

# **Request for Proposals**

**For  
Refugee Support Services**

**Fiscal Years 2018-2020**

**Release Date: November 2, 2018**

**Proposal Due Date: November 30, 2018**



**Sacramento Employment and Training Agency  
925 Del Paso Boulevard  
Sacramento, CA 95815  
(916) 263-3800**

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)**  
**REFUGEE SUPPORT SERVICES (RSS)**  
**VOCATIONAL ENGLISH-AS A SECOND LANGUAGE/ON-THE-JOB TRAINING**  
**(VESL/OJT)**  
**ENGLISH LANGUAGE LEARNERS (ELL) WORKFORCE NAVIGATORS**  
**PROGRAM YEAR 2018 – 2019**

**PLANNING CALENDAR\***  
(Dates and times are subject to change)

Date	Event
Thursday, November 1, 2018, 10:00 a.m.	Governing Board Reviews/Approves RSS RFP
Friday, November 2, 2018, 1:00 p.m.	Release of RSS RFP
Friday, November 9, 2018, 9:00 a.m.	Offerors' Conference
Friday, November 16, 2018, 4:00 p.m.	Pre-qualification Requirements Due to SETA
Friday, November 30, 2018, 4:00 p.m.	Proposals Due at SETA
Thursday, December 20, 2018, 1:00 p.m.	Publish SETA Staff Funding Recommendations
Thursday, December 27, 2018, 5:00 p.m.	Deadline to File Protest of SETA Staff Funding Recommendations
Thursday, January 3, 2019, 10:00 a.m.	Governing Board Funding Decisions
Monday, January 7, 2019	Commencement date of services

**Note:** All meetings will be held at the Sacramento Employment and Training Agency (SETA) Board Room, 925 Del Paso Boulevard, Sacramento, CA 95815.

*Requests for auxiliary aids, interpreting services, and other reasonable accommodations are available upon request. Please contact Jennifer Fischer at (916) 263-5400 or at [Jennifer.Fischer@SETA.net](mailto:Jennifer.Fischer@SETA.net) no later than 5 days in advance of a meeting. CA relay services are available by dialing 711 and referencing Jennifer Fischer's number previously indicated.*

**SECTION I**

**GENERAL INFORMATION/GUIDELINES**

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)  
REQUEST FOR PROPOSALS  
Refugee Support Services (RSS)**

**1. BACKGROUND**

The Sacramento Employment and Training Agency (SETA) is a joint powers agency of the City and County of Sacramento. On May 10, 1983, the Sacramento County Board of Supervisors authorized SETA to act on behalf of the County for planning and administering the Targeted Assistance (TA) Grant. In 1988, AB 2635 transferred the management responsibility of the Refugee Social Services (RSS) grant from the State to the County, and SETA was designated by the Sacramento County Board of Supervisors to administer the funds.

The purpose of Targeted Assistance and Refugee Social Services funds was to provide refugees direct services that result in economic self-sufficiency and reduced dependency on public assistance through employment. In June, 2018, SETA received notification from the Refugee Programs Bureau (RPB) that the Office of Refugee Resettlement (ORR) combined the RSS and TA programs into a new Refugee Support Services (RSS) program to provide states the flexibility to allocate funds to address current and emerging needs of the most recent arrivals without having to administer duplicative service programs.

This Request for Proposals (RFP) was developed based on current Federal and State regulations, and Sacramento's Refugee Employment Services 3-Year Plan. Respondents should be aware that SETA's activities, as well as those of any funded delegate agency, are subject to any modifications required by the California Department of Social Services (CDSS).

**2. PURPOSE OF SOLICITATION**

The purpose of this RFP is to solicit, from qualified applicant agencies, proposals designed to increase the employability of eligible refugees in Sacramento County by providing education, training, employment and social adjustment and acculturation services, which, through job placement, will result in early economic self-sufficiency and reduced dependency on public assistance.

**3. QUALIFIED APPLICANT AGENCIES**

Established community-based organizations  
Public agencies  
Private for-profit entities  
Private non-profit agencies/institutions  
Educational institutions  
MAAs

All agencies must be physically located in Sacramento County. This funding is not intended to support the infrastructure development and start-up of new organizations.

**4. AVAILABLE FUNDS/PROGRAM YEAR**

The amount of RSS funding estimated to be available for allocation for PY 2018/19 under this RFP is **\$984,000**. This amount is subject to change.

**5. FORMAL AGREEMENT**

All successful proposers will be required to enter into a standard form agreement with SETA. A copy of the most recent form of this delegate agreement is available for review at SETA. Agreements entered into under this RFP will be in similar form, subject to modification required by amendments under RSS and related regulations.

Proposers are advised that the SETA Governing Board has implemented a policy requiring that all recipients of funds from SETA acknowledge that relevant programs are funded, in whole or in part, by SETA in all public documents and media outreach or advertising. All delegate agreements will contain a provision requiring subrecipients to abide by this policy.

**6. TERM OF AGREEMENTS**

All delegate agreements will be awarded for an approximate nine-month term beginning January 7, 2019 and ending September 30, 2019. Subject to fund availability, SETA shall have the exclusive option to extend any agreement(s) awarded for one additional period beginning October 1, 2019 and ending September 30, 2020 (see paragraph 7, "Extension of Agreement" for further details regarding subgrant extension). Funds are allocated on an annual basis and delegate agreements will include a maximum dollar amount, which cannot be exceeded in each year. Unspent funds from each fiscal year will be returned to SETA. In addition, delegate agreements may be modified as identified in Paragraph 18 of this section.

**7. EXTENSION OF AGREEMENTS**

Every agreement will contain a provision permitting SETA the sole option to extend or renew the agreement for one additional one year period. The decision to exercise the option to extend or renew, and the length of time for any extension or renewal, shall be made by SETA in its sole discretion. If SETA exercises its discretion to extend the delegate agreement(s) for an additional term based upon subrecipient performance and the existing conditions, SETA may, in its sole discretion, condition extension on program performance or budget modifications. In addition, extended delegate agreements may be modified as identified in Paragraph 18 of this section.

**8. PRE-QUALIFICATION REQUIREMENTS/SUBMITTAL DEADLINE**

**This is a mandatory requirement that must be met by all respondents proposing RSS services under this RFP.**

A copy of SETA's Pre-qualification Requirements is included in Section III of this RFP. Please note that the deadline for submission of all pre-qualification documents to the SETA Contracts Unit is 4:00 p.m., PST, Friday, November 16, 2018.

Any respondent who is a current provider for SETA, or who has been a recent contractor of SETA and who has previously met pre-qualification requirements, may, in lieu of submitting new pre-qualification documentation, contact Corey Lagbao, Contracts Analyst at (916) 263-3838 by 4:00 p.m., PST, Friday, November 16, 2018, to advise SETA of its intent to respond to this RFP based upon the documentation already on file with the Contracts Unit.

Within 48 hours or two working days, SETA staff will review all documentation submitted and contact, via telephone and email, those respondents who have submitted pre-qualification documents but failed to fully satisfy the requirements.

All respondents, whether SETA funded or non-SETA funded, will then have until 4:00 p.m., PST, Monday, November 26, 2018, to submit any missing, incorrect or incomplete pre-qualification documents.

