

**WESTCHESTER/PUTNAM LOCAL WORKFORCE INVESTMENT  
AREA**

**INVITATION TO SUBMIT PROPOSALS  
FOR THE PROVISION OF**

**THE 2015 VOLUNTEER INCOME TAX ASSISTANCE PROGRAM  
(VITA)**

**PROPOSAL ISSUE DATE: Friday October 10, 2014**

**PROPOSAL DUE DATE: Thursday November 6, 2014 @ 4:00pm**

Interested parties may obtain the complete Request for Proposals (“RFP”), including application, from either the Westchester County website for RFPs at [www.westchestergov.com/rfp](http://www.westchestergov.com/rfp) or from the Westchester Putnam One-Stop website [www.westchesterputnamonestop.com](http://www.westchesterputnamonestop.com).

**I. INTRODUCTION**

**A. Announcement**

The Westchester County Department of Social Services (the “Department”), on behalf of the Westchester/Putnam Workforce Investment Board (“LWIB”), invites proposals from qualified firms (“proposers”) to operate the 2015 Volunteer Income Tax Assistance (“VITA”) Program for the low-income residents who reside or work in Westchester County, for the period from January 1, 2015 through December 31, 2015.

This Request for Proposal (RFP) expects to award one contract. Funding for the contract resulting from this RFP will be made from the local Department of Social Services Flexible Fund for Family Services (FFFS) and a grant from Single Stop USA.

One original signed proposal and three (3) completed copies of the proposal **MUST** be received no later than **4:00 pm EDT on Thursday, November 6, 2014** at the following address:

Ali Tarchoun  
Westchester Putnam Workforce Investment Board  
120 Bloomingdale Road, 2<sup>nd</sup> Floor  
White Plains, New York 10605

## **B. Information Session**

An informational session for prospective proposers will be held on **Thursday October , 16, 2014 from 3:00pm–4:00 pm** at the Westchester One-Stop Employment Center, 120 Bloomingdale Road, White Plains, New York, 10605 Conference Room E.

## **C. Request for Clarification**

Requests for clarification on any aspect of this RFP MUST be written and submitted to Ali Tarchoun , via e-mail at [att1@westchestergov.com](mailto:att1@westchestergov.com) no later than **Wednesday October 15, 2014 at 3:00pm**. Responses to the requests for clarification will be posted at [www.westchesterputnamonestop.com](http://www.westchesterputnamonestop.com)

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

## **D. Eligible Respondents**

Proposers may be a collaborative that includes several partners that have committed to perform specific functions, and/or a corporation, public or private, in which the lead applicant has a minimum of two (2) years of experience in preparing individual tax returns.

# **II. PROGRAM OVERVIEW**

## **A. Background**

Research indicates that about 15 to 20 percent of taxpayers who qualify for tax credits failed to apply because they were unaware or could not get help to file the tax forms. In response to this problem, beginning in 2005 Westchester County started an initiative in collaboration with several community partners called the Westchester County Volunteer Income Tax Assistance Program. This initiative was designed to help low/moderate income individuals, families with children and elderly residents prepare their tax returns for free. By providing free tax services individuals have an alternative to fee-based services/products and incurring interest bearing loans. Under the supervision of the Westchester County Office of Workforce Investment, the County provides free tax preparation services at VITA tax sites located throughout the County from January to April.

## **B. Goals**

1. Help low-moderate income working families by promoting free tax preparation as an alternative to fee-based services, products, and loans.
2. Expand collaboration of partners to strengthen each organization's outreach efforts, coordinate and link technical assistance to local affiliates.
3. Expand the program into more local communities and to businesses.

## **C. Recruitment**

Proposer will be responsible for the recruitment and training of volunteers. Each volunteer must meet the qualifications required by the IRS for volunteer Tax Preparers. Westchester County will provide the training locations.

## **D. Marketing and Promotion**

Promotion materials will be developed by Westchester County to help inform eligible employees, affiliates and customers about the tax credits, motivate them to file their tax return and link individuals with opportunities to obtain free tax filing assistance. Outreach material will include brochures, posters, flyers, bus cards, and the internet. Information will be disseminated via:

- Press releases
- Countywide letter campaign to housing authorities, libraries, Head Start/Daycare centers, local businesses, and United Way 211
- Letter to recipients of Temporary Assistance to Needy Families (TANF)
- Distribution of flyers and brochures to community-based organizations, faith-based organization, and libraries.
- E-mail blasts to Westchester residents who registered their e-mail accounts with the County.

## **E. Program Models**

The VITA program provides two options for taxpayers to get their tax returns completed: the Traditional VITA Site and the Self-Service using My Free Taxes. These options are being offered to allow for the expansion of services to the economically disadvantaged, make tax return preparation and filing easier, and reduce the burden on individual taxpayers. These alternative methods can be used to provide services to taxpayers with minimum amount of volunteers.

### **1. Traditional VITA Site**

The traditional VITA Site will offer face-to-face interviews with the taxpayer. The return is prepared by the tax preparer and e-filed the same day or filed by the taxpayer, at the taxpayer's expense, via regular mail. The tax site accepts both appointments as walk-ins.

