBE/WBE/SDVOB requirements set forth under the contract. Failure to submit complete and accurate information may result in a finding of noncompliance, non-responsibility, and a suspension or termination of the contract.					
Prepared By: (Signature)					Date:

FOR DEI USE ONLY

Reviewed By:

Date:

Decision

- ☐ Full MBE waiver granted
☐ Partial MBE waiver granted: revised MBE goal ____%
☐ MBE waiver denied
☐ Full WBE waiver Granted
☐ Partial WBE waiver granted: revised WBE goal ____%
☐ WBE waiver denied
☐ Full SDVOB waiver granted
☐ Partial SDVOB waiver granted: revised MBE goal ____%
☐ SDVOB waiver denied

Approved By:

Date:

Date Notice of Determination Sent:

Comments:

FOR Monroe County DEI ONLY

Reviewed By:

Date:

Waiver Granted:

- ☐ Yes ☐ No
☐ MBE ☐ WBE ☐ SDVOB
☐ Total Waiver
☐ Partial Waiver
☐ ESD/OGS/Monroe County Certification Waiver
☐ *Conditional
☐ *Notice of Deficiency Issued

Comments

MONROE COUNTY MBE/WBE/SDVOB MONTHLY REPORT

PROJECT: _____ **Your Firm Name:** _____
CONTRACT: _____ **Contact Person:** _____
CURRENT MONTH: _____ **Phone Number:** _____

FIRM NAME	MBE/WBE/ SDVOB	ESTIMATED CONTRACT CURRENT AMOUNT	PAYMENTS PRIOR TO CURRENT MONTH	PAYMENTS CURRENT MONTH	ESTIMATED DOLLAR VALUE OF REMAINING WORK	CONTRACT STATUS C - Date Completed E - Est. Comp. Date	DESCRIPTION OF WORK DONE AND SUB- CONTRACTOR'S PERFORMANCE: INDICATE D-M-Y (SEE NOTE #1)

- NOTES:**
1. If no comments are provided, it is assumed performance is acceptable.
 2. Attach to this the monthly copies of canceled checks or other proof of payment to the MBE/WBE/SDVOB.

MBE/WBE/SDVOB AFFIDAVIT OF PAYMENT

STATE OF NEW YORK:

SS:

COUNTY OF MONROE:

_____, BEING DULY SWORN, deposes and says:

1. I am the _____ of _____
(CONTRACTOR), a company duly authorized to conduct business in the State of New York and that I have full authority to execute this document on behalf of said CONTRACTOR.
2. That CONTRACTOR entered into a contract dated _____ with _____
(Subcontractor) for the performance of the following scope of services:

3. That Subcontractor is believed by CONTRACTOR to be a bona fide minority or women's business enterprise (MBE or WBE respectively) as defined by the Agreement between the CONTRACTOR and the OWNER for

(Contract Name or Title)
4. That the Subcontractor did actually perform the services described above.
5. That as compensation for work previously performed and vouchered for, the CONTRACTOR has paid to the Subcontractor _____ (\$ _____) and that said sum represents all sums due and owing to date for the Subcontractor's performance except _____ (\$ _____) which remains unpaid because

6. That I make the foregoing statements with full knowledge that the information contained herein will be used and relied upon by one (1) or more public servants in the performance of official duties.
7. I am aware that Section 210 of the New York State Penal Law provides that deliberately making a sworn false statement with intent to mislead a public servant in the performance of his official duties is a crime and that my making a false statement in this document constitutes a violation of that section and subjects me to possible criminal prosecution.

IN WITNESS WHEREOF, the CONTRACTOR has caused this certificate to be duly executed by the undersigned officer who is duly authorized to do so.