**FAILURE OF A RESPONDENT TO SUBMIT INITIAL PRE-QUALIFICATION DOCUMENTS OR TO NOTIFY STAFF OF ITS INTENT TO RELY ON PREVIOUSLY SUBMITTED DOCUMENTS BY 4:00 P.M., PST, ON FRIDAY, NOVEMBER 16, 2018, AND/OR THE FAILURE TO PROVIDE COMPLETE AND CORRECT PRE-QUALIFICATION DOCUMENTS BY 4:00 P.M., PST, ON MONDAY, NOVEMBER 26, 2018, WILL DISQUALIFY SUCH RESPONDENT FROM ANY FURTHER FUNDING CONSIDERATION FOR THE FUNDING PERIOD COVERED BY THIS RFP. POSTMARKS AND OTHER PROOFS OF MAILING WILL NOT BE ACCEPTED.**

## **9. REQUIRED RESPONSE FORMAT**

Interested applicants must respond to this RFP using the proposal response format provided in Section V of this RFP. In responding, **no substitutions in format, design or activities will be considered. Proposals that do not follow the response format will be considered non-responsive.**

## **10. OFFERORS' CONFERENCE**

SETA will conduct one Offerors' Conference. The conference is intended to provide proposers the opportunity to raise any questions they may have pertaining to the development of their proposals. It is not the intent of the session to offer personalized technical assistance, but rather to provide examples, clarify information, or to answer questions related to the RFP. All potential respondents to this RFP are strongly encouraged to attend. The Offerors' Conference will be held on:

**Date:** Friday, November 9, 2018  
**Time:** 9:00 a.m.  
**Place:** SETA Board Room  
925 Del Paso Boulevard  
Sacramento, California 95815

Questions and answers (Q&As) from the Offerors' Conference will be posted on SETA's website at [www.seta.net](http://www.seta.net) under Public Information/Public Notices by Tuesday, November 13, 2018 at 4:00 p.m.

**PLEASE BE ADVISED THAT QUESTIONS REGARDING THE PREPARATION OF RESPONSES TO THIS RFP WILL NOT BE ANSWERED AFTER THE OFFERORS' CONFERENCE.**

## **11. PROPOSAL DEADLINE AND SUBMITTAL PROCEDURE**

In accordance with the policy of the SETA Governing Board, proposals time stamped or emailed after 4:00 p.m., PST, Friday, November 30, 2018 will not be considered – **NO EXCEPTIONS. NO APPEALS WILL BE ACCEPTED FOR LATE PROPOSALS.**

To be considered for funding, agencies must submit one original, seven hard copies and one electronic version of their proposal as follows:

- (a) The original shall be submitted either in person, by mail or by email with the original signature(s), and identified as the original. An original submitted electronically by pdf with signatures included shall be treated as an original document for all purposes. Electronic submission shall be by email to Jennifer.Fischer@seta.net.
- (b) Seven (7) hard copies must be provided and shall be reproductions of the original.
- (c) If the original is submitted in person or by mail, one (1) electronic version of the proposal on a compact disk (CD) or flash drive must be provided either with the original or with the seven (7) copies. If the original is submitted by e-mail, no additional electronic copy is required.

### **Proposals may be submitted as follows:**

- (a) In person at the SETA Main Office - The original proposal submitted in person must be in the SETA office and time stamped by the SETA receptionist no later than 4:00 p.m., PST, Friday, November 30, 2018.
- (b) Mail, delivery service, or courier to the SETA Main Office - The original proposal mailed to SETA must be received in the SETA office no later than 4:00 p.m., PST, Friday, November 30, 2018.
- (c) Electronically via e-mail to Jennifer.Fischer@seta.net. The electronic original must be received no later than 4:00 p.m., PST, Friday, November 30, 2018.
- (d) Seven (7) hard copies must be submitted with the original or separately. If submitted separately, the copies must be submitted by mail or in-person to the SETA office no later than 9:00 a.m., PST, Monday, December 3, 2018 and, if the original was not submitted electronically, the submission of either the original or the seven (7) hard copies must include one (1) electronic version of the proposal on a compact disk (CD) or flash drive. Be advised that all copies must be the same as the first proposal submitted. Alterations to the first

proposal submitted are prohibited and may cause the entire proposal to be deemed non-responsive in the sole discretion of SETA.

**Proposals are not to be bound or include section dividers.** It is recommended that binder clips or rubber bands be utilized to keep copies separate.

The proposal must be signed by an appropriate official who is authorized to submit the proposal on behalf of the responding agency. The proposal must also include documentation indicating by what authority (resolution) the person(s) is/are authorized to negotiate and contractually bind the responding agency, if selected.

The following process will apply to all proposals:

- All proposals submitted by the deadline will be placed in an envelope by SETA. No determination will be made on the responsiveness of the proposal to the RFP at the time of submission.
- No proposal will be accepted from any person after the submittal deadline.
- Staff will inform the Governing Board of any non-responsive proposals to the RFP. Those wishing to address the above circumstances will be allowed to do so before the SETA Governing Board.
- Testimony to the Governing Board will be given prior to final funding decisions in order to allow for consideration of all eligible proposals.

## **12. SELECTION CRITERIA FOR SERVICE PROVIDERS**

The following criteria shall be utilized in the selection of service providers:

- (a) The primary considerations in selecting agencies or organizations to deliver services within a service delivery area shall be the effectiveness of the agency or organization in delivering comparable or related services to refugees based on demonstrated ability to provide the service, and demonstrated performance, such as meeting performance goals, program costs, quality of service, job placements, and characteristics of participants.
- (b) Funds provided under RSS shall not be used to duplicate services available in the area (with or without reimbursement) from Federal, State, or local sources, unless it is demonstrated that alternative services would be more effective or more likely to achieve the service delivery area's performance goals.
- (c) SETA will adhere to the following State-required assurances: The County's procurement process will be carried out in accordance with the provisions of the Management and Office Procedures, Purchase of Services, (Chapter 23-600) section of CDSS Manual.



## 13. **EVALUATION PROCEDURE AND CRITERIA**

Final selection of service providers is the responsibility of the SETA Governing Board. In order to assist the SETA Governing Board in making funding decisions, SETA staff will evaluate each proposal and provide the SETA Governing Board with the results of the evaluations in the form of staff recommendations. Staff recommendations will be based upon an evaluation of each proposal submitted, the applicant agency's demonstrated ability and past performance in delivering programmatic results, and the accountability objectives outlined in this RFP. Past program performance will be a significant factor in the evaluation process. Applicant agency past performance will be evaluated. Agencies with no recent record of past performance with SETA will be required to supply references that will be contacted by SETA staff. Information provided by such references will be evaluated and considered by staff in the development of staff recommendations.

The following is a summary of the evaluation criteria:

### **I. Program Summary**

The summary of the proposed program activity is linked to participant outcomes and is clearly described. It includes:

- Specific and concise statements regarding the purpose of the proposed program activity and services
- A description of the proposed participant, the participants' needs, and proposed strategies to address the participants' needs
- A description of the geographic area to be served
- Specific program goals and objectives to be achieved
- A description of how program outcomes will benefit the community

### **II. Program Management**

- The history, purpose, staffing and language capacity, services provided and experience of the organization operating the proposed program is clearly described and indicates successful provision of refugee employment services.
- The organization's internal fiscal system and fiscal controls are clearly described and adequate to meet reporting and monitoring requirements.
- The process used to evaluate and monitor the organization's proposed program is clearly described and is consistent with federal and state requirements.