## Single Stop USA

Single Stop USA has provided funding that enables the County to provide tax preparation services solely to the students at Westchester Community College Valhalla campus and families of the students. The location has (5) paid tax preparers that in addition provide financial literacy and housing assistance before and after the tax season.

Tax sites are opened from February 3<sup>rd</sup> through April 25<sup>th</sup> and are located in various communities throughout Westchester County.

Location	Days	Proposed Hours	Total Hours/Week Performance Goals
White Plains: Westchester/Putnam One-Stop Employment Center 120 Bloomingdale Rd.	Tuesday Thursday Saturday	11-7 pm 11-7 pm 9-12:00 pm	Goals: 1) Site open 20 hrs/wk; 2) 800 tax returns filed;
Mt. Vernon: Mt Vernon One-Stop Employment Center, 100 East First Street	Wed and Fri	9-5 pm	Goals: 1) 16 hrs/wk and 2) 550 tax returns filed
Yonkers: Educational Opportunity Center of Westchester, 26 South Broadway	Mon, Tuesday and Thursday	11-7 pm	Goals: 1) 30 hrs/wk and 2) 600 tax returns filed
Ossining: Interfaith Council for Action, 138 Spring Street.	Mon-Fri	Appointment only	Goals: 1) 40 hrs/wk and 2) 900 tax returns filed;
Valhalla: Westchester Community College, 75 Grassland Rd	Mon- Saturday	Walk-ins	Goals: 1) 40 hrs/wk and 2) 1,000 tax returns filed;

## 2. Self-Service Using - MyFree Taxes

For those individuals who are able to prepare their own tax returns, the MyFree Tax website is available. This innovative service allows for taxpayers to do their own taxes for free, using a web-based program. Although this service is available to the public free of charge, through the partnership with the IRS and United Way, MyFree Taxes will grant all VITA programs a special portal by which Taxpayers will be able to complete and e-file the tax returns and the site

will receive the credit for a completed return.

This self-service does not require a certified volunteer to be onsite and can be accessed from any computer. The taxpayer will be given the link required to access the system or the URL can be saved on a bank of computers at the tax site.

Taxpayers who start the tax return but later decide they need assistance can schedule an appointment or walk in to the traditional VITA site to see a certified tax preparer.

To accommodate the various needs of taxpayers utilizing the site specific URL's who later decide they may need additional assistance, Proposers must have in place at each site volunteers that are equipped to:

- Prepare staff with knowledge of the usage of the URL
- Address non-English speaking taxpayers

**F. Staffing:** The successful Proposer will be responsible for hiring and training all staff. Each tax site must be staffed with IRS certified Tax Site Coordinator(s) and tax preparers (paid and unpaid).

**1. VITA Site Coordinators**

- a. Obtains Advance IRS certification.
- b. Manages VITA Site according to the IRS rules and requirements.
- c. Must be on-site at all times
- d. Prepares tax preparers work schedules and answers volunteer questions.
- e. Ensures that all volunteers are certified and ensures that volunteers only prepare returns within their scope.
- f. Provides quality review of all tax returns with the taxpayer
- g. E-files all tax returns
- h. Corrects all rejected tax returns
- i. Submits weekly reports
- j. Provides on-going training and support to staff
- k. Prepare tax returns, when the site is experiencing heavy volume or short staffed.

**2. Tax Preparers**

- a. All volunteer tax preparers are trained and certified up to the intermediate level.
- b. Prepare Federal and State tax returns for 2014, 2013 and/or 2012.
- c. Conduct an interview with taxpayer/s and complete applicable portions of Form 13614-C, Intake/Interview & Quality Review Sheet.

**3. Bilingual Intake Specialists (Extra Points)**

There a number on taxpayers who come to the tax site in need of a translator to

assist in completing the tax return. Extra points will be given to the Proposer if these services are made available

**G. Proposed Timetable**

November 2014	Volunteer Recruitment
January 2015	Staff training
February 2015	Tax Site open

**III. SCOPE OF WORK**

**1. Recruitment and Training of Volunteers**

Recruitment begins the month of November 2014. The most effective recruitment measures should be directed toward past volunteers , retirees, businesses, and accounting students through partnerships with local colleges. The Proposer may have a third party listed to assist with recruitment and training of volunteers. This must be reflected in the response to the proposal and a budget must be included.

**2. Management of Tax Sites**

The County will select one (1) proposer to coordinate all of the VITA sites. The proposer must confirm the minimum hours of operation with any proposed adjustments or additional hours submit an operational budget, provide a description of partners, services, and how sites will meet or exceed the projected goal for number of prepared returns per site.

**3. Staff Requirements**

The successful Proposer will be responsible for hiring and training staff for each site. Staff may consist of all paid or a combination of paid and unpaid (volunteer) staff. The site must be staffed with at least one (1) paid Tax Site Coordinator and two paid tax preparers (WCC tax site required five (5) paid staff).

It is the Proposer’s responsibility to ensure 1.) that qualified staff are hired and 2.) there is adequate staff coverage.

**4. Training**

The successful Proposer will be responsible for training all staff. IRS VITA regulations requires all staff (paid and unpaid) be IRS certified. Visit <http://apps.irs.gov/app/vita/> to access the exam. The County will provide resource materials to assist in training staff.

