

**TOWN OF HEMPSTEAD  
LOCAL WORKFORCE  
INVESTMENT BOARD**

**REQUEST FOR PROPOSALS  
FOR  
YOUTH ACADEMIC AND  
OCCUPATIONAL LEARNING  
CURRICULUM**

**JANUARY, 2010**

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**A. Selection Process**

The LWIB will review proposals and funding will be made available to applicants whose proposals represent the best overall value to the Local Workforce Investment Area. The Board may award a contract for any and all parts of the proposal and may negotiate contract terms and conditions to meet program requirements consistent with this RFP.

Applicants will be rated on a 100-point rating system, as indicated below:

Curriculum	60 points
Past Experience	15 points
Budget	25 points
Total	100 points

To be eligible to receive an award a proposal must be fully completed, contain all required documentation, and achieve a minimum score of 70 points.

**FAILURE TO MEET MINIMUM REQUIREMENTS WILL RESULT IN AUTOMATIC REJECTION OF THE APPLICATION.**

**B. Contact Information**

**Name of Organization:**

**Address:**

**Telephone Number:**

**Fax Number:**

**Contact Person:**

**Title of Contact Person:**

**Name of Official to Sign Contract:**

**Title of Authorized Official:**

**Signature of Authorized Official:** \_\_\_\_\_

**Date of Signature:** \_\_\_\_\_

**C. Narrative Requirements**

**Employer Federal Identification Number:** \_\_\_\_\_

**Workers Compensation Insurance Number:** \_\_\_\_\_

1. Nature of applicant's business or organization, including whether the organization is governmental, public or private, non-profit or for profit;
2. Describe whether your organization has the financial resources, or has the ability to obtain them, to perform the proposed training;
3. Summarize your organization's record of integrity, business ethics, and fiscal accountability;
4. Provide evidence that your organization possesses the necessary organization, experience, accounting and operational controls, as well as the technical skills to perform the work;
5. Describe the ability to meet project design specifications at reasonable costs, as well as the ability to meet performance goals;
6. Describe any services that will be provided as "in-kind" contributions through a non-federal funding stream;
7. Include as **Attachment C**, a curriculum that includes a time-framed lesson plan. **(60 points)** The Lesson Plan must include: skill and theory to be taught; materials/ tools used to teach them; time frame for lesson plan; name of instructor/organization, evaluation tool and method to assess skill concept learned. The curriculum must include the following elements:
  - i. A twelve-month program that includes a summer component with a minimum of 48 hours of classroom instruction;
  - ii. Remediation in mathematics and reading, tailored to both in-school youth, who are economically disadvantaged, age 14 to 21, who are functioning at the fourth through the post high school grade levels. (The remedial portion of the curriculum must be easily adaptable to a work-based learning environment, which integrates classroom instruction into the functional context of work experience, internship, job shadowing and mentoring programs);
  - iii. Instruction in the "Foundation Skills" identified by the Secretary's Commission on Achieving Necessary Skills (SCANS), including Basic Skills, Thinking Skills, and Personal Qualities;
  - iv. Instruction in the "SCANS Competencies," including Resources, Interpersonal, Information, System and Technology;

- v. Instruction related to work readiness and leadership development opportunities;
  - vi. Instruction related to preparation for the Standardized Achievement Test (SAT);
  - vii. Instruction related to Science, Technology, Engineering and Math (STEM) fields of study (see **Attachment B**);
  - viii. Information on industries, occupations and careers in STEM fields
  - ix. Information on industries, occupations and careers in the “Green” economy.
8. Provide a report of past experience in delivering the service, including outcomes regarding employment and retention. **(15 points)**

**D. Budget (25 points)**

Include as **Attachment D**, a budget which includes the following information:

1. The aggregate price for the proposed services.
2. A line item breakdown of each element of the aggregate price for cost price analysis purposes.
3. An itemization of funds requested as reimbursement for services, along with a summary of the proposed services.
4. An itemization of non-federal funds offered on a cash or in-kind basis to support the services.
5. If the applicant's organization is classified as "non-profit" then the budget must include sufficient documentation to demonstrate that it will receive no profit from a contract in connection with its proposal.
6. If the applicant's organization is classified as "for-profit", then its proposal must identify any profit it proposes to retain.

E. **Assurances**

Include as **Attachment E**, the following forms, signed by the appropriate official of your organization:

1. Equal Employment Opportunity and Non-Discrimination Policy Statement;
2. Grievance Procedure;
3. Certification Regarding Lobbying; Debarment, Suspension, and other Responsibility Matters and Drug-Free Workplace

**TOWN OF HEMPSTEAD WORKFORCE INVESTMENT BOARD (WIB)/  
DEPARTMENT OF OCCUPATIONAL RESOURCES (DOOR)  
EQUAL EMPLOYMENT OPPORTUNITY (EEO) AND  
NON DISCRIMINATION POLICY**

- I. No person will be discriminated against on the grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief. Furthermore, no person will be excluded from participation in, denied the benefits of, or subject to discrimination under a Workforce Investment Act (WIA), Balanced

Budget Act Welfare-to-Work (WtW) or Temporary Assistance to Needy Families (TANF) funded program, on the grounds of their citizenship, participation in WIA, WtW, TANF, race, color, religion, sex, national origin, age, disability, political affiliation, or belief.

- II. The WIB and DOOR will not discriminate in the award of contracts on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, or citizenship.
- III. The WIB and DOOR will not discriminate on any prohibited grounds to: registrants, applicants, and eligible applicants/registrants; participants; applicants for employment and employees; unions or professional organizations that hold collective bargaining or professional agreements with the recipient; subrecipients that receive WIA, WtW or TANF funds from the recipient; and members of the public including those with impaired vision or hearing.
- IV. WIA, WtW and TANF financially assisted programs are equal opportunity programs and auxiliary aids and services are available upon request to individuals with disabilities.
- V. Services and information will be provided in languages other than English when there is a significant number or proportion of the population eligible to be served or likely to be directly affected by a WIA, WtW or TANF financially assisted program or activity, that may need services or information in a language other than English.
- VI. The Town of Hempstead/City of Long Beach Local Workforce Investment Area (LWIA) Equal Opportunity (EO) Officer who will be responsible for transmitting complaints of discrimination to the Director of Civil Rights Center is listed below:  
  
Name: Sal Scibetta  
Address: Town of Hempstead  
Department of Occupational Resources  
50 Clinton Street  
Suite 400  
Hempstead, New York 11550  
Telephone Number: (516) 485-5000
- VII. DOOR will monitor the EO compliance status of its subrecipients and annually. Periodic on site reviews of subrecipients will be conducted to assess their EO compliance posture, the results of which are communicated to the subrecipient in writing.

Received by \_\_\_\_\_  
(sign name)  
\_\_\_\_\_  
(print name)

Date \_\_\_\_\_

Rev. 05/23/05

**TOWN OF HEMPSTEAD DEPARTMENT OF OCCUPATIONAL RESOURCES  
RESOLUTION PROCEDURE FOR NON-CRIMINAL COMPLAINTS AND  
GRIEVANCES SUMMARY UNDER THE WORKFORCE INVESTMENT ACT OF 1998  
(WIA) AND THE BALANCED BUDGET ACT OF 1997 AS AMENDED BY THE  
WELFARE-TO-WORK AND CHILD SUPPORT AMENDMENTS OF  
1999 (WtW)**

**INTRODUCTION**

The Department of Occupational Resources, as the Grant Subrecipient/Fiscal Agent for the Town of Hempstead/City of Long Beach Workforce Investment Area maintains a “Complaint Resolution Procedure for Non-Criminal Complaints and Grievances” to receive and promptly investigate and resolve complaints and grievances about WIA/WtW programs and activities. This local resolution process is for allegations of non-criminal violations of the WIA/WtW statutes, regulations, grants, and other agreements. These procedures may be used by WIA/WtW participants. WIA/WtW staff members, Subgrantees, contractors, subcontractors, or other interested persons including the general public. Please note that special rules apply for complaints concerning discrimination and criminal activity.

**General Procedures For the Local Resolution of  
Non-Criminal And Non-Discrimination Complaints**

You have the right to file a complaint. The complaint must be in writing, signed by you, and filed within one year of the facts which give rise to the complaint. Prior to a formal hearing, the Department will attempt to resolve the matter both informally. You are entitled to a hearing held within 30 days of the complaint being filed. A written decision will be filed within 60 days of the complaint being filed. After a hearing and a decision, you have the right to appeal to the Governor of the State of New York. Appeals to the Governor are to be filed within 10 days of any adverse decision, or in the event the department fails to render a decision, within 10 days of the date when the decision should have been received. The Governor may be contacted as follows: Hon. David A. Paterson, New York State Workforce Investment Board, A. E. Smith Office Building, Box 7105, Albany, New York, 12225.

**Discrimination Complaints**

Applicants, participants, and staff alleging discrimination based upon race, national origin, citizenship, sex, age, color, political affiliation, religious belief, or retaliation must file their complaints directly with the United States Department of Labor, Office of Civil Rights, within 180 days of the occurrence of the allegedly discriminatory action. A complaint may be filed by official form, letter, telephone call, or visit to: Director, Office of Civil Rights, U.S. Department of Labor, 200 Constitution Avenue, N.W., Room N4123, Washington, DC, 20210. Complaints alleging discrimination on the grounds of handicap will be received and processed on the local level as part of the regular Workforce Investment Area grievance process outlined above as “General Procedures.”