### **III. Coordination/Collaboration**

- The connection to and coordination with the Sacramento Works America's Job Centers of California (SWAJCC) system and DHA is clearly described.
- The coordination with current SETA refugee program providers and local resettlement agencies is clearly described.
- Strategies for co-enrollment with WIOA Title I, II and other federal, state and

local programs are clearly described.

#### **IV. Service Delivery System**

- Outreach, recruitment, and assessment of refugee participants are clearly described.
- Strategies ensuring services to non-exempt CalWORKs recipients are consistent with DHA Welfare-to-Work (WTW) plans are clearly described, including meeting work participation requirements.
- Strategies ensuring work participation requirements are met by Refugee Cash Assistance (RCA) recipients are clearly described.

#### **V. Activity Description/Program Design**

- Adequately demonstrates experience and ability to provide the proposed activity.
- Effectively describes the provision of supportive services.
- Case management strategies are clearly described, including the tracking and reporting of participant progress, and job placement assistance.

#### **VI. Budget**

- The proposed budget and budget narrative align with the proposed services, are accurate, and demonstrate cost reasonableness and appropriateness.

#### **VII. Demonstrated Performance.**

##### **a. SETA-Funded Service Providers**

In addition to the evaluation criteria outlined above, all proposers who are either current or recent SETA-funded service providers will be evaluated on overall past program performance and the ability to meet contractual performance standards for up to a three year funding cycle.

Evaluation of current performance will include the proposer's ability to manage its program. Examples of evaluation criteria include:

- Ability to serve the refugee population
- Demonstrated ability to recruit non-mandatory CalWORKs participants
- Achievement of contractual service levels
- Achievement of performance goals
- Submission of timely fiscal and program participant reports, as well as required contract documents to SETA.

The data used to evaluate programs will be provided by SETA's Program Monitoring, Fiscal, Contracts, and Management Information System (MIS) units.

b. Proposers with no current/recent SETA-funded program operation experience

Organizations not currently or recently funded by SETA will be evaluated based on information obtained from references submitted in the "References" section of the RFP. This includes organizations funded by SETA prior to October 1, 2016. References will be asked to provide an overall assessment of program performance and capacities, including:

- Actual performance vs. planned goals
  - Entered Employment Rate
  - Employment Retention Rate
  - Average Wage at Placement
- Type of program/service(s) funded
- Participant characteristics (i.e., number served, age, target groups, etc.)
- Geographic area served
- Grant amount and duration (include date(s) funded)
- Fiscal accountability
- Reporting and record keeping performance/capabilities

SETA reserves the right to directly contact all references.

**14. PRICE/COST REASONABLENESS AND JUSTIFICATION**

All proposals will be evaluated based on the reasonableness of costs. Budgets will be reviewed for the reasonableness of cost items in relation to the type and length of service and the number of participants projected to be served. Costs will be compared to the historical costs of similar programs, as well as the costs of other proposals submitted in response to this RFP.

Proposers will be evaluated on the average cost per participant. The average cost per participant is the total amount of funding requested divided by the number of participants to be served in a program year.

**15. STAFF FUNDING RECOMMENDATIONS**

SETA staff will follow the process outlined below:

- (a) Thursday, December 20, 2018, 4:00 p.m., PST, staff funding recommendations will be published on SETA's website at [www.seta.net](http://www.seta.net).
- (b) Protests, if any, will be accepted by the Clerk of the Boards by the deadline of Thursday, December 27, 2018, 5:00 p.m., PST.
- (c) Thursday, January 3, 2019, 10:00 a.m., PST, the SETA Governing Board will make final funding decisions.

## **16. PROTEST PROCEDURES TO RESOLVE PROCUREMENT DISPUTES**

All protests to resolve disputes concerning this RFP must be submitted in writing and must specify, in detail, the grounds of the protest, the facts and evidence in support, thereof, and the remedy sought. The written protest must be delivered to the Clerk of the Boards at SETA within the time limits provided below. In the absence of a timely and properly submitted written protest, no party responding to this RFP shall be eligible for any remedy.

Any proposer desiring to protest a funding determination concerning this RFP or the recommendation of SETA staff must file a written protest with the SETA Governing Board by Thursday, December 27, 2018, 5:00 p.m., PST, by emailing the protest to Michelle O'Camb at michelle.ocamb@seta.net. The SETA Governing Board shall resolve any protest based upon the written protest and any oral or written response thereto provided by staff. Any SETA Governing Board resolution of the protest shall be made prior to any funding determination under this RFP. The SETA Governing Board's decision shall be deemed final.

SETA adheres to the provisions of Sections 54950.5, *et. seq.* of the California Government Code, generally known as the Brown Act. Pursuant to Sections 54954.2 and 54954.3, members of the public may address the SETA Governing Board on any matter under its jurisdiction.

## **17. LIMITATION**

SETA shall not pay for any costs incurred by the responding agency in the preparation of proposals in response to this request. Completion of pre-qualification requirements or the RFP does not, in any way, obligate SETA to award a delegate agreement.

SETA reserves the right to accept or reject any or all proposals, to negotiate with all qualified sources, or to cancel, in part or in its entirety, this RFP if it is in the best interest of SETA to do so. If only one responsive proposal is received, SETA will deem this competition to have failed. In such an event, SETA may, in its sole discretion, proceed with sole source procurement or cancel this RFP, and proceed with a new competitive procurement.

SETA will require successful respondent agencies to participate in delegate agreement negotiations and to submit any programmatic, financial, or other revisions of their proposal that may result from negotiations prior to finalizing a delegate agreement. SETA shall reserve the right to terminate, with or without cause, any delegate agreement entered into as a result of this RFP process.

## **18. MODIFICATION OF SUBGRANTS**

Any delegate agreement funded pursuant to this RFP may be unilaterally modified by SETA upon written notice to delegate under the following circumstances:

- a. Subrecipient fails to timely meet its performance standards as set forth in the delegate agreement

- b. The Federal or State Government increases, reduces, or withdraws funds allocated to SETA under RSS
- c. There is a change in Federal or State law or regulations, or the policies and procedures of SETA are amended, revised or modified

**19. SUBCONTRACTING**

Subcontracting to another entity for the provision of training services is not allowable. All training services provided with SETA funding must be provided by the respondent's staff. Subcontracting for specialized, technical portions of SETA-funded training services, may be permitted. In such instances, proposers must clearly delineate in the proposal any plans to subcontract, identify with clarity the nature and scope of any planned subcontracting activity, and identify and verify the capability of the proposed subcontractor(s). SETA reserves the right to approve the form and content of all subcontracts. Additionally, prior to the provision of service, any/all training subcontractors will be required to meet SETA's administrative requirements, including SETA's Governing Board adopted Insurance Requirements.

**20. START-UP AND PROGRAM OPERATION**

The anticipated commencement date for these procured RSS services will be Monday, January 7, 2019, contingent upon Governing Board approval of funding recommendations and successful proposers meeting SETA's insurance requirements.