## 5. Administrative Requirements

The Westchester County VITA sites are operated under the guidelines of the IRS. Additional information can be found in Publication 1084, IRS Volunteer Site Coordinator(s)'s Handbook. Administrative requirements include but are not limited to the following:

- a. Provide volunteer tax preparation services free of charge.
- b. Prepare tax returns using the TaxWise (each site has a establish EFIN and SIDN).
- c. Abide by the Quality Site Requirements.
  - i. Volunteers Certification - All volunteers who prepare or correct returns, answer tax law questions, review completed returns, or teach tax law must be certified.
  - ii. Intake and Interview Process - All sites must use an intake and interview process. This process must include correct use of an approved intake and interview sheet for every return prepared
  - iii. Availability of Reference Materials - All sites must have reference materials available for use by every volunteer return preparer and quality reviewer, preferably at each workstation.
  - iv. Civil Rights – All sites must display or provide Title VI of the Civil Rights Act of 1964 information to the taxpayer.
  - v. Privacy, Confidentiality, and Security Guidelines - All sites must follow privacy, confidentiality, and security guidelines to ensure taxpayer information is provided reasonable protection threat of identity theft.
  - vi. Quality Review - All sites must use a quality review process, which includes 100 percent review of all returns. This process must include correctly using an approved quality review check sheet for every return.
  - vii. Finished Return - All sites must have processes in place to ensure every return is timely filed or delivered to the taxpayer.
  - viii. Site Identification - All returns prepared must contain the correct and unique Site Identification Number (SIDN).
  - ix. Electronic Filing Controls - All returns prepared electronically must contain the correct Electronic Filing and Identification Number.
- d. Monitor the quality and technical proficiency of your volunteers on an on-going basis
- e. Conduct meetings, issue newsletters, and establish other means of communications to share tax law and other administrative information with volunteers.

- f. Conduct quality site and return reviews to ensure sites are operating in accordance with the IRS and your established procedures. Maintain all review information for the VITA grant year-end report.

#### IV. PROPOSAL REQUIREMENTS

1. **Submission: Proposals** are due no later than **4:00 pm on Thursday November 6, 2014**. Proposers are required to submit one (1) original signed proposal and (3) hard copies, free of all bindings to **Ali Tarchoun c/o the Westchester/Putnam Local Workforce Investment Board, 120 Bloomingdale Road, Room 217 White Plains, New York 10605**.
2. **Format:** Responses to this RFP should be in the format as outlined in **SCHEDULE "A."** Limit narrative to three (3) pages, single spaced pages. Use these headings, subheadings and numbers, the Applicant must give specific responses to the required items listed below and provide enough detail so that your application can be fully considered. If your program is selected for funding the narrative from your proposal will be used as part of your contract.
3. **Price Quote and Budget Narrative: (See SCHEDULE "A")**
4. Proposals **MUST** be signed. Unsigned proposals will be rejected.
5. Proposers may be required to give an oral presentation to the County to clarify or elaborate on the written proposal
6. No proposal will be accepted from nor any agreement awarded to any proposer that is in arrears upon any debt or in default of any obligation owed to the County. Additionally, no agreement will be awarded to any proposer that has failed to satisfactorily perform pursuant to any prior agreement with the Count



## V. EVALUATION CRITERIA

The LWIB shall apply the following evaluation criteria in selecting a proposer with whom to commence contract negotiations. Such criteria are not necessarily listed in order of importance. The selection will be made based upon which proposal best satisfies the interests of the LWIB and is most advantageous to the LWIB, and not necessarily on the basis of price or any other single factor. The LWIB reserves the right to weigh its evaluation criteria in any manner it deems appropriate.

Evaluation of your proposal will be based on the following criteria:

- |  |               |
|--|---------------|
| 1. Organizational History & Experience     | 0- 10 points  |
| 2. Overall Program Approach                | 0- 10 points  |
| 3. Recruitment                             | 0-10 points   |
| 4. Training                                | 0- 10 points  |
| 5. Management of Tax Site                  | 0-10 points   |
| 6. Special Services                        | 0-10 points   |
| 7. Bilingual Services                      | 0-10 points   |
| 8. Price Quote, Budget Summary & Narrative | 0-20 points   |
| 9. Client References                       | 0 – 10 points |

Maximum Points 100 points

## **VI. LEGAL REPRESENTATIONS**

### **UNDERSTANDINGS**

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

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

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

- To reject any or all proposals;
- To issue additional solicitations for proposals;
- To issue amendments to this RFP;
- To waive any irregularities in proposals received after notification to Proposers affected;
- To select any proposal as the basis for negotiations of a contract, and to negotiate with one or more of the Proposers for amendments or other modifications to their proposals;
- To conduct investigations with respect to the qualifications of each Proposer;
- To exercise its discretion and apply its judgment with respect to any aspect of this RFP, the evaluation of proposals, and the negotiations and award of any contract;
- To enter into an agreement for only portions (or not to enter into an agreement for any) of the services contemplated by the proposals with one or more of the Proposers;

- To select the proposal that best satisfies the interests of the County and not necessarily on the basis of price or any other single factor;
- While this is a Request For Proposals and not a bid, the County reserves the right to apply the case law under General Municipal Law § 103 regarding bidder responsibility in determining whether a Proposer is a responsible vendor for the purpose of this RFP process;
- The County assumes no responsibility or liability of any kind for costs incurred in the preparation or submission of any proposal;
- The County is not responsible for any internal or external delivery delays which may cause any proposal to arrive beyond the stated deadline. To be considered, proposals MUST arrive at the place specified herein and be time stamped prior to the deadline.
- Evaluation criteria are not necessarily listed in order of importance. The County reserves the right to weigh its evaluation criteria in any manner it deems appropriate.