## Criminal Complaints

All information and complaints involving fraud, abuse, or other criminal activity shall be reported directly and immediately to the United States Department of Labor, 200 Constitution Avenue, NW., Washington D.C. 20210. A duplicate notice should also be sent at the same time to the New York State Department of Labor, in care of State Representative, New York State Department of Labor, 303 W. Old Country Road, Hicksville, New York, 11801.

### **WIA/WtW Program Complaint Resolution Officer**

The WIA/WtW Program Complaint Resolution Officer may be reached at the Department of Occupational Resources, 50 Clinton Street, 4th Floor, Hempstead, New York 11550, (516) 485-5000. The Grievance Officer will provide you with any forms or technical assistance which you may require in order to file or process a grievance or complaint. The WIA Program Complaint Resolution Officer is also responsible for the receipt and resolution of complaints.

If your complaint is not WIA/WtW-related, it will be referred to the appropriate agency or agencies. Your complaint may also involve or entitle you to recourse from other state or federal agencies pursuant to other state and federal laws.

To the maximum extent possible, the identity of a complainant will be kept confidential consistent with applicable law and a fair determination of the complaint. The making of a complaint will in no way affect your status or participation in or with the WIA/WtW program.

If you have any questions concerning this procedure or wish to file a complaint or grievance, please contact the WIA/WtW Complaint Resolution Officer.

Received by: \_\_\_\_\_

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

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

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-Procurement) and Government-wide Requirements for Drug-free Workplace (Grants)." The certification shall be treated as a material representation of fact upon which reliance will be placed with the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

## 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

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

## 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 84, Sections 85.105 and 85.110 -

A. The applicant certifies that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not, within a three-year period preceding this application and/or contract, had one or more public transactions, whether Federal, State or Local, terminated for cause or default; and 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;
- (c) Are not presently indicted or otherwise criminally or civilly charged by a Government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph A(b) of this certification, and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE  
(GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 --

- A. The applicant that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (b) Establishing an on-going drug-free awareness program to inform employees about--
    - (1) The dangers of drug abuse in the workplace;
    - (2) The grantee's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance program; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
    - (1) Abide by the terms of the statement; and
    - (2) Notify the employer 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;
  - (e) Notifying the agency, in writing, within 10 calendar days after having received notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants and Contracts Service, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 312A, GSA Regional Office Building No. 3), Washington, D.C. 20202-4571. Notice shall include the identification number of each affected grant.
- Check here if there are any workplace on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT PROJECT NAME	PREAWARD NUMBER and/or
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	

DATE

**RESPONSIBILITY QUESTIONNAIRE 7/13/06**

**Instructions:**

Please complete this form answering every question. A "Yes" answer to questions 1-22 requires a written explanation attached to the questionnaire and submitted on company letterhead signed by an officer of the company.

**Questions:**

Within the past five years, has your firm, any affiliate, any principal, owner or officer or major stockholder (10% or more shares) or any person involved in the bidding or contracting process been the subject of any of the following:

- (1) a judgment or conviction for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion or any crime related to truthfulness and/or business conduct?  
Yes \_\_\_ No \_\_\_
- (2) a criminal investigation or indictment for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion or any crime related to truthfulness and/or business conduct?  
Yes \_\_\_ No \_\_\_
- (3) an unsatisfied judgment, injunction or lien obtained by a government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any local, state or federal government agency?  
Yes \_\_\_ No \_\_\_
- (4) an investigation for a civil violation for any business related conduct by any local, state or federal agency?  
Yes \_\_\_ No \_\_\_
- (5) a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including, but not limited to fraud, extortion, bribery, racketeering, price-fixing, or bid collusion or any crime related to truthfulness and/or business conduct?  
Yes \_\_\_ No \_\_\_
- (6) a local, state or federal suspension, debarment or termination from the contracting process?  
Yes \_\_\_ No \_\_\_
- (7) a local, state or federal contract suspension or termination for cause prior to the completion of the term of a contract?  
Yes \_\_\_ No \_\_\_
- (8) a local, state or federal denial of a lease or contract award for non-responsibility?  
Yes \_\_\_ No \_\_\_
- (9) an agreement to voluntary exclusion from bidding/contracting?  
Yes \_\_\_ No \_\_\_
- (10) an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal contract or lease?  
Yes \_\_\_ No \_\_\_
- (11) a local, state or federal determination of a willful violation of any prevailing wage law or a violation of any other labor law or regulation?  
Yes \_\_\_ No \_\_\_
- (12) a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license?  
Yes \_\_\_ No \_\_\_
- (13) a denial, decertification, revocation or forfeiture of Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status?  
Yes \_\_\_ No \_\_\_
- (14) a rejection of a low bid on a local, state or federal contract for failure to meet statutory affirmative action or MWBE requirements on a previously held contract?  
Yes \_\_\_ No \_\_\_
- (15) a consent order with the New York State Department of Environmental Conservation, or a federal, state or local government enforcement determination involving a violation of federal, state or local government laws?  
Yes \_\_\_ No \_\_\_
- (16) an Occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful?  
Yes \_\_\_ No \_\_\_
- (17) a rejection of a bid on a New York contract or lease for failure to comply with the MacBride Fair Employment Principles?  
Yes \_\_\_ No \_\_\_
- (18) a citation, notice, violation order, pending administrative hearing or proceeding or

determination for violations of

- federal, state or local health laws, rules or regulations
- unemployment insurance or workers' compensation coverage or claim requirements
- ERISA (Employee Requirement Income Security Act)
- federal, state or local human rights laws
- federal or state security laws
- federal INS and Alienage laws
- Sherman Act or other federal anti-trust laws?

Yes No

(19) a finding of non-responsibility by an agency or authority due to the failure to comply with the requirements of Tax Law Section 5-a?

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

**ADDITIONAL QUESTIONS**

(20) Has the vendor been the subject of agency complaints or reports of contract deviation received within the past two years for contract performance issues arising out of a contract with any federal, state or local agency? If yes, provide details regarding the agency complaints or reports of contract deviation received for contract performance issues.

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

(21) Does the vendor use, or has it used in the past five (5) years, an Employee Identification No., Social Security No., Name, DBA, trade name or abbreviation different from that listed on your mailing list application form? If yes, provide the name(s), FEIN(s) and d/b/a(s) and the address for each such company and d/b/a on a separate piece of paper and attach to this response.

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

(22) During the past three years, has the vendor failed to:

(a) File returns or pay any applicable local, state or federal government taxes?

Yes \_\_\_

No \_\_\_

If yes, identify the taxing jurisdiction, type of tax, liability year(s) and tax liability amount the company failed to file/pay and the current status of the liability: \_\_\_\_\_

(a) File returns or pay New York State Unemployment Insurance?

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

If yes, indicate the years the company failed to file/pay the insurance and the current status of the liability:

(23) Have any bankruptcy proceedings been initiated by or against the vendor or its affiliates within the past seven years (whether or not closed) or is any bankruptcy proceeding pending by or against the vendor or its affiliates, regardless of the date of filing?

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

If yes, indicate if this is applicable to the submitting vendor or one of its affiliates: \_\_\_\_\_

If it is an affiliate, include the affiliate's name and FEIN: \_\_\_\_\_

Provide the court name, address and docket number: \_\_\_\_\_

Indicate if the proceedings have been initiated, remain pending or have been closed: \_\_\_\_\_

If closed, provide the date closed: \_\_\_\_\_

**CERTIFICATION:**

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the State of New York or its agencies or political subdivisions to make a determination regarding the award of a contract or approval of a subcontract; acknowledges that the State or its agencies and political subdivisions may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine of up to \$10,000 or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination; and states that the information submitted in this questionnaire and

The undersigned certifies that he/she:

- Has not altered the content of the questions in the questionnaire in any manner;
- Has read and understands all of the items contained in the questionnaire and any pages attached by the submitting vendor;
- Has supplied full and complete responses to each item therein to the best of his/her knowledge, information and belief;
- Is knowledgeable about the submitting vendor's business and operations;
- Understands that New York State will rely on the information supplied in this questionnaire when entering into a contract with the vendor; and
- Is under a duty to notify the procuring State Agency of any material changes to the vendor's responses herein prior to the State Comptroller's approval of the contract.

Name of Business Signature of Officer

Address Typed Copy of Signature

City, State, Zip Title

Principal place of business if different from address listed above (include complete address):

## **FEDERAL CERTIFICATIONS**

The funding for the awards granted under this contract is provided by the United States Department of Labor which requires the following certifications:

### **A. NONDISCRIMINATION & EQUAL OPPORTUNITY ASSURANCE**

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

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

The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I - financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

**B. BUY AMERICAN NOTICE REQUIREMENT**

The grant applicant assures that, to the greatest extent practicable, all equipment and products purchased with funds made available under the Workforce Investment Act will be American made. See WIA Section 505 – Buy American Requirements.

**C. SALARY AND BONUS LIMITATIONS**

In compliance with Public Laws 110-161, none of the federal funds appropriated in the Act under the heading 'Employment and Training' shall be used by a subrecipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. This limitation shall not apply to vendors providing goods and services as defined in OMB Circular A-133. See Training and Employment Guidance Letter number 5-06 for further clarification. Where applicable, the grant applicant agrees to comply with the Salary and Bonus Limitations.