## **SECTION II**

**ALLOCATIONS BY FUNDING SOURCE/ACTIVITY**

**ELIGIBILITY REQUIREMENTS**

**PRORAM REQUIREMENTS**

**ALLOWABLE ACTIVITIES AND SERVICES**

**DESCRIPTION OF ALLOWABLE ACTIVITIES**

**I. ALLOCATIONS BY ACTIVITY**

Estimated allocations by activity are:

<b>ACTIVITY</b>	<b>AMOUNT</b>
Vocational English-as-a-Second Language in concurrence/On-the-Job Training (VESL/OJT)	\$704,000
English Language Learner (ELL) Workforce Navigator	280,000
<b>Total</b>	<b>\$984,000</b>

**Anticipated number of awards:**

- VESL/OJT – 4
- ELL Workforce Navigators – 4

**Average cost per participant:**

- VESL/OJT - \$8,000 (Employer’s wage reimbursement is included in this cost.)
- ELL Workforce Navigators - \$3,500

Note: A minimum budgeted amount of five percent (5%) per award will be required for supportive services.

**II. ELIGIBILITY REQUIREMENTS FOR THE RSS PROGRAM**

Clients served under the RSS program must reside in Sacramento County

**-AND-**

**A. Refugees/Asylees/Entrants/Special Immigrant Visa Holders (SIVs) -**

- (a) Must be an eligible refugee/asylee/entrant/SIV, as indicated on the I-94, or formerly held refugee status if currently a resident alien, as indicated on the I-151 or I-551

**-OR-**

**B. U.S. Citizens -**

- (a) A child born in the United States where both parents are refugees, or if only one parent is present, that parent must be a refugee
- (b) An Amerasian from Vietnam who entered the United States after October 1, 1988

**-AND-**

- 1. Must be 16 years of age or older;
- 2. Cannot be a full-time student in primary or secondary school unless the refugee is a mandatory participant referred by the County Department of Human Assistance (DHA)
- 3. Must be on public assistance
- 4. Must be in the country less than five years from the date of enrollment

**C. Certified Victims of Human Trafficking -**

Individuals who have been recruited, harbored, transported, provided, or have been obtained by a person for labor or services through the use of force, fraud, or coercion for the purpose of involuntary servitude, peonage, debt bondage, or slavery; or sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age. An individual must hold an official certification letter from the Office of Refugee Resettlement (ORR).

**D. Priority of Service –**

Services are to be provided to individuals based on the following order of priority:

- 1) Newly arriving refugees during their first year in the country
- 2) Cash aid refugees, asylees, SIVs, and certified victims of human trafficking
- 3) Employed refugees, asylees, SIVs, and certified victims of human trafficking in need of services to retain employment or to obtain economic self-sufficiency
- 4) Employed non-cash refugees, asylees, SIVs, and certified victims of human trafficking.

Successful applicants will be asked to place a special emphasis on recruiting and re-engaging former Refugee Cash Assistance (RCA) recipients that have been in the country for over 8 months and non-mandated cash aid clients.



### **III. PROGRAM REQUIREMENTS FOR ALL TA/RSS/RSS SET-ASIDE PROGRAMS**

#### **A. Eligibility Certification/Verification/Enrollment -**

All potential participants must be verified eligible for RSS services. Verification of eligibility will be made by SETA. Service providers are responsible for obtaining official verification documents for each participant prior to enrollment. Enrollment takes place after an applicant has been assessed and certified.

#### **B. Intake/Assessment/Tracking -**

Service providers must provide the following services to all participants:

- Collect official eligibility/verification documents for each participant
- Assess language proficiency, work skills, academic levels, and place in appropriate activity
- Assess supportive services needs, provide supports as applicable, and, if applicable, coordinate with DHA for the provision of supportive services for CalWORKs refugees
- Track and report participant progress, including non-participation/non-cooperation, if applicable.

#### **C. Participation Requirements for CalWORKs and Refugee Cash Assistance (RCA)-**

Services provided to all non-exempt CalWORKs participants must be in compliance with individual Welfare-to-Work (WTW) plans and all other DHA requirements, including meeting work participation requirements.

Services provided to RCA recipients must be in compliance with all DHA requirements, including meeting work participation requirements.

#### **D. Case Management -**

Case management is required and essential in ensuring the success of a participant obtaining employment. Effective case management utilizes a number of steps to assist participants in obtaining and retaining employment. These steps are as follows:

##### **1) Assessment**

Refugee service providers are required to assess each participant. Areas to be assessed include English language proficiency, work experience, skill levels, interests, academic levels, occupational skills, aptitude, financial resources and service needs. The assessment can be a recent assessment of a participant, with updates and re-assessments conducted, as appropriate.

Assessment is ongoing through a refugee's participation and is essential in identifying any additional barriers that an individual may need to overcome in order to successfully complete employment services and enter and retain employment.

## 2) Family Self-sufficiency Plan (FSSP)

The developing of a FSSP is required, and includes:

- a. Financial assessment for self-sufficiency target
- b. Identification of barriers to employment
- c. Short-, mid-, and long-term employment goals
- d. Planned program and supportive services based on the assessments
- e. Ongoing case management

## 3) Supportive Services

All participants must be assessed for supportive service needs. The purpose of supportive services is to ensure that there is necessary support for the participant to successfully achieve his/her goals. This may include transportation assistance, childcare, and ancillary supports such as clothing, uniforms, work-related tools, etc. To the greatest extent possible, refugee providers should address supportive service needs through partnerships and the leveraging of resources.

Note: DHA will be responsible for the provision of supportive services to eligible CalWORKs recipients.

## 4) Participation Documentation

Refugee service providers will be required to record/document participation information in an individual participant's file. This is solely the responsibility of refugee service providers.

## 5) Job Development/Placement Assistance

SETA-funded RSS programs must adhere to the "Work First" philosophy and will be required to provide job development/placement assistance services as an integral part of the program. This assistance must include, at a minimum, job counseling, job bank information, job development, career orientation, and job information from local governmental agencies, private sector employers, and online job postings, newspaper ads, and job posting search engines.

## 6) Follow-up/Job Retention Services

Follow-up for 90-days is required and a key component of the case management process. It is critical to ensuring a participant's continuation and success in unsubsidized employment. Services may include the provision of supportive services, addressing work-related issues that may arise, assistance in securing higher paying jobs, assistance with career pathway development, assistance with pursuing or continuing education or training, and the provision of work related peer support groups. The types and intensity of services provided must be determined based on the needs of the individual and may differ for each participant.

## **E. Reporting Requirements -**

Required reporting under RSS includes, but may not be limited to:

- a) Monthly Management Information System (MIS) reports on participation
- b) Monthly Fiscal reports
- c) Other reports as mandated by the CDSS-RPB, DHA, or SETA.

## **IV. RSS ACTIVITIES**

The following services/activities are being procured under this RFP:

- Vocational English-as-a-Second Language/On-the-Job Training (VESL/OJT)
- English Language Learner (ELL) Workforce Navigator

## **V. DESCRIPTIONS OF ACTIVITIES**

### **A. Vocational English-as-a-Second Language/On-the-Job Training (VESL/OJT) -**

**VESL** - This component is designed to provide VESL in concurrence with OJT. All participants must be pre-tested utilizing a standardized English language assessment. If a participant's Student Performance Level (SPL) is 3 or above, the participant may be placed directly into the OJT component. If the SPL is 2 or below, the participant must participate in VESL to improve English language proficiency to better attain necessary work readiness skills.