## **VII. PROPOSAL REQUIREMENTS**

- Proposals MUST be signed. Unsigned proposals will be rejected.
- Proposers may be required to give an oral presentation to the County to clarify or elaborate on the written proposal.
- No proposal will be accepted from nor any agreement awarded to any Proposer that is in arrears upon any debt or in default of any obligation owed to the County. Additionally, no agreement will be awarded to any Proposer that has failed to satisfactorily perform pursuant to any prior agreement with the County.

## **VIII. CONTRACT**

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

## **IX. NON-COLLUSION**

The proposer, by signing the proposal, does hereby warrant and represent that any ensuing agreement has not been solicited, secured or prepared directly or indirectly, in a manner contrary to the laws of the State of New York and the County of Westchester, and that said laws have not been violated and shall not be violated as they relate to the procurement or the performance of the

agreement by any conduct, including the paying or the giving of any fee, commission, compensation, gift, gratuity or consideration of any kind, directly or indirectly, to any County employee, officer or official.

**X. CONFLICT OF INTEREST**

The award of a contract is subject to provisions of all Federal, State and County laws. All proposers must disclose with their proposals the name of any officer, director or agent who is also an employee of the County of Westchester. Further, all proposers must disclose the name of any County officer, employee, or elected official who owns, directly or indirectly, an interest of ten percent or more in the proposer or any of its subsidiaries or affiliates.

**XI. PROPOSALS SUBJECT TO FREEDOM OF INFORMATION LAW**

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

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

**“NOTICE**

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

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

and

b) clearly identify the pages of the proposals containing such information by typing in bold face on the top of each page:

**“THE PROPOSER BELIEVES THAT THIS INFORMATION IS PROTECTED FROM DISCLOSURE UNDER THE STATE FREEDOM OF INFORMATION LAW.”**

The County assumes no liability for disclosure of information so identified, provided that the County has made a good faith legal determination that the information is not protected from disclosure under applicable law or where disclosure is required to comply with an order or

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

**XIII. PROPOSER INFORMATION, PRICE QUOTE, BUDGET SUMMARY:**

The Agency shall provide a profile on **SCHEDULE "A"** , including organizational history, experience, program approach, staffing, references, price quote, budget summary and narrative

**XIV. MBE/WBE**

Pursuant to Section 308.01 of the Laws of Westchester County, it is the goal of the County to use its best efforts to encourage, promote and increase the participation of business enterprises which are owned and controlled by persons of color or women in contracts and projects funded by the County. Therefore, the County asks Proposers to complete the questionnaire attached hereto as **SCHEDULE "B"**

**XIV. DISCLOSURE FORM:**

To avoid conflicts of interest and the appearance of impropriety, the Proposer shall be required to complete the Disclosure Form attached hereto as **SCHEDULE "C"**.

**XV. CRIMINAL DISCLOSURE FORM**

The Proposer agrees to complete the Criminal Background Disclosure as required by Executive Order No. 1-2008 and attached hereto as **SCHEDULE "D"** which is hereby incorporated by reference.

**XVI. QUALIFIED TRANSPORTATION FRINGE PROGRAM**

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

**XVII. PROPOSER CERTIFICATION**

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

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

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

\_\_\_\_\_  
Proposer Name

By: \_\_\_\_\_  
Name and Title

**ACKNOWLEDGMENT**

STATE OF NEW YORK     )  
                                  ) ss.:  
COUNTY OF                )

On the \_\_\_\_\_ day of \_\_\_\_\_ in the year 20\_\_ before me, the undersigned, personally appeared \_\_\_\_\_, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

Date: \_\_\_\_\_

\_\_\_\_\_

Notary Public

**SOLE CORPORATE OFFICER ACKNOWLEDGMENT**

STATE OF NEW YORK     )  
  ss.:  
COUNTY OF             )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_, before me, the undersigned,  
personally appeared \_\_\_\_\_, personally known to me or  
  (Name of Sole Officer)

proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are)  
subscribed to the within instrument and acknowledged to me that he/she executed the same in  
his/her capacity as President and sole officer and director of \_\_\_\_\_, the  
corporation described in and which executed the  
  (Name of Corporation)

within instrument, and acknowledged that he/she owns all the issued and outstanding capital stock  
of said corporation, and that by he/she signed the within instrument on behalf of said corporation.

Notary Public

\_\_\_\_\_



**CERTIFICATE OF AUTHORITY**  
(CORPORATION)

I, \_\_\_\_\_,  
(Officer other than officer signing contract)

certify that I am the \_\_\_\_\_ of  
(Title)  
the \_\_\_\_\_  
(Name of Corporation)

a corporation duly organized and in good standing under the \_\_\_\_\_ (Law under  
which organized, e.g., the New York Business Corporation Law) named in the foregoing agreement;  
that \_\_\_\_\_  
(Person executing agreement)

who signed said agreement on behalf of the \_\_\_\_\_  
(Name of Corporation)

was, at the time of execution \_\_\_\_\_  
(Title of such person)

of the Corporation and that said agreement was duly signed for and on behalf of said Corporation  
by authority of its Board of Directors, thereunto duly authorized and that such authority is in full  
force and effect at the date hereof.