**D. VETERANS' PRIORITY PROVISIONS**

Federal grants for qualified job training programs funded, in whole or in part, by the U.S. Department of Labor are subject to the provisions of the "Jobs for Veterans Act" (JVA), Public Law 107-288 (38 USC 4215). The JVA provides priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services. Please note that to obtain priority service, a person must meet the program's eligibility requirements. Training and Employment Guidance Letter (TEGL) No. 5-03 (September 16, 2003) and Section 20 of the Code of Federal Regulations (CFR) Part 1010 (effective January 19, 2009) provide general guidance on the scope of the veterans priority statute and its effect on current employment and training programs. Where applicable, the grant applicant agrees to comply with the Veteran's Priority Provisions.

**STATE CERTIFICATIONS**

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

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either: (answer Yes or No to one or both of the following, as applicable.)

1. Has business operations in Northern Ireland:

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

If Yes:

2. Shall take lawful steps in good faith to conduct any business operations they have in Northern

Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of its compliance with such Principles.

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

**F. NON-COLLUSIVE BIDDING CERTIFICATION**

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

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

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

Signature of Authorized Representative \_\_\_\_\_

Title \_\_\_\_\_

Date \_\_\_\_\_

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**STANDARD CLAUSES FOR NYS CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

**1. EXECUTORY CLAUSE.**

In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

**2. NON-ASSIGNMENT CLAUSE.**

In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

**3. COMPTROLLER'S APPROVAL.**

In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory

amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

#### **4. WORKERS' COMPENSATION BENEFITS.**

In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

#### **5. NON-DISCRIMINATION REQUIREMENTS.**

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 race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital 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. Contractor is subject to fines 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.

#### **6. 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.

#### **7. NON-COLLUSIVE BIDDING CERTIFICATION.**

In accordance with Section 139-d of the State Finance Law, if this contract 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 State a non-collusive bidding certification on Contractor's behalf.

#### **8. INTERNATIONAL BOYCOTT PROHIBITION.**

In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the

contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

#### **9. SET-OFF RIGHTS.**

The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of setoff any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

#### **10. RECORDS.**

The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term Page 2 June, 2006 specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

#### **11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.**

(a) FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.

All

invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in

New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

## **12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the

Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii) banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

## **13. CONFLICTING TERMS.**

In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

## **14. GOVERNING LAW.**

This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

## **15. LATE PAYMENT.**

Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

## **16. NO ARBITRATION.**

Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

## **17. SERVICE OF PROCESS.**

In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

## **18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.**

The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of State Finance Law §165. (Use of Tropical Hardwoods) which prohibits purchase and Page 3 June, 2006 use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State. In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

## **19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.**

In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

## **20. OMNIBUS PROCUREMENT ACT OF 1992.**

It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts. Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development Division for Small Business  
30 South Pearl St -- 7th Floor  
Albany, New York 12245  
Telephone: 518-292-5220  
Fax: 518-292-5884  
<http://www.empire.state.ny.us>

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
30 South Pearl St -- 2nd Floor  
Albany, New York 12245  
Telephone: 518-292-5250  
Fax: 518-292-5803  
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

- (a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;
- (b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;
- (c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and
- (d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

## **21. RECIPROCITY AND SANCTIONS PROVISIONS.**

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

## **22. PURCHASES OF APPAREL.**

In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder.

CERTIFICATION

I hereby certify that the following is a true copy of resolution duly adopted by the Board of Directors of \_\_\_\_\_, a domestic corporation, at a meeting held on \_\_\_\_\_ 20 \_\_\_\_, at which a quorum was present, that said resolution has not been rescinded or modified, and it still in full force and effect, that said resolution is not contrary to any provision in the Certificate of Incorporation or By-Laws of said corporation, and that said certification is made knowing that the Town of Hempstead Department of Occupational Resources at 50 Clinton St., Suite 400, Hempstead, New York, will rely upon this certification incident to the execution of any documents by \_\_\_\_\_ with respect to Contract No. \_\_\_\_\_ pertaining to \_\_\_\_\_

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RESOLVED, that \_\_\_\_\_  
is hereby elected as \_\_\_\_\_  
of \_\_\_\_\_  
with full authority to enter into any agreement or transaction on behalf of  
the corporation.

WITNESS my hand and seal this \_\_\_\_\_ day of \_\_\_\_\_,  
20\_\_\_\_.

\_\_\_\_\_  
(Secretary)

(Seal)

Note. This form must be completed for all agreements that will be executed by an officer other than President or Superintendent.

## ATTENDANCE POLICY

The Department of Occupational Resources (DOOR) has established the following attendance policy for all participants enrolled in Education Training activities.

Participants who are absent for five (5) percent or \_\_\_\_\_ days of the total class meetings will be notified by the Department of Occupational Resources and placed on probation.

Participants who are absent for ten (10) percent or \_\_\_\_\_ days of the class meetings may result in cancellation of their scholarship voucher and termination from the education and/or training program.

All absences must be reported to the education and/or training institution. Excused absences will be limited to job interviews, jury duty, probationary meetings, and personal illness which in excess of three (3) days must be confirmed by a doctor's note. Excused absences will not be charged against probationary notice or result in cancellation of this scholarship voucher or termination from the program.

The Department of Occupational Resources will review participants' timesheets, attendance records, and progress reports. Based on this review, the Department of Occupational Resources may cancel this scholarship voucher and remove from the program, at any time, any participant it deems to be unacceptable for further education and training under program guidelines.

I have read the Department of Occupational Resources attendance policy, understand it, and will abide by it.

Name \_\_\_\_\_

Date Received \_\_\_\_\_

Contracts awarded pursuant to this RFP will require the CONTRACTOR to secure and maintain Workers' Compensation Insurance and Disability Benefits as required by the State of New York for the life of this contract. In accordance with Workers' Compensation Law Sections 57 and 220(8), the contractor must be legally exempt from obtaining workers' compensation insurance coverage; or obtain such coverage from an insurance carrier; or be a Workers' Compensation Board approved self-insured employer or participate in an authorized group self-insurance plan. Proposals submitted in response to this RFP must include one of the following forms:

- (a) WC/DB-100, Affidavit for New York Entities with No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Insurance Coverage Is Not Required (Must be stamped as "received" by New York State Workers' Compensation Board); or
- (b) C-105.2 – Certificate of Workers' Compensation; or
- (c) SI-12 – Certificate of Workers' Compensation Self-Insurance.

In addition, proposals must include one of the following forms to DOOR:

- (a) DB-120.1 – Certificate of Disability Benefits Insurance; or
- (b) DB-155 - Certificate of Disability Benefits Self-Insurance.

## **F. Proposal Evaluation Form**

*(For Office Use Only)*

**VENDOR:**

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**SECTION 3. NARRATIVE REQUIRMENTS**

<b>QUESTIONS TO BE EVALUATED</b>	<b>POINTS AWARDED</b>	<b>ACTUAL POINTS EARNED</b>
7.	60 points	
8.	15 points	

**POINTS ACCUMULATED** \_\_\_\_\_

**SECTION 4. BUDGET**

<b>SECTION TO BE EVALUATED</b>	<b>POINTS AWARDED</b>	<b>POINTS EARNED</b>
<b>BUDGET</b>	25 points	

**POINTS ACCUMULATED** \_\_\_\_\_

**TOTAL POINTS ACCUMULATED** \_\_\_\_\_

**Reviewed by:** \_\_\_\_\_

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

**ATTACHMENTS**

**ATTACHMENT A: PUBLIC NOTICE**

**NOTICE OF SOLICITATION OF PROPOSALS FOR AN ACADEMIC AND OCCUPATIONAL LEARNING CURRICULUM FOR YOUTH TO BE FUNDED AND**

**IMPLEMENTED PURSUANT TO THE WORKFORCE INVESTMENT ACT (WIA),  
THE TEMPORARY ASSISTANCE TO NEEDY FAMILIES PROGRAM AND ALL  
REGULATIONS PROMULGATED THEREUNDER.**

On behalf of the Town of Hempstead Local Workforce Investment Board (LWIB) and the Town of Hempstead Youth Council, the Town of Hempstead Department of Occupational Resources (DOOR), as the Grant Subrecipient/Fiscal Agent for the Town of Hempstead/City of Long Beach Workforce Investment Area under the Workforce Investment Act of 1998 (WIA) and as the Grant Recipient under the Temporary Assistance for Needy Families (TANF) Summer Program, is soliciting proposals for an Academic and Occupational Learning curriculum for economically disadvantaged youth participating in the Town of Hempstead/City of Long Beach Workforce Investment Area's Youth Program. The period of performance is July 1, 2009 through June 30, 2010. This period may be extended based upon program needs. The purpose of this RFP is to procure a curriculum that will enhance the ability of local WIA/TANF Youth Programs to provide the services listed below in accordance with each participant's Individual Service Strategy (ISS):

1. Preparation for postsecondary educational opportunities, in appropriate cases;
2. Strong linkages between academic and occupational learning;
3. Preparation for unsubsidized employment opportunities, in appropriate cases;
4. Effective connections to intermediaries with strong links to the job market and employers, and
5. Development of Science, Technology, Engineering and Math (STEM) Skills.