The VESL curriculum must integrate job search and vocational skills. Curriculum must provide participants the basic knowledge of vocational English that is necessary to obtain a job and must include at least **40 hours of Job Readiness** instruction, such as review of American work ethics, employment seeking techniques and strategies, identifying employers, review of employer expectations, employer/employee rights, resume preparation, job interviewing, upward mobility, vocational terminology, use of tools and equipment, and safety procedures. The curriculum may be offered as beginner, intermediate and advanced classes to meet the needs of different levels of learners. Instructors of VESL are required to hold a current valid California Teaching Credential in academic subjects.

Participants not participating in VESL must, at a minimum, must be provided 40 hours of Job Readiness instruction through one-on-one, group, or workshop sessions.

In addition, providers must:

- Create a job bank in order to facilitate job search and familiarize participants with seeking employment without supervision
- Develop unsubsidized jobs with private and public sector employers
- Introduce to and encourage the use of the Sacramento Works America's

Job Center of California (SWAJCC) system and its services, specifically for additional job development and placement assistance services

**OJT** – OJT is an activity designed to place adults who are unemployed, into full-time jobs on a “hire first” basis where supervision and training are provided by the employer. OJT affords participants the opportunity to be trained or retrained while acquiring the work skills necessary to succeed in and retain employment while contributing to an employer’s productivity.

Successful OJT providers will be required to use SETA’s standard OJT contract form, and employers may be eligible for reimbursement of up to 75 percent of the wages paid to participants to compensate for the employer’s costs for additional supervision and training related to the OJT. An OJT contract must be limited to the period of time required for a participant to become proficient in the occupation for which the training is being provided. In determining the appropriate length of the contract, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the customer, prior work experience, and the participant’s FSSP. It is expected that successfully completed OJTs will result in unsubsidized employment.

**In summary, the design of the OJT component focuses on four basic areas:**

- Seeking eligible employers who demonstrate the interest and ability to train individuals under an OJT and retain individuals following completion of subsidized training
- Offering OJT opportunities to refugees who lack the related educational training or work experience for the job for which training is offered
- Emphasizing the unsubsidized retention of OJT employees by the employer at the completion of the contracted OJT period
- Co-enrolling participants in WIOA Title I and II programs, as well other federal, state, and local programs, when deemed appropriate, to ensure alignment/integration of programs and the provision of wrap-around services.

**Requirements for OJT length of training and participant wages are as follows:**

- Length of Training – The average length of training shall be 320 hours, with the maximum length of training not to exceed 640 hours.
- Participant Wage – The average wage shall be \$12.00 per hour, however, actual wage rates in OJTs must be equal to the wage rate paid to others in the same, unsubsidized occupation. Additionally, the wage rate shall never be less than minimum wage.

Successful applicants will be required to assist participants in submitting 10 job applications with at least three employers every two weeks until an OJT contract is developed. The documentation of job search efforts must be tracked and kept in each participant’s case file.

In addition, providers funded under this activity will be required to coordinate services with DHA when serving CalWORKs recipients to ensure that OJT services provided to CalWORKs recipients are consistent with Welfare-to-Work Plans and/or other service agreements between DHA and respective CalWORKs recipients.

## **B. English Language Learner (ELL) Workforce Navigator -**

The ELL Workforce Navigator program is intended to establish RSS-funded navigators that will enhance the integration and the embedding of RSS services within the Workforce Innovation and Opportunity Act (WIOA), Titles I and II, Workforce Development and Adult Education, and increase collaboration with Title IV, Department of Rehabilitation, and other federal and state funded programs.

ELL Workforce Navigators must be co-located full-time at a SWAJCC or at an Adult Education campus, or a combination of the two. ELL Workforce Navigators will assist refugees in navigating workforce system services through enhanced coordination/integration with the WIOA Title I, SWAJCCs, Adult Education and Block Grant (AEBG) and WIOA Title II programs, and other workforce development programs and services. At a minimum, Navigators will ensure access and connect refugees to the following services, as deemed appropriate:

- VESL instruction
- Adult Basic Education (ABE)
- High school completion/equivalency
- Career exploration and labor market research
- Career pathways exploration and development
- Vocational training
- Support services
- Job placement and retention services

In addition, refugees served under this activity will be provided Job Readiness instruction, such as review of American work ethics, employment seeking techniques and strategies, identifying employers, review of employer expectations, employer/employee rights, resume preparation, job interviewing, upward mobility, vocational terminology, use of tools and equipment, and safety procedures must be provided to all refugees participating in this activity.

### **Key Components:**

- **Establishing RSS-funded ELL Workforce Navigators** to serve as job coaches, mentors, and champions that can better assist refugees navigate the Sacramento's workforce development and education systems and assist them with obtaining employment, and to serve as a liaison in connecting participants to supportive services
- **Conducting targeted outreach and increasing accessibility to workforce services for refugee populations** with utilizing a "no wrong door" approach

- **Increasing Alignment/Integration and Co-enrollment in WIOA Title II Adult Education** - In addition to co-enrollment of participants in RSS and WIOA Title I and II, Navigators will take opportunities to co-enroll refugees in other federal, state, and local funded programs as applicable
- **Coordinating Integrated Resource Teams (IRTs) and Supportive Wrap-around Services** for refugees by assembling case team members that work together to identify and overcome participant hurdles. IRTs are intended to create networks of partners that web services and resources together to assist refugees in achieving success
- **Building on existing partnerships, such as CBOs** to assist in locating refugees, in learning cultures and challenges of refugee populations, in leveraging resources, and in harnessing best practices on how to better engage and better serve adult refugees. Additionally, Navigators will work with their existing partners to identify areas where alignment organically exists such as in participant eligibility and intake processes, the administering of assessments, and the development of participant plans
- **Seeking out Integrated Education and Training (IET) opportunities for refugees**, which is different from traditional, sequential participation in adult literacy and vocational training - Navigators will identify and utilize education and training opportunities for participants where Adult Basic Education (ABE) and/or Adult Secondary Education is embedded with vocational skills training to accelerate the success of refugees

### **C. Supportive Services**

The purpose of supportive services is to ensure that there is necessary support for participants to successfully achieve his/her goals. Supportive services are essential in ensuring participation in training activities, job search and retention of employment. Specific supportive services to be provided may include:

1. **Transportation** – Payments (such as money for bus passes) when such assistance is related to participation in available training activities and/or employment
2. **Child Care** – Payments for care of the participant's children who are 13 years of age or younger if the participant needs such care to participate in the program (**only available to CalWORKs recipients and to be paid by DHA**).
3. **Ancillary Expenses** – Cash allowances for job-related expenses, which are essential to job performance, such as books, tools, uniforms, union fees, driver licenses, training registration fees, etc.
4. **Translation/Interpretation Services** – Services that assist participants in understanding communications in their own languages, and translation of credentials and degrees.

5. **Referral for Personal Counseling** – Activities that provide information and refer participants to the available resources for personal therapy/counseling.

Supportive services for RCA and GA participants are administered by the provider (some restrictions apply for GA recipients). Support services for CalWORKs participants will be provided by the County DHA.