\_\_\_\_\_  
(Signature)

STATE OF NEW YORK     )  
                                  ) ss.:  
COUNTY OF             )

On the \_\_\_\_ day of \_\_\_\_\_ in the year 20\_\_ before me, the undersigned, a Notary  
Public in and for said State, \_\_\_\_\_ personally appeared, personally known to  
me or proved to me on the basis of satisfactory evidence to be the officer described in and who  
executed the above certificate, who being by me duly sworn did depose and say that he/she resides  
at \_\_\_\_\_, and he/she is an officer of said corporation; that  
he/she is duly authorized to execute said certificate on behalf of said corporation, and that he/she  
signed his/her name thereto pursuant to such authority.

\_\_\_\_\_  
Notary Public  
Date

**SCHEDULE "A"**

Applicant \_\_\_\_\_ (organization) Name: \_\_\_\_\_ Application Contact

Office Phone: \_\_\_\_\_ Email Address: \_\_\_\_\_

1. **Organization History & Experience:** Describe your organization’s overall mission and current staffing configuration (attach an organizational chart). Attach resumes for key staff. Detail your organization’s experience in providing VITA and related tax preparation. Describe your experience in providing the type of service you are proposing. (10 points)
2. **Overall Program Approach:** Describe your overall approach to providing tax services to eligible tax filers and how you will meet IRS requirements for a VITA site. Describe how you propose to meet or exceed the goals established for Westchester VITA sites (i.e., 2200 total returns,). Describe the partners you plan to work with to provide VITA services. (10 points)
3. **Recruitment:** Describe your approach for the recruitment of volunteers. A third party may be listed to assist with recruitment. This must be reflected in the response and a budget must be included. (10 points)
4. **Training:** Describe your approach for the training of staff. IRS VITA regulations requires all staff (paid and unpaid) to be IRS certified. (10 points)
5. **Site Management :** Use the chart below confirm the number of staff, the days and hours of operation, paid staff and (unpaid) volunteers for each site, and the projected number of returns for each site. (10 points)

Site	Number and title of assigned staff	Site days and hours of operation, planned # of tax returns to be filed.

6. **Special Services:** Describe any special services your organization will provide, such as FAFSA assistance, health care information, financial literacy, or services to special populations such as veterans, disabled individuals, students, or the elderly. (10 points)

7. **Bilingual Services:** Describe the Bilingual services you will provide at the tax sites. Include the proposed number of Staff and the days they will be available at the tax site. (10 points)

8. **Price Quote, Budget Summary & Narrative:**

Please provide a total price quote for all services and expenses as well as a budget of all estimated costs involved with your submission attached hereto and made part hereof. This will be used to better understand what staff is going to be used and what expenses are going to be incurred. The funds under this program are for the hiring of staff and reasonable costs that would not have been incurred but for the VITA Program. (20 points)

- a. Using the template below, provide a narrative detailing the proposed expenses for each site. The cost of rent and utilities are **not** allowable cost. (10 points)

Positions	Vita Site 1	Vita Site 2	Vita site 3	Vita 4	Total
VITA Site Coordinator 1					
VITA Site Coordinator 2					
VITA Site Coordinator 3					
VITA Site Coordinator 4					
VITA Tax Preparer 1					
VITA Tax Preparer 2					
Bilingual Intake Specialist 1					
Bilingual Intake Specialist 2					
Fringe Benefits/Taxes					
<b>Other Non-Personnel Costs</b>					
Supplies					
Mileage					
Food and Beverage					
Non-Personnel Total					
Subcontractor Total					

b. Budget Summary and Narrative Single Stop USA

Positions	Single Stop	Total
Site Coordinator		
Tax Preparer 1		
Tax Preparer 2		
Tax Preparer 3		
Tax Preparer 4		
Fringe Benefits/ Taxes		
Bilingual Intake Specialist 1		
Bilingual Intake Specialist 2		
<b>Other non-Personnel Costs</b>		
Food and Beverage		
Non-Personnel Total		
Subcontractor Total		

9. **Client References:** Please provide (3) references from previous clients, including contact information, project worked and the cost. (10 points)

## SCHEDULE "B"

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

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

A "business enterprise owned and controlled by women or persons of color" means a business enterprise, including a sole proprietorship, limited liability partnership, partnership, limited liability corporation, or corporation, that either:

- 1.) meets the following requirements:
  - a. is at least 51% owned by one or more persons of color or women;
  - b. is an enterprise in which such ownership by persons of color or women is real, substantial and continuing;
  - c. is an enterprise in which such ownership interest by persons of color or women has and exercises the authority to control and operate, independently, the day-to-day business decisions of the enterprise; and
  - d. is an enterprise authorized to do business in this state which is independently owned and operated.
  