Academic and Occupational Learning in the context of this solicitation is defined as an educational activity which provides leadership development opportunities, positive social behavior development opportunities, work readiness training, remedial education in mathematics, reading and writing, and where appropriate, broader based education in other disciplines, such as science and history, in the functional context of a work-based learning activity. To be considered, all proposals must include a formal curriculum, instructor guides, text which includes the items identified under curriculum requirements, standardized pre and post test instruments for reading and mathematics levels, sample workbooks if applicable, and any additional training aids and materials. Proposals must include the catalogue price of these programs. Any costs which are not derived from catalogue prices, which exceed catalogue prices, or which can be broken down into separate components, must be identified in a line item budget.

The curriculum requirements are:

1. A twelve-month program that includes a summer component with a minimum of eighteen (18) hours of classroom instruction;
2. Remediation in mathematics and reading, tailored to both in-school youth, who are economically disadvantaged, age 16 to 21, who are functioning at the fourth through the post high school grade levels. (The remedial portion of the curriculum must be easily adaptable to a work-based learning environment, which integrates classroom instruction

into the functional context of work experience, internship, job shadowing and mentoring programs);

3. Instruction in the "Foundation Skills" identified by the Secretary's Commission on Achieving Necessary Skills (SCANS), including Basic Skills, Thinking Skills, and Personal Qualities;
4. Instruction in the "SCANS Competencies," including Resources, Interpersonal, Information, System and Technology;
5. Instruction related to work readiness and leadership development opportunities;
6. Instruction related to preparation for the SAT Test;
7. Instruction related to STEM fields of study;
8. Information on industries, occupations and careers in STEM fields; and
9. Information on industries, occupations and careers in the "Green" economy.

Leadership development opportunities are opportunities that encourage responsibility, employability and other positive social behaviors, as indicated in Section 664.420 of the WIA Rules and Regulations, published in the Federal Register/Vol. 65, No. 156/Friday, August 11, 2000. Positive social behaviors are outcomes of leadership opportunities, often referred to as soft skills. Positive social behavior development opportunities may focus on the areas indicated in Section 664.430 of the WIA Rules and Regulations. Completed proposals must be received by the Department of Occupational Resources no later than 4:30 P.M., Friday, February 26, 2010. Proposals must also include a description of the respondent's demonstrated effectiveness in preparing the program material described. Proposals received after that date will be considered only for good cause shown. Proposal submissions should be in sealed envelopes and addressed to:

Ana-Maria Hurtado  
Commissioner  
Town of Hempstead  
Department of Occupational Resources  
Hempstead Executive Plaza  
50 Clinton Street, Suite 400  
Hempstead, New York 11550  
Attn: LWIB Staff

Applicants are advised that changes in the Town of Hempstead Workforce Investment Area's system, in terms of content and funding level, may be required prior to or during the term of its operations due to new or revised legislation. This request for proposals does not commit the LWIB, the Youth Council or DOOR to award a contract, to pay any costs incurred in the preparation of a proposal in response to this request, or to procure or contract for services or supplies. The Department reserves the right to accept or reject any or all proposals received as a result of this request, to negotiate with all qualified sources, or to cancel in part or in its entirety this RFP if it is in the best interests of the Department to do so. Questions concerning this RFP should be directed to Edward Kenny, by writing to the above address or to [ekenny@hempsteadworks.com](mailto:ekenny@hempsteadworks.com), or by calling (516) 485-5000, extension 1148.



**ATTACHMENT B**

**United States Department of Labor Training and Employment Notice 23-07,  
Dated December 31, 2007**

**EMPLOYMENT AND TRAINING ADMINISTRATION  
U.S. DEPARTMENT OF LABOR  
WASHINGTON, D.C. 20210**

**TRAINING AND EMPLOYMENT NOTICE NO . 23-07**

DATE December 31, 2007

TO: ALL STATE WORKFORCE AGENCIES

ALL STATE WORKFORCE LIAISONS

ALL ONE-STOP CENTER SYSTEM LEADS

**FROM:** EMILY STOVER DeROCCO /s/Assistant Secretary, Employment and Training Administration

**SUBJECT:** Building and Sustaining an Educated and Prepared STEM Workforce

### **1. Purpose.**

To share the Department of Labor's vision for the public workforce system's role in developing the talent needed for high growth industries requiring science, technology, engineering and math (STEM) skills.

### **2. References.**

U.S. Department of Labor, Employment & Training Administration, *The STEM Workforce Challenge and the Role of the U.S. Department of Labor in a National Solution*, Washington, D.C. (2006). U.S. Department of Labor, Employment & Training Administration, *Science, Technology, Engineering and Math (STEM) and the Workforce Investment System Roundtable: Connections in Action (transcript)*, available at <http://www.workforce3one.org/members/getmfileinfo.cfm?id=326>, Washington, D.C. (2007). Committee on Prospering in the Global Economy of the 21st Century: An Agenda for American Science and Technology, National Academy of Sciences, National Academy of Engineering, Institute of Medicine, *Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future*, available at [http://www.nap.edu/catalog.php?record\\_id=11463#toc](http://www.nap.edu/catalog.php?record_id=11463#toc), Washington, D.C. (2007).

### **3. Background.**

Many of the fastest growing jobs in America will be filled by "knowledge workers" who have specialized skills especially in the areas of Science, Technology, Engineering and Math (STEM). STEM-related fields are many and diverse; equally diverse are the industries in which STEM jobs are critically important to growth and competitive success. There is increasing attention to the nation's capacity to be a world leader in innovating and applying scientific and technological advances.

Four major trends dramatically impact the STEM pipeline of the future: (1) an increasing number of high school graduates with insufficient academic grounding in STEM to successfully enter post secondary education to pursue STEM careers; (2) waning enrollment in technical studies, including two- and four-year college-level, graduate, and post-graduate science and engineering programs; (3) impending retirement of a large portion of the existing STEM workforce; and, (4) declining immigration of science, technology, engineering, and mathematics professionals. In its report, *Rising Above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future*, the Committee on Prospering in the Global Economy of the 21st Century set forth four recommendations for federal policy makers to consider in

order to enhance the science and technology skills of American citizens and enable this country to successfully compete in the global economy: (1) increase America's talent pool by vastly improving K-12 science education; (2) sustain and strengthen the nation's commitment to research that has the potential to fuel the economy, provide security, and enhance the quality of life; (3) make the United States the most attractive setting in which to study and perform research so that this nation can develop, recruit, and retain the best and brightest students, scientists, and engineers; and (4) ensure that the United States is the premier place in the world to innovate. The U.S. Department of Labor (DOL) is already an important partner in federal efforts to strengthen the STEM pipeline. Through the Workforce Innovation in Regional Economic Development (WIRED) initiative, DOL is investing regionally in STEM talent development strategies. In February 2006, DOL launched the WIRED initiative focusing on the role of talent development in driving regional economic competitiveness, increased job growth, and new opportunities for American workers. The WIRED framework brings together all the key players in a region to leverage their collective public and private sector assets and resources to implement strategies that will optimize innovation and successful regional economic transformation. The STEM fields are essential building blocks in innovation and economic transformation. Much of President Bush's American Competitiveness Initiative, which is designed to encourage American innovation and strengthen the nation's ability to compete in the global economy, focuses on the development of skills in math and science in K-12 systems. Without this foundation, students cannot enter and advance in the engineering and technology fields that are defining the innovation economy. More than ever, education is a critical component of economic development. The availability of a skilled workforce is the single most important factor companies consider when deciding where to open or expand a business. It is this reality that creates a cycle in many regional economies where there are not enough educated workers to attract new companies, so the people who possess an education must leave the region to find opportunities.

#### **4. The Department of Labor's Current Contributions to a Stronger STEM Pipeline.**

To help fill gaps in the nation's response to the STEM workforce challenge, DOL's Employment and Training Administration (ETA) seeks ways to employ its infrastructure, capacity, investments, and initiatives for maximum impact. DOL, in conjunction with other federal workforce agencies, annually invests \$15 billion in talent development activities. Moreover, the Department's unique commitment to regional talent development and economic growth strategies provides a powerful framework for collaboration and alignment across federal funding streams – both DOL and non-DOL - and public and private stakeholders. The Department is promoting an action agenda in collaboration with other stakeholders and investors that should help to: expand the pool of potential STEM workers; strengthen the gateway for non-traditional populations into STEM careers; ease the transition for dislocated or transitioning workers into STEM fields; and integrate national, state, regional, and local efforts into a more powerful set of partnerships and coordinated strategies. DOL believes the public workforce investment system has an important role in strengthening

the STEM pipeline, specifically in collaboration with multiple agencies across the federal government and a wide array of strategic partners in the public and private sectors. Of particular interest to DOL is broadening participation in the STEM fields by women, under-represented minorities, and individuals with disabilities.

Currently, DOL is gathering information from the workforce investment system about efforts to connect to STEM education and employment opportunities locally. Toward this goal, the Department sponsored a Web conference, or Webinar, in early May, open to members of the workforce investment system, economic development experts, educators and employers, that discussed innovations and partnership across the system. This session demonstrated that the system is becoming increasingly aware of STEM as it affects the workforce and early efforts are underway to build non-traditional partnerships to promote the STEM pipeline.