CONTRACTOR: _____

By: _____
(Title)

(ACKNOWLEDGEMENT BY CONTRACTOR, IF A CORPORATION)

STATE OF NEW YORK:

SS:

COUNTY OF MONROE:

On this ____ day of _____, 20____, before me personally came _____ to me known, who being duly sworn, did depose and say that he resides in _____; that he/she is the _____ of the _____, Corporation described herein and which executed the foregoing instrument; and that he/she knows the Seal of said Corporation; that the seal affixed to the instrument is such Corporate Seal; that it was so affixed by order of the Board of Directors of said Corporation and that he/she signed his/her name thereto by like order.

Notary Public

(ACKNOWLEDGEMENT BY CONTRACTOR, IF A PARTNERSHIP)

STATE OF NEW YORK:

SS:

COUNTY OF MONROE:

On this ____ day of _____, 20____, before me personally came _____ to me known and known to me to be a member of the firm of _____, and known to me to be an individual described in, and who executed the foregoing instrument in the firm name of _____ and he/she duly acknowledged to me that he executed the same for and in the behalf of said firm for the uses and purposes mentioned therein.

Notary Public

(ACKNOWLEDGEMENT BY INDIVIDUAL CONTRACTOR)

STATE OF NEW YORK:

SS:

COUNTY OF MONROE:

On this ____ day of _____, 20____, before me personally came _____ to me known and known to me to be the person described in and who executed the foregoing instrument and duly acknowledged that he/she executed the same.

Notary Public

Appendix E

Program Budget Template

**Monroe County Department of Human
Services Appendix E Budget Proposal**

Contractor Name:	
Contract Period:	
Contracted Service:	
Person Completing this Budget:	
Title and Phone Number:	
Email Address:	

Program Income	Last Year Actual	Budget Year
		0
MCDSS Contract		
Other Government Contracts		
Foundation / Grant Support		
Contributions / Fundraising		
G&A Income Allocation		
Other Income		
Total Program Income	\$ 0	\$ 0

Expense Budget	0		0	
	Total Program Cost	Total Program Cost	Cost to be Reimbursed by MCDSS	
Personal Services:				
Management Salaries		0	0	
Direct Staff Salaries		0	0	
Support Staff Salaries		0	0	
Admin Staff Salaries		0	0	
Other Staff Salaries		0	0	
Total Staff Salaries	0	0	0	
Fringe Benefits <i>Rate: 0.00</i>		0	0	
Total Personal Services	\$ 0	\$ 0	\$ 0	
Other Than Personal Services (OTPS):				
G&A Allocation [capped at 15% of Personal Services] <i>Rate:</i>		0	0	
Occupancy		0	0	
Telephone		0	0	
Program Expenses		0	0	
Office Supplies and Printing		0	0	
Consulting / Subcontracts		0	0	
Leased Equipment		0	0	
Expensed Equipment		0	0	
Total OTPS	\$ 0	\$ 0	\$ 0	
Total Expenses	\$ 0	\$ 0	\$ 0	
Program Surplus / (Deficit)	\$ 0	\$ 0		
# Served (<i>client, case, bed night, etc</i>)				
Cost Per				

Personal Services Detail

Please indicate weekly full-time hours: (35, 37.5, 40)

Position Title	Annual Salary	# of Hrs Worked per Week	# of Months on Program	% Effort on Program	FTE	Allocated Program Salary	Salary to be Reimbursed by MCDSS
Management Staff:							
Total Management Staff							
Direct Staff:							
Total Direct Staff							
Support Staff:							
Total Support Staff							
Administrative Staff:							
Total Administrative Staff							
Other Staff:							
Total Other Staff							
Total of All Staff							
Fringe Benefits*	Audit Year-End Date:		Total Salaries:		Total Benefits:		Fringe Rate:
Audited Information:							0.00

*Please attach a copy of the page from your most recent audited financial statement that details your agency's total payroll and total benefits.

0
0

Consulting & Equipment Detail

Budget Item	Total Program Cost	Cost to be Reimbursed by MCDSS
Consulting / Subcontract costs:		
Total Consulting / Subcontract	\$ 0	\$ 0
Leased Equipment:		
Total Leased Equipment	\$ 0	\$ 0
Expensed Equipment:		
Total Expensed Equipment	\$ 0	\$ 0