- 2.) is a business enterprise certified as a minority business enterprise ("MBE") or women business enterprise ("WBE") pursuant to Article 15-a of the New York State Executive Law and the implementing regulations, 9 New York Code of Rules and Regulations subtitle N Part 540 et seq., **OR**
  
- 3.) is a business enterprise certified as a small disadvantaged business concern pursuant to the Small Business Act, 15 U.S.C. 631 et seq., and the relevant provisions of the Code of Federal Regulations as amended.

Please note that the term "persons of color," as used in this form, means a United States citizen or permanent resident alien who is and can demonstrate membership of one of the following groups:

- (a) Black persons having origins in any of the Black African racial groups;
- (b) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin regardless of race;
- (c) Native American or Alaskan native persons having origins in any of the original peoples of North America; or
- (d) Asian or Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian subcontinent or the Pacific Islands.

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

\_\_\_\_\_ No

\_\_\_\_\_ Yes

**Please note: If you answered "yes" based upon certification by New York State and/or the Federal government, official documentation of the certification must be attached.**

2. If you answered "Yes" above, please check off below whether your business enterprise is owned and controlled by women, persons of color, or both.

\_\_\_\_\_ Women

\_\_\_\_\_ Persons of Color (*please check off below all that apply*)

\_\_\_\_\_ Black persons having origins in any of the Black African racial groups

\_\_\_\_\_ Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American descent of either Indian or Hispanic origin regardless of race

\_\_\_\_\_ Native American or Alaskan native persons having origins in any of the original peoples of North America

\_\_\_\_\_ Asian or Pacific Islander persons having origins in any of the Far East countries, South East Asia, the Indian sub-continent or the Pacific Islands

Name of Business Enterprise: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Name and Title of person completing questionnaire: \_\_\_\_\_

\_\_\_\_\_

Signature: \_\_\_\_\_

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Date

**SCHEDULE "C"**

**REQUIRED DISCLOSURE OF RELATIONSHIPS TO COUNTY**

*A potential County consultant must complete this form as part of the proposed County contract.*

- 1.) Are any of the employees that the Consultant will use to carry out this contract also a County officer or employee, or the spouse, child, or dependent of a County officer or employee?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, please provide details (attach extra pages, if necessary): \_\_\_\_\_  
\_\_\_\_\_

- 2.) Are any of the owners of the Consultant or their spouses a County officer or employee?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, please provide details (attach extra pages, if necessary): \_\_\_\_\_  
\_\_\_\_\_

- 3.) Do any County officers or employees have an **interest**<sup>1</sup> in the Consultant or in any approved subcontractor that will be used for this contract?

Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, please provide details (attach extra pages, if necessary): \_\_\_\_\_  
\_\_\_\_\_

By signing below, I hereby certify that I am authorized to complete this form for the Consultant.

\_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> "Interest" means a direct or indirect pecuniary or material benefit accruing to a County officer or employee, his/her spouse, child or dependent, whether as the result of a contract with the County or otherwise. For the purpose of this form, a County officer or employee shall be deemed to have an "interest" in the contract of:

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

## **SCHEDULE "D"**

### **CONSULTANT** **CRIMINAL BACKGROUND DISCLOSURE** **INSTRUCTIONS**

Pursuant to Executive Order 1-2008, the County is required to maintain a record of criminal background disclosure from all persons providing work or services in connection with any County contract, including leases of County-owned real property and licenses:

- a.) If any of the persons providing work or services to the County in relation to a County contract are not subject to constant monitoring by County staff while performing tasks and/or while such persons are present on County property pursuant to the County contract; and
- b.) If any of the persons providing work or services to the County in relation to a County contract may, in the course of providing those services, have access to sensitive data (for example SSNs and other personal/secure data); facilities (secure facilities and/or communication equipment); and/or vulnerable populations (for example, children, seniors, and the infirm).

In those situations, the persons who must provide a criminal background disclosure ("Persons Subject to Disclosure") include the following:

- a.) Consultants, Contractors, Licensees, Lessees of County-owned real property, their principals, agents, employees, volunteers or any other person acting on behalf of said Contractor, Consultant, Licensee, or Lessee who is at least sixteen (16) years old, including but not limited to Subconsultants, subcontractors, Sublessess, or Sublicensees who are providing services to the County, and
- b.) Any family member or other person, who is at least sixteen (16) years old, residing in the household of a County employee who lives in housing provided by the County located on County property.

Under Executive Order 1-2008, it is the duty of every County Consultant, Contractor, Licensee, or Lessee to inquire of each and every Person Subject to Disclosure and disclose whether they have been convicted of a crime or whether they are subject to pending criminal charges, and to submit this form with that information.<sup>2</sup> Accordingly, you are required to complete the attached Criminal Background Disclosure Form and Certification.

Please note that under no circumstances shall the existence of a language barrier serve as a basis for the waiver of or an exception from the disclosure requirements of Executive Order 1-2008. If translation services are required by the Consultant, Contractor, Licensee, or Lessee to fulfill this obligation, it shall be at the sole cost and expense of the Consultant, Contractor, Licensee, or Lessee.