## **5. Role of the Public Workforce System in Building and Sustaining a Prepared STEM Workforce.**

The Department of Labor encourages Workforce Investment Boards (WIBs) and One-Stop Career Centers to be knowledgeable and engaged partners in efforts to help address the escalating challenges of “growing” the STEM pipeline. The public workforce investment system is uniquely positioned in many communities to be an important partner because of its universal access to human capital that ranges from at-risk youth to experienced workers; its strong partnerships with community colleges, employers, and faith-based and community organizations; and its continued transformation supporting high growth industries, many of which require a highly skilled STEM workforce. At the community level, K-12 and postsecondary education (particularly research universities) have a leading role on educating students in the STEM fields and preparing them for employment. But the demands of the current and future STEM pipeline require immediate action from many other stakeholders, including the public workforce investment system, foundations, professional associations dedicated to STEM fields, non-profit organizations, employers, and government. There are a number of steps that WIBs and One-Stop Career Centers can take to be proactive partners and address gaps in current efforts to prepare the STEM workforce. Many of them draw on the expertise of the public workforce investment system in workforce preparation and its role as an intermediary between employers and talent development institutions. WIBs and One-Stop Career Centers need to be committed to developing strategies for talent development in support of economic growth and to facilitating alignment and integration of existing public and private STEM resources. In order to prepare and expand the number of students entering STEM-related careers, WIBs and One-Stops must be prepared to implement STEM workforce education strategies across the continuum of education with a focus on post-secondary opportunities for workers. Public workforce entities need to:

- Become knowledgeable on STEM pipeline issues. Attached to this TEN is a background paper on the STEM workforce challenge that identifies additional resources. Also attached is a description of how existing initiatives/funding can

be utilized, such as the High Growth Job Training Initiative, Community-Based Job Training Grants and WIRED. WIBs and One- Stop Career Centers need to analyze what this information means to their region and community.

- Meet with organizations in the state and community that are leaders in the STEM fields and participate in forums dedicated to this issue.
- Identify STEM-related industries that are growing and expanding in the local and regional economy.
- Conduct a gap analysis. With STEM partners, WIBs should gather data on the need for additional STEM education and training in your region, identify gaps in existing services and infrastructure, and develop strategies to fill those gaps.
- Build capacity within One-Stop Career Centers to provide career guidance on the STEM fields which identifies approaches for developing proficiency including apprenticeship, internships, on-the-job training, alternative career pathways/career lattice models and non-academic training routes.
- Provide services to develop a skilled workforce to meet the needs of STEM employers including:
  - Recruiting and screening qualified STEM workers;
  - Posting job listings;
  - Providing incumbent worker training and linkages to other training resources;
  - Developing customized labor market information;
  - Providing job retention services such as mentoring and career guidance;
  - Identifying work-based learning opportunities in STEM fields for internships, apprenticeships, on-the-job training, and other training activities;
  - Providing information on STEM to alternative schools, faith and community-based organizations and other training providers in the workforce investment system;
  - Offering summer academic enrichment activities in the STEM fields;
  - Designing educational tools and programs for displaced and incumbent workers; and
  - Supporting participants' school preparation and critical transition points such as high school to college, between 2- and 4-year college, and from undergraduate study to the workplace.

By taking the above steps and engaging in a broad range of activities related to STEM, the public workforce investment system can meet the goals of:

- Coordinating and aligning regional STEM workforce preparation and training activity;
- Implementing employment activities, strategies and resources (new and existing) that result in significant and sustainable impact;
- Increasing accessibility and broadening STEM education and training opportunities targeted to women, under-represented minorities, individuals with disabilities, youth and dislocated workers;
- Increasing the number of workers entering STEM employment;
- Increasing access for STEM employers to job candidates with sought-after skills and background; and
- Establishing and expanding strategic partnerships with the workforce system and regional STEM employers; higher education institutions, including community

colleges; K-12 and alternative secondary schools; faith-based and community organizations; industrial and national laboratories, and STEM professional associations to build the region's STEM expertise, financial and operational capacities. In an increasingly global, knowledge-driven society, STEM education and skills development are critical to American economic competitiveness and growth. Long-term strategies will require coordinated efforts among public, private, and non-profit entities to promote innovation and to prepare an adequate supply of qualified workers for employment in STEM fields.

## **6. Actions Required.**

States are requested to share this Training and Employment Notice with appropriate stakeholders.

## **7. Inquiries.**

Questions should be directed to the appropriate ETA regional office.

## **Connecting Department of Labor Resources to Science, Technology, Engineering and Math (STEM) Skill Acquisition**

The following programs and initiatives administered by the Department of Labor's Employment and Training Administration are potential resources for furthering the acquisition of Science, Technology, Engineering and Math skills (STEM) among adult and youth learners:

### **The High Growth Job Training Initiative Funding is Variable**

The High Growth Job Training Initiative targets investments to support the development and implementation of workforce solutions in the context of strategic public/private partnerships to ensure that workers have the skills and competencies in high-growth, high-demand occupations. The workforce solutions funded under the High Growth Job Training Grants address critical workforce challenges identified by strategic partnerships, which include business and industry, education and training providers, and the workforce

investment system. These investments provide job training and related activities for workers to assist them in obtaining or upgrading employment in the 14 high-growth industries of Advanced Manufacturing, Aerospace, Automotive, Biotechnology, Construction, Energy, Financial Services, Geospatial Technology, Health Care, Homeland Security, Hospitality, Information Technology, Retail, and Transportation.

These funds may be used in several ways that benefit STEM training, including:

- Developing curricula to build core competencies and train workers;
- Identifying and disseminating career and skill information;
- Building the capacity of the education system to train in high-growth, high-demand industries; and
- Increasing the integration of community and technical college activities with industry and the public workforce investment system.

Many of these 14 industries identified through the High Growth Job Training Initiative have described a critical shortage of workers with STEM competencies and a number of HGJTI grants are currently supporting projects that address this need. In addition, ETA is currently developing a summary of competencies for STEM-related occupations. This competency model framework will serve as the basis for a formal solicitation for grant applications focused on training in STEM-related occupations in high-growth industries. For more information, see: <http://www.doleta.gov/BRG/JobTrainInitiative/>

### **Community Based Job Training Grants PY06 Funding: \$125,000,000**

In 2005, ETA implemented the Community-Based Job Training Grants to strengthen the role of community colleges in promoting the U.S. workforce's full potential. This competitive grant program builds on the High Growth Job Training Initiative by building the capacity of community colleges to train workers for the skills required to succeed in high-growth, high-demand industries. Businesses in these industries face increasing difficulties in finding workers with the right skills.

Funds available under this initiative may be used to benefit STEM training by:

- Developing training curricula with local industries in the STEM fields, hiring qualified faculty, arranging on-the-job experiences with industry, and using up-to-date equipment; and
- Training new and experienced workers in identified high-growth, high-demand industries, with the aim of employing and/or increasing the retention and earnings of trained workers, while meeting the skill needs of businesses within targeted industries.

Under the Community Based Job Training Grants initiative, publicly-funded community and technical colleges were asked to submit proposals that identified workforce challenges and implemented workforce solutions for locally identified high-growth, high-demand occupations, including proposals to address critical STEM competencies identified by high-growth, high-demand occupations.

For more information, see: <http://www.doleta.gov/business/Community-BasedJobTrainingGrants.cfm>

### **Trade Adjustment Assistance Funds**

There is approximately \$220 million available each year to provide training to workers laid-off due to the effects of foreign trade.

Funds may be used to pay the costs of individual training programs in science, technology, engineering or math (STEM) fields through:

- Classroom training, including remedial education;
- On-the-job training; and
- Customized training designed to meet the needs of a specific employer or group of employers.

Additional funds (trade readjustment allowances) are available to help individuals attend full-time training by providing income support while they are in school.

For more information, see: <http://www.doleta.gov/tradeact/>

### **Workforce Investment Act Rapid Response Funds**

Up to \$250 million is available to states each year to respond to mass layoffs and plant closings. These funds are comprised of 25% of each state's WIA dislocated worker formula funds. Based upon state or local policy, Rapid Response funds may be used to support activities and strategies that could include STEM education and training opportunities, such as:

- Informing individuals about available career and training opportunities related to STEM;
- Connecting Rapid Response strategies and activities to economic development and providing information to employers to help promote employment in STEM-related industries or occupations;
- Providing information on individual training programs in STEM fields; and
- Assisting with the design and implementation of customized training plans or working with employers in STEM areas to design training programs that provide STEM-related employers with skilled workers as part of a lay-off aversion strategy.

For more information or to discuss potential strategies and linkages, contact your state or local Rapid Response team or see: <http://www.doleta.gov/layoff/rapid.cfm>.

### **Workforce Investment Act National Emergency Grant Funds**

Approximately \$150 million was available in PY 2006 for National Emergency Grants (NEG). These funds are used to temporarily expand service capacity at the state and local levels in response to significant dislocation events.

These funds may be used for several activities that could support STEM, including:

- Conducting career assessments and informing eligible individuals about available career and training opportunities related to STEM;
- Helping eligible individuals develop Individual Employment Plans in STEM-related fields;

- Paying the costs of individual training programs for participants in STEM fields; and
- Making available needs related payments to help eligible individuals attend full-time training.