**VI. COLLABORATION WITH OTHER PROGRAMS**

The delivery of these services by successful proposers will support the SWAJCCs. Providers of refugee program employment and training services are required to work closely with SWAJCC staff and the respective partner staff housed within or outside of the SWAJCC to provide comprehensive case management service strategies to refugee participants. Additionally, providers of refugee program employment and training services are required to coordinate with other refugee program service providers in the community such as the providers of social adjustment and cultural orientation services, DHA case workers, and other organizations serving the refugee community.

Special consideration will be given to applicants that facilitate co-enrollment of participants in WIOA Title I and II programs, as well other federal, state, and local programs to ensure alignment/integration of programs and the provision of wrap-around services.

**VII. PERFORMANCE STANDARDS**

The following performance standards will be applied as the basis for the evaluation of the performance of programs funded under RSS, as applicable. It should be noted that these standards are subject to change by action(s) taken by ORR, or CDSS-RPB.

**A. Enrollment –**

This performance area measures the number of actual enrollments compared to planned enrollments in that activity.

Activity	Performance Standard
All Activities	+ or – 15% of planned enrollment

**B. Entered Training -**

This performance area measures the number of participants that enter training as a percentage of total enrollments in that activity.

Activity	Performance Standard
VESL/OJT	85%

**C. Entered Employment Rate -**

This performance area measures the numbers of participants that enter employment as a percentage of total enrollments in that activity.

Activity	Performance Standard
VESL/OJT	60% (at least 80% must be full-time placements)
ELL WORKFORCE NAVIGATOR	60% (at least 80% must be full-time placements)

**D. Public Assistance Reductions/Terminations -**

This performance area measures the number of cash aid participants who either received a reduction in public assistance or were terminated from public assistance as a percentage of the total participants entering employment from that activity.

Activity	Performance Standard
VESL/OJT	50%
ELL WORKFORCE NAVIGATOR	50%

**E. Wage at Employment –**

This performance area measures the wage earned by participants at placement into unsubsidized employment from that activity.

Activity	Performance Standard
VESL/OJT	\$12.00*
ELL WORKFORCE NAVIGATOR	\$12.00*

\*At no time can the placement wage be below the State's minimum wage.

**F. Job Retention Rate -**

This performance area measures the number of participants that are employed on the 90<sup>th</sup> day following initial placement into unsubsidized employment

Performance Area	Performance Standard
VESL/OJT	65%
ELL WORKFORCE NAVIGATOR	65%



**G. Full-Time Job with Health Benefits -**

This performance area measures the number of participants that enter full-time employment offering health care benefits as a percentage of the total participants entering full-time employment.

<b>Activity</b>	<b>Performance Standard</b>
VESL/OJT	50%
ELL WORKFORCE NAVIGATOR	50%

**SECTION III**

**APPLICANT AGENCY PREQUALIFICATION REQUIREMENTS**

**INSURANCE REQUIREMENTS**

## **APPLICANT AGENCY PREQUALIFICATION REQUIREMENTS**

Each applicant agency must submit one complete copy of each item outlined below that applies to the applicant agency. Should the applicant be a joint venture or consortium, each party to such joint venture or consortium shall comply with the appropriate section in addition to submitting a copy of the "Declaration of Partnership or Joint Venture" (Attachment #9). SETA contracts staff will assist applicant agencies in meeting the prequalification requirements, but it is the applicant's ultimate responsibility to verify with SETA that current documents are on file. Verification can be obtained by contacting Yer Yang, Workforce Development Analyst III, at (916) 274-6390 or yer.yang@seta.net.

**FAILURE TO SUBMIT AND/OR RESPOND TO THESE PREQUALIFICATION REQUIREMENTS NO LATER THAN THE DEADLINE NOTED IN SECTION I OF THE RFP WILL DISQUALIFY APPLICANT AGENCY FROM ANY FURTHER FUNDING CONSIDERATION.**

### **A. DISCLOSURE/CERTIFICATION FORMS PREQUALIFICATION REQUIREMENTS** (Applicable to all Applicants)

All applicant agencies must submit the following four (4) attachments (Attachments #1 through #4). Each attachment must be signed (**original signature**) by an authorized representative(s) of the respondent agency.

1. **Attachment #1 - Fair Political Practices Commission Disclosure Forms**
2. **Attachment #2 - Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion**
3. **Attachment #3 - Certification Regarding Lobbying**
4. **Attachment #4 - Certification Regarding Drug-free Workplace Requirements**

**B. INSURANCE PREQUALIFICATION REQUIREMENTS** (Applicable to all Applicants)

1. **Attachment #5 - Insurance Authorization**. All applicant agencies must submit an Insurance Authorization form (Attachment #5). The attachment must be signed by an authorized representative(s) of the applicant agency.
2. **Attachment #6 - New Applicant Insurance Questionnaire**. Applicant agencies that are not currently funded by SETA must complete and submit the New Applicant Insurance Questionnaire (Attachment #6) stating the type of insurance and name of company they will use if funded.

**C. ADMINISTRATIVE PREQUALIFICATION REQUIREMENTS**

1. **FOR PUBLIC AGENCIES**

- (a) I.R.S. Employer Identification Number

Note: This is a nine-digit number beginning with 94 for most agencies.

- (b) Names and mailing addresses of current Governing Body

- (c) Certification of Accounting System (Attachment #7). To be completed and signed by applicant agency's chief financial officer. **MUST HAVE ORIGINAL SIGNATURE**.

2. **FOR NON-PROFIT ENTITIES**

- (a) Articles of Incorporation or Organization (include all amendments)

Note: Secretary of State registration stamp must be shown on original articles as filed and any amendments.

- (l) If incorporated in a state other than California, include State of California Certificate of Qualification allowing you to operate here or a current Certificate of Status.

- (b) Current Statement of Information filed with Secretary of State

- (c) Federal Tax Exempt Status Verification (to include final determination letter, if applicable)

Note: This is a letter granting tax exemption from the Internal Revenue Service. This exemption is separate from the State exemption and requires a separate filing with I.R.S. If newly incorporated, provide copy of application to include notice of I.R.S. receipt.

- (d) I.R.S. Employer Identification Number

Note: This is a nine-digit number beginning with 94 for most corporations.

- (e) State Tax Exempt Status Verification

Note: This is a letter granting tax exemption from the State of California Franchise Tax Board. This exemption requires a separate filing from the Federal since the state does not automatically recognize the Federal Determination.

- (f) Names and mailing addresses of current local Board of Directors.
- (g) Certification of Accounting System (Attachment #8). To be completed and signed by public accountant or certified public accountant. **MUST HAVE ORIGINAL SIGNATURE.**

3. **FOR PRIVATE FOR-PROFIT ENTITIES**

- (a) Articles of Incorporation or Organization (include all amendments)  
Note: Secretary of State registration stamp must be shown on original articles as filed and any amendments.
  - (l) If incorporated in a state other than California, include State of California Certificate of Qualification allowing you to operate here or a current Certificate of Status.
- (b) Current Statement of Information filed with Secretary of State
- (c) I.R.S. Employer Identification Number  
Note: This is a nine-digit number beginning with 94 for most corporations.
- (d) Names and mailing addresses of current Board of Directors.
- (e) Certification of Accounting System (Attachment #8). To be completed and signed by public accountant or certified public accountant. **MUST HAVE ORIGINAL SIGNATURE.**
- (f) If doing business in other than corporate name, provide a copy of current fictitious business name statement.