Please also note that the conviction of a crime(s) and/or being subject to a pending criminal charge(s) will not automatically result in a denial of a person's right to work on a County contract, right to be on County property, or license, but may, if the County determines that the prior

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<sup>2</sup> For these disclosures, a "crime" or "pending criminal charge" includes all felonies and misdemeanors as defined under the New York State Penal Law or the equivalent under Federal law or the laws of any other State.



conviction(s) or pending criminal charge(s) create an unacceptable risk. However, if a person fails to list or falsifies any part of his/her conviction history or any pending criminal charge(s) for any reason, he/she may be prohibited from working or being on County property without any risk assessment. If it is later determined that a Person Subject to Disclosure failed to disclose a criminal conviction or pending criminal charge for any reason, his/her right to work on a County contract, be on County property, or license may be terminated at any time.

Please further note that, pursuant to Executive Order 1-2008, and subject to the applicable provisions of New York Correction Law §§ 752 and 753, the County has the right to bar a Person Subject to Disclosure from providing work or services to the County or from being on County property if any such person has:

- a.) A conviction of a crime(s);
- b.) A pending criminal proceeding for a crime(s); or
- c.) Refused to answer questions concerning his/her criminal background

Please finally note that any failure by a County Consultant, Contractor, Licensee, or Lessee to comply with the disclosure requirements of Executive Order 1-2008 may be considered by the County to be a material breach and shall be grounds for immediate termination by the County of the related County contract.

### **Exemptions**

Executive Order 1-2008 exempts from the aforementioned disclosure requirements Persons Subject to Disclosure:

- a.) for whom the County has already conducted a background check and issued a security clearance that is in full force and effect; and
- b.) for whom another state or federal agency having appropriate jurisdiction has conducted a security and/or background clearance or has implemented other protocols or criteria for this purpose that apply to the subject matter of a County contract that is in full force and effect.

If you are claiming an exemption for one or more Persons Subject to Disclosure, you must notify the Procuring Officer<sup>3</sup>. The Procuring Officer will then determine whether the Person(s) Subject to Disclosure are actually exempt, and provide written notification of his/her determination. If the Procuring Officer determines that a Person Subject to Disclosure is not exempt, the Procuring Officer will notify you of that determination, and you will have to include disclosures for that person on your Criminal Background Disclosure Form and Certification.

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<sup>3</sup> Procuring Officer” shall mean the head of the department or the individual or individuals authorized by the head(s) of the department(s) undertaking the procurement and with respect to those matters delegated to the Bureau of Purchase and Supply pursuant to Section 161.11(a) of the Laws of Westchester County, the Purchasing Agent.

**Subconsultants, Subcontractors, Sublessees, or Sublicensees**

Under Executive Order 1-2008, it is your duty to ensure that any and all approved subconsultants, subcontractors, sublessees, or sublicensees complete and submit the attached Criminal Background Disclosure Form and Certification for all of their respective Persons Subject to Disclosure. This must be done before such a subconsultant, subcontractor, sublessees, or sublicensees can be approved to perform work on a contract.

**New Persons Subject to Disclosure**

Under Executive Order 1-2008, you have a **CONTINUING OBLIGATION** to maintain the accuracy of the Criminal Background Disclosure Form and Certification (and any accompanying documentation) for the duration of this contract, including any amendments or extensions thereto. Accordingly, it is your duty to complete and submit an updated Criminal Background Disclosure Form and Certification whenever there is a new Person Subject to Disclosure for this contract. **NO NEW PERSON SUBJECT TO DISCLOSURE SHALL PERFORM WORK OR SERVICES OR ENTER ONTO COUNTY PREMISES UNTIL THE UPDATED CRIMINAL BACKGROUND DISCLOSURE FORM AND CERTIFICATION IS FILED WITH THE PROCURING OFFICER.** You shall also provide the County with any other updates that may be necessary to comply with the disclosures required by Executive Order 1-2008.

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*PLEASE CONTINUE TO THE*

***Criminal Background Disclosure Form and Certification***

*BEGINNING ON THE NEXT PAGE*

Contract #: \_\_\_\_\_  
Name of Consultant, Contractor, Lessee, or Licensee: \_\_\_\_\_

**CRIMINAL BACKGROUND DISCLOSURE**  
**FORM AND CERTIFICATION**

If this form is being completed by a subconsultant, subcontractor, sublessee, or sublicensee, please consider all references in this form to “consultant, contractor, lessee, or licensee” to mean “subconsultant, subcontractor, sublessee, or sublicensee” and check here: \_\_\_\_\_

I, \_\_\_\_\_, certify that I am a principal or a  
(Name of Person Signing Below)

representative of the Consultant, Contractor, Lessee, or Licensee and I am authorized to complete and execute this Criminal Background Disclosure Form and Certification. I certify that I have asked each Person Subject to Disclosure the following questions:

- **Have you or your company ever been convicted of a crime (all felonies and misdemeanors as defined under the New York State Penal Law or the equivalent under Federal law or the laws of any other State) including, but not limited to, conviction for commission of fraud, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property?**
- **Are you or your company subject to any pending criminal charges (all felonies and misdemeanors as defined under the New York State Penal Law or the equivalent under Federal law or the laws of any other State)?**

I certify that the names and titles of Persons Subject to Disclosure who refused to answer **either** of the questions above are:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

(If more space is needed, please attach separate pages labeled “REFUSED to Answer - Continued.”)