For more information, see: <http://www.doleta.gov/NEG/>

### **Workforce Investment Act Youth Formula Grant**

Currently, \$940 million (2006 Budget) is allotted to states for youth programming and services through the Workforce Investment Act (WIA). States use these resources in various ways to support workforce training and development of young people who are both “in-school” and “out-of-school.”

The following are opportunities where WIA can leverage STEM activities/training for youth:

- WIA funds are being used to connect those young people who leave traditional educational institutions to alternative education programs. These various opportunities to link youth to the workforce can be focused around linking them to high-demand STEM careers and educational pathways.
- WIA resources also support the operation of after-school programs that engage young people during critical out-of-school hours. This provides an opportunity for strategic partnerships to provide activities focused on experiential, hands-on, applied learning strategies that engage young inschool youth and make STEM careers and educational pathways fun and exciting.
- Pre-apprenticeship programs, funded by WIA, are designed to offer individuals basic skills, job readiness, and trade-specific training that can significantly increase a youth’s likelihood of entering and succeeding in formal apprenticeships. The workforce system can encourage preapprenticeships that will assist youth in gaining the necessary skills for successful career pathways and advancement in high-growth, highdemand STEM industries.
- In-school youth who are served by the workforce system can access, and be encouraged to take, math and science Advanced Placement (AP) and International Baccalaureate (IB) courses designed to give them college credit for successfully passing the exam and prepare them for higher education.

For more information, see: <http://www.doleta.gov/youth%5Fservices/Formula-Funded.cfm>

### **WIA Adults & Dislocated Worker Formula Grants**

Approximately \$2.5 billion in funding was available in PY 2006 for adult and dislocated worker services. Adult and dislocated worker funds may be used to carry out core, intensive and training services. These services are available to eligible adults and

dislocated workers and may be used to provide STEM training in many ways, including:

- Providing comprehensive and specialized assessments of skill levels and service needs such as diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- Providing occupational skills training in STEM-related fields;
- Providing on-the-job training in relevant STEM fields; and
- Training that focuses on skill upgrading and retraining and entrepreneurial skills; adult education and literacy activities; and customized training.

For more information, see: [http://www.doleta.gov/programs/general\\_info.cfm](http://www.doleta.gov/programs/general_info.cfm)

### **Wagner-Peyser Act Funds**

The Wagner-Peyser Act provides formula funding to states to assist job seekers in finding jobs and employers in finding qualified workers and, in some areas, to provide job training and related services. The Act was amended in 1998 to require that employer services be provided through the One-Stop service delivery system. These funds can be used to inform the workforce about STEM through the following activities:

- Providing job search and placement services to job seekers including counseling, testing, occupational and labor market information, assessment, and referral to employers;
- Partnering with employers to provide appropriate recruitment services and special technical services;
- Targeting services for workers who have received notice of permanent layoff or impending layoff, or workers in occupations which are experiencing limited demand due to technological change, impact of imports, or plant closures; and
- Developing and providing labor market and occupational information.

For more information, see: [http://www.doleta.gov/programs/Wagner\\_Peyser.cfm](http://www.doleta.gov/programs/Wagner_Peyser.cfm)

# **The STEM Workforce Challenge: the Role of the Public Workforce System in a National Solution for a Competitive Science, Technology, Engineering, and Mathematics (STEM) Workforce April 2007**

This report was prepared for the U.S. Department of Labor,  
Employment and Training Administration by Jobs for the Future.

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## **The STEM Workforce Challenge and the Role of the U.S. Department of Labor in a National Solution**

### **Executive Summary**

Science, Technology, Engineering, and Mathematics (STEM) fields have become increasingly

central to U.S. economic competitiveness and growth. Long-term strategies to maintain and increase living standards and promote opportunity will require coordinated efforts among public, private, and not-for-profit entities to promote innovation and to prepare an adequate supply of qualified workers for employment in STEM fields.

American pre-eminence in STEM will not be secured or extended without concerted effort and investment. Trends in K-12 and higher education science and math preparation, coupled with demographic and labor supply trends, point to a serious challenge: our nation needs to increase the supply and quality of “knowledge workers” whose specialized skills enable them to work productively within the STEM industries and occupations. It will not be sufficient to target baccalaureate and advanced degree holders in STEM fields. Our nation’s economic future depends upon improving the pipeline into the STEM fields for sub-baccalaureate students as well as BA and advanced degree holders, for youth moving toward employment and adults already in the workforce, for those already employed in STEM fields and those who would like to change careers to secure better employment and earnings.

The seriousness of this challenge has penetrated public and opinion-makers’ consciousness—and government, industry, and education and training providers have begun to respond. NIH, NSF, and the Department of Education have been leading the federal effort. Industry associations, individual firms, foundations, and other organizations have identified and tried to fill gaps. State governments, too, are working to strengthen the STEM workforce pipeline. Much remains to be done, though, within government and across diverse sectors, to ensure that U.S. education, workforce, and economic systems rise to the STEM challenge.

The U.S. Department of Labor is already an important partner in federal efforts to strengthen the science, technology, engineering and math (STEM) pipeline. The U.S. Department of Labor invests about \$14 billion a year in the nation’s workforce system and in increasing the skills and education of our current workforce. In addition, the Department of Labor has begun investing regionally in ways that overcome typical fragmentation in planning and action among industry, government, non-governmental organizations, and education and training institutions.

The Department of Labor has the potential to play an even more important role in addressing gaps in the nation’s approach to strengthening the STEM pipeline in three areas: 1) building the gateway to STEM careers; 2) enhancing the capacity of talent development institutions to produce more and better skilled STEM workers; and 3) catalyzing and supporting innovation, entrepreneurship, and economic growth. The leadership of the Employment and Training Administration is committed to—and stands ready to—contribute and collaborate to develop an overall national strategy around the STEM workforce pipeline and to improve coordination across federal agencies.

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## **The STEM Challenge to U.S. Competitiveness and Growth**

There is broad consensus that the long-term key to continued U.S. competitiveness in an increasingly global economic environment is the adequacy of supply and the quality of the workforce in the STEM fields. Scientific innovation has produced roughly half of all U.S.

economic growth in the last 50 years (National Science Foundation 2004). The STEM fields and those who work in them are critical engines of innovation and growth: according to one recent estimate, while only about five percent of the U.S. workforce is employed in STEM fields, the STEM workforce accounts for more than fifty percent of the nation's sustained economic growth (Babco 2004).

Opinion leaders and the public broadly agree that education in math and science is critical to the nation's future success. According to a recent Educational Testing Service survey, 61 percent of opinion leaders and 40 percent of the general public identify math, science and technology skills as the most important ingredients in the nation's strategy to compete in the global economy (Zinth 2006). This engine of growth is increasingly precarious in today's global economy. The Business Roundtable (2005) warns that, if current trends continue, more than 90 percent of all scientists and engineers in the world will live in Asia. The Business-Higher Education Forum (2005) concludes:

“Increased global competition, lackluster performance in mathematics and science education, and a lack of national focus on renewing its science and technology infrastructure have created a new economic and technological vulnerability as serious as any military or terrorist threat.” The seminal National Academy of Sciences study, *Rising Above the Gathering Storm* (2006), argues that, absent a serious and rapid response, the U.S. will lose quality jobs to other nations, lowering our standard of living, reducing tax revenues, and weakening the domestic market for goods and services. Once this cycle accelerates, it will be difficult to regain lost preeminence in technology driven innovation and its economic benefits.

The STEM education and workforce challenge is multi-faceted.

- *Many students never make it into the STEM pipeline, because of inadequate preparation in math and science or poor teacher quality in their K-12 systems.* Of the 2005 high school graduates who took the ACT test, for example, only 41 percent achieved the College Readiness Benchmark in mathematics and 26 percent achieved that benchmark in science (ACT 2006).
- *Many who are academically qualified for postsecondary studies in science and math fields at both the two- and four-year levels, don't pursue those programs: They might be dissuaded by disappointing postsecondary experiences, high tuition or demanding curricula and courses of study, relatively low salaries in STEM fields compared to other professions, or the lack of role models with whom they can identify* (American Association of State Colleges and Universities 2005). Whatever the reasons, trends in undergraduate and graduate enrollment in the biological, engineering, and physical sciences are troubling, as modest growth in STEM field degree graduates is being eclipsed by more dramatic growth in graduates from non-STEM programs (U.S. Government Accountability Office 2005).

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- *The low engagement with STEM-related learning is particularly acute among minority, female, and lower-income students, who comprise a growing proportion of the total college-going public.*

In the 2000 National Assessment of Educational Progress for twelfth grade students, about

three out of four white and Asian students scored at or above basic level (which is far below proficient) on the math assessment, while fewer than half of Hispanics and under a third of African American students attained that level (National Science Foundation 2005). Preparation for STEM success is one concern. Equally important are trends in the overall supply and employment of STEM field workers.

- *A large segment of the existing STEM workforce is approaching retirement age with the rest of the baby boomers.*

- *Women appear to be choosing non-STEM employment opportunities with increasing frequency.*

According to industry data, for example, the percentage of women in the IT workforce declined from a high of 41 percent in 1996 to 32 percent in 2004, even as the percentage of women in the workforce as a whole remained steady at around 46 percent during that period (Information Technology Association of America 2005).

- *In addition, the reliance on immigrants for meeting employer demand for skilled STEM workers*

*has become increasingly problematic.* In the wake of September 11, foreign immigration has become more complicated and visa processes have been tightened. In addition, as other countries expand their STEM-related economic growth, some who might have sought employment opportunity in the U.S. are able to find good jobs closer to home.

The STEM workforce pipeline challenge is not just about the supply and quality of baccalaureate and advanced degree earners. A large percentage of the workforce in industries and occupations that rely on STEM knowledge and skills are technicians and others who enter and advance in their field through sub-baccalaureate degrees and certificates or through workplace training. Competitiveness in STEM fields requires a focus on the skills and the supply of those involved in

STEM fields from the most complex research and development and leadership positions to production,

repair, marketing, sales and other jobs that require competencies built upon math, science, engineering, and technology knowledge. Getting more Americans ready for, interested in, and sufficiently skilled to be productive in STEM-related jobs will require attention to segments of the workforce that are often overlooked in STEM discussions: incumbent workers who need skill upgrading, dislocated workers who are trying to find new jobs in industries with a future, and individuals from groups traditionally underrepresented in STEM fields. The Department of Labor has an important role to play in this arena.

Responding to the STEM challenge will require a concerted and multi-faceted approach. No single agency can respond effectively. Tax, immigration, and innovation policies need to be reviewed through the lens of the STEM pipeline. Perhaps most important, education and workforce

preparation policies need to be carefully reassessed.

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#### The STEM Workforce Challenge

This will require changes in: K-12 students' foundational preparation in math and science; improvements in access to and success in science, math and technology education and training both in our elite research universities and in the thousands of two- and four-year educational institutions that prepare most Americans for employment; stronger teacher and faculty training in the STEM disciplines; more effective linkages and economic signals between the education/

talent development sectors and the employers who depend upon their graduates; better assessments of the quality of STEM-related education and programming; and strategies that expand and deepen workplace-based training and retraining for STEM workers at all levels. No single sector of society can respond adequately in isolation from others. Much greater collaboration is called for: within the federal government; across different levels of government; and among the key business, government, and non-governmental institutions whose policies and practices shape the quality and quantity of the STEM workforce.

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### **The STEM Fields and the STEM Workforce Pipeline**

Science, Technology, Engineering, and Mathematics (STEM) related fields are many and diverse.

About 150 different college majors have been identified by the National Science Foundation as STEM majors. Equally diverse are the industries in which STEM jobs are critically important to growth and competitive success. Some of these industries are obvious: advanced manufacturing, biotechnology, chemical engineering, energy, actuarial science and health care all rely on high-level skills and education in the STEM fields in their workforce. Other industries may seem less obvious for their reliance on STEM knowledge and skills, such as construction, retail, transportation,

and hospitality. But changing technology and expectations of the workforce in these industries make STEM knowledge important even in these industries. For example, mechanics in the trucking industry must deal with sophisticated computer technology in both diagnostics and repair procedures. In construction, the increased importance of math and technical knowledge on the construction site and in construction business offices has become an obstacle to entry into apprenticeship and other training programs for individuals who fifteen years ago would have easily found their way into those programs.

According to the U.S. GAO (2005), employment in STEM fields rose from an estimated 7.2 million to around 8.9 million in the years between 1994 and 2003—an increase of about 23 percent during a time when non-STEM employment rose by only 17 percent. The Bureau of Labor Statistics (2006) projects significant growth in the overall STEM workforce between now and 2014; of the 20 fastest-growing occupations over the coming decade, 17 will be in health care and computer fields.

The overwhelming majority of the last decade's expansion in STEM employment was in computer and math fields (78 percent) as opposed to science (only 20 percent growth) or engineering fields (no apparent growth). Getting sufficient numbers of individuals qualified for advanced education in STEM is one challenge; but connecting qualified and skilled workers to jobs in their fields is also problematic, particularly in science and engineering. A recent NSF report found that two-thirds of workers with science and engineering degrees are employed in positions that are only somewhat or not at all related to their educational expertise.

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The STEM Workforce Challenge

## **Current Responses to the STEM Challenge**

The steady drumbeat of industry, government, and educators' warnings about the future of technology-based growth has led to important action by various stakeholders to address weaknesses in the pipeline into STEM occupations and fields in the United States.

**Federal government:** The federal government has taken a hard look at its own activities to support STEM and made efforts to coordinate and expand them. In October 2005, the U.S. GAO issued a report cataloguing and assessing the impact of federal programs designed to increase the number of students and graduates or to improve educational programs in the STEM fields. The agency found 13 different federal civilian agencies spent about \$2.8 billion in fiscal year 2004

for over 200 different programs, mostly within the National Institutes of Health and the National Science Foundation. Although about half of the programs had evaluations as part of their investment, agencies reported little about the effectiveness of these investments. More recently, the National Science and Technology Council (2006) catalogued and issued recommendations for improving the impact of the federal investment in STEM education research, with particular focus on the Department of Education, NIH, and NSF, noting several ways that federal agencies can work together to ensure that gaps in STEM education research will be adequately funded and that research will be effectively disseminated to policymakers.

In his 2006 State of the Union Address, President George W. Bush announced the American Competitiveness Initiative. The Initiative promotes American innovation, emphasizes the need to increase the nation's ability to compete in the global economy, and promotes growth of the workforce's knowledge base, skill level, and use of technology. A week later, the budget act signed into law included an Academic Competitiveness Council chaired by the Secretary of Education and consisting of members of the federal government whose agencies have education programs in science, technology, engineering and mathematics. In FY 2007, Congress committed

\$5.9 billion to increase investments in research and development, strengthen education, and encourage entrepreneurship.

**Industry:** Industries and firms dependent upon a strong science and math workforce pipeline have launched a variety of programs that target K-12 students and undergraduate and graduate students in STEM fields. Industry associations that include the Society for Manufacturing Engineers, the American Chemical Society, the American Physical Society, the National Association of Manufacturers, and the National Science and Technology Education Partnership invest in STEM education initiatives that involve curricular improvements, career-focused websites, mentoring programs, scholarships, and other incentives and supports. Individual firms and their corporate foundations, including Raytheon, Bayer, and General Electric, have created outreach efforts of their own (Delaware Valley Industrial Resource Center and National Council for Advanced Manufacturing 2006).

**Foundations:** Foundations, too, are investing in efforts to promote expanded enrollments and success in STEM education, particularly among groups traditionally underrepresented in these programs. Project Lead the Way operates in more than 1000 schools in almost all the nation's states, promoting pre-engineering courses for middle and high school students. The Alfred Sloan

Foundation has invested in a career information website targeted to pre-college, college, and early career professionals regarding STEM occupations and opportunities. The Bill and Melinda Gates and the Michael and Susan Dell Foundations have collaborated with the State of Texas on an ambitious new Texas Science, Technology, Engineering and Math (T-STEM) Initiative to create new T-STEM Academies across the state, establish a best practice network, and support other efforts to increase the number of young people who enter STEM postsecondary programs.

**State government:** According to a recent Education Commission of the States report, state governments are also beginning to respond. Some are raising graduation requirements in mathematics and science. Others have developed or imported pre-engineering curricula for high schools. Other areas for state action have included teacher training and recruitment, dual enrollment in STEM courses, real-world learning opportunities for students in science and technology courses, and grants to students who pursue STEM postsecondary programs and employment (Zinth 2006).

The entrepreneurial spirit that motivates these varied and vibrant efforts is impressive. But much more can and must be done. To date, these critical efforts at the national, state, and local levels have focused primarily on students at four-year universities and traditional high schools. If the pipeline for a qualified and flexible STEM workforce is to expand to meet the growing need, the nation must look to attracting and educating additional, less traditional pools of potential STEM workers: incumbent workers, dislocated workers, students working toward community college technical credentials, even students in alternative education settings who are trying to find their way back into the economic and educational mainstream. To tap these potential sources of new STEM employees, all the nation's talent development systems need to work in concert. The Department of Labor, which coordinates a national public workforce development system and \$14 billion of investments in workforce skills, is an important stakeholder and potential contributor to a robust national strategy for tackling the STEM workforce pipeline challenge.

The Department's Employment and Training Administration is already deeply involved in supporting efforts to prepare more STEM workers. Its experience, capacity, and training and education assets puts the Department in a position to help the nation address this critical economic and security challenge—and to integrate its efforts to support innovation and growth with those of others in government, industry, and the education community.

The STEM Workforce Challenge

### **The Department of Labor's Current Contributions to a Stronger STEM Pipeline**

In seeking to help fill gaps in the nation's response to the STEM workforce challenge, the Department of Labor's Employment and Training Administration seeks ways to employ its infrastructure, capacity, investments, and initiatives for maximum impact. The Department's \$14 billion of activities and investments in talent development is a significant asset. Moreover, the

Department's unique commitment to regional workforce quality and economic growth strategies provides a powerful structure for collaboration and alignment across funding streams and public and private stakeholders.