I certify that the names and titles of Persons Subject to Disclosure who answered "Yes" to **either of the** questions above are:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

(If more space is needed, please attach separate pages labeled "YES Answers - Continued.")

Each Person Subject to Disclosure listed above who has either **been convicted of a crime(s)** and/or **is subject to a pending criminal charge(s)** must answer additional questions. Those questions are below.

A Person Subject to Disclosure who has **been convicted of a crime(s)** must respond to the following (please attach separate pages with responses for each person, with their name and title):

- 1.) Describe the reason for being on County property if applicable, identify the specific duties and responsibilities on this project which you intend to perform for the County, including but not limited to, access to sensitive data and facilities and access to vulnerable populations.
- 2.) Please list all criminal convictions along with a brief description of the crime(s) (including all felonies and misdemeanors as defined under the New York State Penal Law or the equivalent under Federal law or the laws of any other State).
- 3.) Please provide the date and place of each conviction.
- 4.) Please provide your age at the time of each crime for which you were convicted.
- 5.) Please provide the legal disposition of each case.
- 6.) Please provide any information either produced by yourself or someone on your behalf in regards to your rehabilitation and good conduct.

A Person Subject to Disclosure who **is subject to a pending criminal charge(s)** must respond to the following (please attach separate pages with responses for each person, with their name and title):

- 1.) Describe the reason for being on County property and if applicable, identify the specific duties and responsibilities on this project which you intend to perform for the County, including but not limited to, access to sensitive data and facilities and access to vulnerable populations.
- 2.) Please identify all pending criminal charges (all felonies and misdemeanors as defined under the New York State Penal Law or the equivalent under Federal law or the laws of any other State).
- 3.) Please briefly describe the nature of the pending charges and the date upon which it is alleged that a crime was committed.

I hereby certify that all of the information provided herein (and in any and all attachments) is true and accurate and that all disclosures required by Executive Order 1-2008 and this Criminal Background Disclosure Form and Certification have been completed. By my signature below, I hereby affirm that all of the facts, statements and answers contained herein (and in any and all attachments) are true and correct. I understand that providing false or incomplete information or withholding by omission or intention pertinent information will be cause for refusing further consideration of my being utilized under this contract.

**It is understood and agreed that no Person Subject to Disclosure shall perform work or services or enter onto County property until this required Criminal Background Disclosure Form and Certification is filed with the Procuring Officer.**

**It is understood and agreed that to the extent that new Persons Subject to Disclosure are proposed to perform work or provide services under this contract after filing of this Criminal Background Disclosure Form and Certification with the Procuring Officer, such new Persons Subject to Disclosure shall not perform work or provide services or enter into County property until an updated Criminal Background Disclosure Form and Certification has been filed with the Procuring Officer.**

**It is further understood and agreed that the consultant, contractor, lessee, or licensee has a continuing obligation to maintain the accuracy of the Criminal Background Disclosure Form and Certification for the duration of this contract, including any amendments or extensions thereto, and shall provide any updates to the information to the County as necessary to comply with the requirements of Executive Order 1-2008.**

\_\_\_\_\_

Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Date

**SCHEDULE "E"**

**ENROLLMENT IN A QUALIFIED TRANSPORTATION FRINGE PROGRAM**

Pursuant to Executive Order 7-2005, each contractor, concessionaire, or vendor ("Contractor") doing business with the County must enroll in a Qualified Transportation Fringe program, as defined in §132(f)(1) of the Internal Revenue Code, ("QTFP") when:

- 1.) the County is committed to pay over to the Contractor funds for services which are to be provided to or on behalf of the County, the total value of which is at least \$100,000 in any twelve month period during the contract term, **and**
- 2.) the Contractor employs more than 25 individuals who utilize public transportation and/or pay for commuter parking at least one day per week, regardless of whether those employees are engaged in work pursuant to the County contract.

Accordingly, each Contractor must complete this form concerning its enrollment in a QTFP.

I certify that, under Executive Order 7-2005, \_\_\_\_\_:  
(Name of Contractor)

\_\_\_ **is required** to be enrolled in a QTFP and:

*(please check off only one option)*

- \_\_\_ is enrolled in a QTFP
- \_\_\_ has initiated the process of enrolling in a QTFP<sup>4</sup>
- \_\_\_ is requesting a waiver from compliance with Executive Order 7-2005 because:  
*(please check off only one option and attach a detailed explanation)*
  - \_\_\_ the Contractor has an inability to comply
  - \_\_\_ hardship would result from compliance

\_\_\_ **is not required** to be enrolled in a QTFP because:

*(please check off all that apply)*

- \_\_\_ the total value of this contract is less than \$100,000 for any twelve month period during the contract term
- \_\_\_ the Contractor employs 25 or fewer individuals who utilize public transportation and/or pay for commuter parking at least one day per week, regardless of whether those employees are engaged in work pursuant to the contract.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

<sup>4</sup> Pursuant to Executive Order 7-2005, the contractor shall notify, in writing, the appropriate personnel in the County department charged with administration of the contract, upon the commencement of its participation in a QTFP.

**FOR COUNTY USE ONLY**

Waiver is: \_\_\_ Approved  
          \_\_\_ Disapproved

\_\_\_\_\_  
Commissioner or Department Head

\_\_\_\_\_  
Date