Specifically, in collaboration with multiple agencies across the federal government, the state and local workforce investment system, and a wide array of strategic partners in the public and private sectors, ETA is committed to:

- **Building the gateway to STEM careers** by helping to prepare an educated, skilled STEM workforce in the context of its investments in preparing talent for economic development in regional economies;
- **Enhancing the capacity of talent development institutions** to produce more and better skilled STEM workers through investment of Department resources and through greater integration and alignment of existing public and private resources, so that more workers have access to postsecondary opportunities;
- **Catalyzing and supporting innovation, entrepreneurship, and economic growth** that can expand STEM employment opportunities.

Many of the Department's major initiatives are directly relevant to national strategies to improve STEM workforce pipeline outcomes. These include:

- *President's High Growth Job Training Initiative*: This initiative is ETA's foundation effort for engaging business, education, and the workforce investment system to work together to develop solutions to the workforce challenges facing high growth industries, including those industries with significant STEM-related employment. ETA identified fourteen sectors that are projected to add substantial numbers of new jobs to the economy or affect the growth of other industries or are being transformed by technology and innovation requiring new sets of skills for workers. The fourteen sectors are:

- Advanced Manufacturing • Aerospace
- Automotive • Biotechnology
- Construction • Energy
- Financial Services • Financial Services
- Geospatial Technology • Health care
- Homeland Security • Hospitality
- Information Technology • Retail
- Transportation

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The initiative invests in national models and demonstrations in these sectors, many of which have high and growing concentrations of employment that is STEM-based. Initial investments have targeted the health care, biotechnology, advanced manufacturing, and construction sectors, among others.

Here are a few examples of the Department's STEM-related investments through this initiative:

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the geospatial industry, for example, the University of Southern Mississippi is working with community colleges and industry partners to develop career ladders and apprenticeship training

programs. In the advanced manufacturing industry, the Arkansas Department of Workforce Services focuses on training for technicians in such STEM-reliant fields as programmable logic controllers, plastics engineering, and robotics. The program includes a college, community colleges, the state WIB, and the state departments of Workforce Education, Economic Development, and Higher Education. In health care, the CVS Regional Learning Center is implementing pharmacy technician training programs for incumbent workers as well as people looking to enter the industry for the first time.

**Community-based Job Training Grants:** This relatively new competitive grants program, which builds upon the High Growth Job Training Initiative, is designed to improve the capacity of community colleges to train workers in skills needed by regional employers. It recognizes that many job opportunities of today and tomorrow require postsecondary education and training and that our community colleges will play an increasingly important role in developing the skills and talent of American workers. In 2005, \$125 million in grants were made to 70 community colleges in 40 states. A second competition was conducted in 2006. Because the grants are targeted to the fourteen sectors defined above as having either high growth or high demand, many of these grants promote community college programs that prepare individuals for work in these sectors.

Northwest Iowa Community College is developing a biotech initiative that will combine a high school science curriculum component, an Associates Degree Lab Technician program for biotechnology careers, and a skills enhancement component for incumbent workers. Tanaka Valley College of the University of Alaska in Fairbanks is developing a set of curricula in technical skills needed in the state's energy industry that can be delivered in industry-based instructional sites with industry instructors. These funded programs involve multiple workforce partners including community colleges, local and/or state WIBs, businesses, trade associations, and K-12 education.

**Workforce Innovation in Regional Economic Development (WIRED)** is ETA's flagship initiative that focuses on the role of talent development in driving regional economic competitiveness, increased job growth, and new opportunities for American workers. The WIRED initiative is a regional initiative; it focuses on labor market areas that are comprised of multiple jurisdictions within state or across state borders, enabling Governors a unique opportunity to design and implement strategic approaches to regional economic development and job growth. Designed particularly for regions hard hit by global trade, dependent upon a single

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The STEM Workforce Challenge industry, or recovering from natural disasters, WIRED emphasizes strategic partnerships to accelerate and support regional transformation linking economic development, workforce, and education systems. To date, twenty-six regions have been selected for participation. In many of these efforts, collaboration to catalyze talent development for STEM-related fields is at the core of the regional strategy.

The Northwest Florida Initiative is designed to create high wage high skill jobs in the target industries of aerospace and defense, life sciences, information technology, electronics engineering,

and construction. The Denver regional strategy will focus on partnerships to address the “Colorado Paradox” of high in-migration of skilled and educated workers coupled with comparatively poorly-performing K-12 and higher education institutions in-state. The initiative will focus on raising standards in local educational institutions and reversing the current pattern. The California Innovation Corridor noted that it has the greatest concentration of potential innovation assets in the world; however it continues to seek to “Grow its Own” in order to meet the challenges of competing in the regional and global market as well as educating enough qualified technical workers to fill sectors of California’s high-tech economy. This WIRED grant has a three-tiered approach: Innovation Support, Industrial Rejuvenation, and Talent Development.

**National Emergency Grants and Dislocated Worker funds:** An important component of the Department of Labor’s portfolio is its responsibility to minimize the negative economic and employment impacts of dislocation from plant closings, regional employment shifts, and global competition. The Department provides funds that are spent for training and retraining services for dislocated workers, through the local and state public workforce system. The Department also makes available to local workforce investment boards National Emergency Grant funds for large group layoffs. While these resources are available for employees in all industries, the importance of STEM fields for American competitiveness and economic growth has led to increased allocation of these funds for STEM-related training and skill development. Funds have been used to train workers on new technologies, to enable them to earn industry certifications, and to provide entrepreneurial training and skills for workers interested in opening their own small businesses. An example of how these funds can support STEM pipeline activities: in the Merrimack Valley of Massachusetts, when Lucent Technologies laid off a large number of workers, dislocated worker and NEG funds were used to retrain STEM workers for employment in the defense and homeland security industries (Lazonick and Quimby 2006).

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**Interagency Aerospace Revitalization Task Force:** In the last session of the 109th Congress, H.R. 758 was passed and signed by the President. This new legislation, which originated in the House Committee on Commerce, Science and Transportation, establishes a new Federal Interagency Aerospace Revitalization Task Force intended to develop a strategy for the federal government for aerospace workforce development. The legislation appoints the Assistant Secretary of Labor for Employment and Training as the Chairperson of the Task Force. This is further evidence that Congress has identified the critical role workforce development plays, and therefore the Department of Labor, in ensuring that one of the nation’s most important STEM related industries has a stable, high-skilled job pipeline necessary to compete globally in this highly competitive industry.

**InDemand Magazine:** InDemand Magazine is a quarterly publication that the Employment & Training Administration produces to connect today’s students with the careers of tomorrow. It is available on [CareerVoyages.gov](http://CareerVoyages.gov) and each issue explores careers in a different high growth industry. It provides students, as well as guidance counselors, parents and teachers, with interesting and relevant information and tips about career opportunities; education and the skills needed for various jobs; and how to help students build successful futures. There are

opportunities for young people in fields ranging from art to math, from sports to science, and from design occupations to the trades.

These and other Departmental efforts—including youth employment funding under WIA, WIA adult worker programs, the longstanding registered apprenticeship system, and faith and community-based organization programs funded by ETA—give the Department an opportunity to address serious gaps in the nation’s STEM workforce pipeline strategy and to augment and help integrate investments available through other federal and other public and private sources.

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## The STEM Workforce Challenge

### **A Call to Action: Toward a Pro-Active Response to the STEM Challenge**

The Department has embraced the beginnings of an action agenda that, in collaboration with other stakeholders and investors, should help to: expand the pool of potential STEM workers; strengthen the gateway for non-traditional populations into STEM careers; ease the transition for dislocated or transitioning workers into STEM fields; and integrate national, state, regional, and local efforts into a more powerful set of partnerships and coordinated strategies.

Some specific contributions that the Department can—and does—make to this agenda include the following:

*Building the Gateway to STEM Careers:* Labor Department programs can promote alternative learning models in STEM education; support the development of career awareness materials highlighting employment in high growth, high demand STEM industries; establish a framework for defining competencies and skills essential for 21st century STEM workers; and explore the use of technology-based learning for STEM competencies.

*Enhancing the Capacity of Talent Development Institutions:* Labor Department investments can support community college efforts to train workers for STEM occupations; develop competency-based apprenticeship and internship models in STEM fields; promote the professional development of teachers, recognizing education as a high growth industry; and strengthen the public workforce system’s capacity to support employer commitment to developing a skilled STEM workforce.

*Catalyzing and Supporting Innovation, Entrepreneurship, and Growth:* The Department’s activities can accelerate the development and success of emerging and leading growth companies through access to resources, expertise, and private sector networks; invest in entrepreneurship and intrapreneurship talent development strategies; and assist entrepreneurs in finding and strengthening the skills of their workforce as their firms grow.

These kinds of investment priorities can provide important leadership and address gaps and opportunities that currently constrain the nation’s ability to generate sufficient qualified and prepared workers for the STEM fields—from the most skilled research and technical scholars to the production, service, and technician-level employees who are so critical to industry health and

growth. These investments will have even greater impact if they can be linked effectively with the investments of other stakeholders, starting with other federal agencies (particularly the Department of Education, NIH, and NSF) and extending to industry, foundations, and state governments across the nation.

The time is now for coordinated efforts to seed innovative new ideas, incubate the most promising of these initiatives, and scale demonstrably successful programs to strengthen the STEM pipeline. The Department of Labor's Employment and Training Administration is committed to partnering with others in the public, private, and not-for-profit sectors to achieve this critically important goal. The future well-being, security, and prosperity of the nation depend upon our collective success.

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