4. **FOR PRIVATE FOR-PROFIT PARTNERSHIP**

- (a) Declaration of Partnership or Joint Venture (Attachment #9).
- (b) If operating under a "doing business as" entity, provide a copy of current fictitious business name statement.
- (c) I.R.S. Employer Identification Number  
Note: This is a nine-digit number beginning with 94 for most organizations.
- (d) Certification of Accounting System (Attachment #8). To be completed and signed by public accountant or certified public accountant. **MUST HAVE ORIGINAL SIGNATURE.**

5. **FOR PRIVATE FOR-PROFIT SOLE-PROPRIETORSHIP**

- (a) If doing business in other than sole-proprietorship name, provide a copy of current fictitious business name statement.
- (b) I.R.S. Employer Identification Number  
Note: This a nine-digit number beginning with 94 for most entities.

- (c) Certification of Accounting System (Attachment #8). To be completed and signed by public accountant or certified public accountant. **MUST HAVE ORIGINAL SIGNATURE.**

**D. FOR ALL PRIVATE APPLICANTS PROPOSING POSTSECONDARY AND/OR VOCATIONAL EDUCATION CLASSROOM TRAINING**

1. An Approval to Operate issued to the Private Postsecondary Educational Institution by the State of California, Department of Consumer Affairs, Bureau for Private Postsecondary Education.

-OR-

2. Proof of accreditation issued by the Western Association of Schools and Colleges or other proof of accreditation deemed acceptable by SETA, such as accreditation by one of the following:

- (a) A degree-granting institution accredited by a national or regional accreditation agency recognized by the U.S. Department of Education or by the Committee of Bar Examiners for the State of California;
- (b) A degree-granting institution, unaccredited and unapproved, authorized by filing of public disclosure information (May not issue diplomas under this authority);
- (c) A licensed hospital, issuing diplomas in connection with the operation of the hospital;
- (d) An institution accredited, approved, or licensed as a school by a state board, department or agency; or
- (e) An institution or program (non-degree) accredited by a national or regional accreditation agency recognized by the U.S. Department of Education.

-AND-

3. School Catalog approved by the appropriate certifying or accrediting agency or proof that such approval is not granted by such agency.

**E. FOR ALL APPLICANTS PROPOSING ADULT SECONDARY EDUCATION (ADULT BASIC SKILLS, HIGH SCHOOL COMPLETION OR EQUIVALENCY)**

1. Documentation of authority to provide Adult Basic Education (ABE), high school completion or equivalency in instruction in California.

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**CONTRACT POLICY**

Should applicant's proposal be selected for funding, applicant agency must be able to comply with

the following requirements:

A. Audit

Before any funds are issued under any subgrant/agreement, funded agency shall submit to SETA a copy of the reports generated in connection with the most recent audit of its financial systems. These reports shall be in a form that complies with the provisions of the “Uniform Administrative Requirements, Cost Principles and Audit Requirements for HHS Awards (HHS Super Circular – 45 CFR Part 75).

B. Insurance

Prior to contract execution and commencement of program performance, SETA shall receive from each funded agency's insurer a certificate of insurance, and applicable endorsements issued by the funded agency's insurance carrier, indicating all of the coverage required by SETA's Insurance Requirements as they exist at the time of contract execution. Current requirements are outlined in Attachment #10.

SETA is very exacting with regard to the insurance requirements and will require necessary certificates and endorsements in compliance with those requirements in place at the time of contract execution. If an agency's insurance is not in place prior to the start of the program, the agency will not be allowed to start. If an agency's insurance expires during the course of the program and new certificates/endorsements are not received prior to the expiration date, payment will be suspended immediately. Performance will be suspended shortly thereafter if the agency's new insurance certificate(s) is/are not filed with the SETA Contracts Unit.

**Note:** Insurance endorsements must be requested from the insurance underwriter by your insurance agent/broker. This process may take up to two months, so proposers should plan accordingly.

C. Resolution

SETA has a standardized resolution that is required of all public agencies and incorporated entities. The applicant agency's governing body or Board of Directors will be required to adopt the appropriate resolution for the purpose of appointing specific individuals authorized to both sign and negotiate the contract. The resolution requires the original signature of the governing body's or Board of Director's secretary and the affixation of the corporate seal. Should incorporated entities not have a seal, it will be necessary to obtain one prior to contract execution.

Resolutions are not required for sole proprietorships, partnerships, or private-for-profit LLCs.

D. Prohibitions

No member of the immediate family of any officer, director, executive or employee of funded agency or SETA shall receive favorable treatment for enrollment in services provided by, or employment with, funded agency, nor shall any individual be placed in a funded employment activity if a member of that individual's immediate family is directly supervised by or directly supervises that individual. In addition, neither funded agency nor any of funded agency's subcontractors shall hire, or cause or allow to be hired, a person into an administrative capacity, staff position or on-the-job training position funded through the award of any grant, if

a member of that person's immediate family is employed in an administrative capacity for SETA, funded agency, or any employment contractor of funded agency. However, where an applicable federal, state or local statute regarding nepotism exists which is more restrictive than this provision, funded agency and funded agency's subcontractors shall follow the federal, state or local statute in lieu of this provision.

- (a) The term "member of the immediate family" includes: wife, husband, son, daughter, mother, father, brother, brother-in-law, sister, sister-in-law, son-in-law, daughter-in-law, father-in-law, mother-in-law, grandfather, grandmother, grandchild, aunt, uncle, niece, nephew, step-parent, and step-child.
  
- (b) The term "administrative capacity" refers to positions involving overall administrative responsibility for a program, including members of SETA's Governing Board and any of its affiliated Boards or Councils and members of the governing body or board of directors of funded agency, or where that individual would be the supervisor of an individual paid with funds provided through the award of any grant or performing duties under the grant award.
  
- (c) The term "staff position" refers to all staff positions providing services through the award of any grant.



**COMPLIANCE WITH CALIFORNIA GOVERNMENT CODE SECTION 84308**

In order to comply with the provisions of California Government Code Section 84308 and the Regulations of the California Fair Political Practices Commission, each respondent must fully complete the "Party Disclosure Form." Additionally, all participants (as defined in the attached "Participant Disclosure Form") identified by the respondent in the proposal must file the "Participant Disclosure Form." If other individuals or entities become or are identified as parties or agents during the time the Workforce Investment Board or Sacramento Employment and Training Agency is considering a respondent's proposal, additional Party Disclosure Forms must be filed with the Sacramento Employment and Training Agency. Participants who are later identified will be requested to file a "Participant Disclosure Form."

Government Code Section 84308

**PARTICIPANT DISCLOSURE FORM**

Information Sheet

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

This form must be completed by participants in a proceeding involving a license, permit, or other entitlement for use, including a subgrant or contract, pending before the Sacramento Employment and Training Agency.

Important Notice

Basic Provisions of Section 84308

- I. You are prohibited from making a campaign contribution of \$250 or more to any Sacramento Works, Inc. (Local Workforce Development Board) or Sacramento Employment and Training Agency board member or any candidate for such a position. This prohibition starts on the date you begin to actively support or oppose an application of a license, permit, or other entitlement for use pending before Sacramento Works, Inc. or the Sacramento Employment and Training Agency, and continuing until three months after a final decision is rendered on the application or proceeding by Sacramento Works, Inc. or the Sacramento Employment and Training Agency.

No Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or candidate may solicit or receive a campaign contribution of \$250 or more from you and/or your agent during this period if the board member or candidate knows or has reason to know that you are a participant.

- II. The attached disclosure form must be filed if you or your agent have contributed \$250 or more to any Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or candidate for the Sacramento Works, Inc. Board or the Sacramento Employment and Training Agency Governing Board during the 12 month period preceding the beginning of your active support or opposition. It will assist the board members in complying with the law.
- III. If you or your agent have made a contribution of \$250 or more to any Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or candidate during the 12 months preceding the decision in the proceeding, that board member must disqualify himself or herself from the decision. However, disqualification is not required if the board member or candidate returns the campaign contribution within 30 days of learning about both the contribution and the fact that you are a participant to the proceeding.

## ATTACHMENT #1

This form should be completed and filed the first time that you lobby in person, testify in person before, or otherwise directly act to influence the vote of the members of the board of either Sacramento Works, Inc. or Sacramento Employment and Training Agency.

1. An individual or entity is a "participant" in a proceeding involving an application for a license, permit or other entitlement for use, including a subgrant or contract, if:
  - A. The individual or entity is not an actual party to the proceeding, but does have a significant financial interest in the decision of the proceeding before Sacramento Works, Inc. or Sacramento Employment and Training Agency.

### AND

- B. The individual or entity, directly or through an agent, does any of the following:
  - (1) Communicates directly, either in person or in writing, with a member of the board of Sacramento Works, Inc. or Sacramento Employment and Training Agency for the purpose of influencing the member's vote on the application or proposal;
  - (2) Communicates with an employee of Sacramento Works, Inc. or the Sacramento Employment and Training Agency for the purpose of influencing a board member's vote on the application or proposal; or
  - (3) Testifies or makes an oral statement before the board of Sacramento Works, Inc. or Sacramento Employment and Training Agency during a proceeding on a license, permit or other entitlement for use for the purpose of influencing the decision of the board of Sacramento Works, Inc. or Sacramento Employment and Training Agency.
2. A proceeding involving "a license, permit or other entitlement for use" includes all business, professional, trade and land use licenses and permits and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment) and all franchises.
3. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an agent is acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity or corporation, both the business entity or corporation and the individual are agents.

## ATTACHMENT #1

4. To determine whether a campaign contribution of \$250 or more has been made by a participant or his or her agent, campaign contributions made by the participant within the preceding 12 months must be aggregated with those made by the agent within the preceding 12 months or the period of the agency, whichever is shorter. Campaign contributions made to different Sacramento Works, Inc. or Sacramento Employment and Training Agency board members or candidates are not aggregated.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and 2 Cal. Adm. Code Sections 18438.1 - 18438.8. For more information, contact Yer Yang, Workforce Development Analyst III, at (916) 274-6390 or yer.yang@seta.net, or contact the Fair Political Practices Commission, 428 J Street, Suite 620, Sacramento, California, 95814, (916) 322-5660.

Prepared based upon the forms recommended by the Legal Division of the Fair Political Practices Commission 8/85.

**Participant Disclosure Form**  
AGENCY

SACRAMENTO EMPLOYMENT AND TRAINING

Participant's Name: \_\_\_\_\_

Participant's Address: \_\_\_\_\_  
(Street)

\_\_\_\_\_  
(City)

\_\_\_\_\_  
(State) (Zip) (Phone)

Title of Request for Proposals for which proposal is hereby submitted:

\_\_\_\_\_

Sacramento Works, Inc. or Sacramento Employment and Training Agency board member to whom you and/or your agent made campaign contributions in aggregation of \$250 or more and dates of contributions:

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Participant): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Participant): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Participant): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

(Use additional sheet, if necessary)

No contributions made.

DATE: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Participant and/or Agent)

Government Code Section 84308

**PARTY DISCLOSURE FORM**

Information Sheet

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

This form must be completed by applicants for, or persons who are the subject of, any proceeding involving a license, permit, or other entitlement of use, including a subgrant or contract, pending before Sacramento Works, Inc. or the Sacramento Employment and Training Agency.

Important Notice

Basic Provisions of Section 84308

- I. You are prohibited from making a campaign contribution of \$250 or more to any Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or any candidate for such position. This prohibition begins on the date your proposal is filed or the proceeding is initiated, and the prohibition ends three months after a final decision is rendered by Sacramento Works, Inc. or the Sacramento Employment and Training Agency. In addition, no Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or candidate may solicit or accept a campaign contribution of \$250 or more from you during this period.

These prohibitions also apply to your agents, and, if you are a closely held corporation, to your majority shareholders, as well.

- II. You must file the attached disclosure form and disclose whether you or your agent(s) have in the aggregate contributed \$250 or more to any Sacramento Works, Inc. or Sacramento Employment and Training Agency board member, or any candidate for the position during the 12 month period preceding the filing of the application or the initiation of the proceeding.
- III. If you or your agent have made a contribution of \$250 or more to any Sacramento Works, Inc. or Sacramento Employment and Training Agency board member or candidate during the 12 months preceding the decision on the application or proceeding, that board member must disqualify himself or herself from the decision. However, disqualification is not required if the board member or candidate returns the campaign contribution within 30 days of learning about both the contribution and the proceedings.

## ATTACHMENT #1

1. A proceeding involving "a license, permit, or other entitlement for use" includes all business, professional, trade and land use licenses and permits, and all other entitlements for use, including all entitlements for land use, all contracts (other than competitively bid, labor or personal employment) and all franchises.
2. Your "agent" is someone who represents you in connection with a proceeding involving a license, permit or other entitlement for use. If an agent is acting in his or her capacity as an employee or member of a law, architectural, engineering, consulting firm, or similar business entity or corporation, both the business entity or corporation and the individual are agents.
3. To determine whether a campaign contribution of \$250 or more has been made by you, campaign contributions made by you within the preceding 12 months must be aggregated with those made by your agent within the preceding 12 months or the period of the agency, whichever is shorter. Campaign contributions made to different Sacramento Works, Inc. or Sacramento Employment and Training Agency board members or candidates are not aggregated.

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and 2 Cal. Adm. Code Sections 18438.1 - 18438.8. For more information, contact Yer Yang, Workforce Development Analyst III, at (916) 274-6390 or yer.yang@seta.net, or the Fair Political Practices Commission, 428 J Street, Suite 620, Sacramento, California, 95814, (916) 322-5660.

Prepared based upon the forms recommended by the Legal Division of the Fair Political Practices Commission 8/85.

**Party Disclosure Form** SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

Party's Name: \_\_\_\_\_

Party's Address: \_\_\_\_\_

(Street)

(City)

(State)

(Zip)

(Phone)

Title of Request for Proposals for which proposal is hereby submitted:

\_\_\_\_\_

Sacramento Works, Inc. or Sacramento Employment and Training Agency board member to whom you and/or your agent made campaign contributions in aggregation of \$250 or more and dates of contributions:

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Party): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Party): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

Name of Board Member: \_\_\_\_\_

Name of Contributor (if other than Party): \_\_\_\_\_

Date(s): \_\_\_\_\_

Amount: \_\_\_\_\_

(Use additional sheet, if necessary)

No contributions made.

DATE: \_\_\_\_\_

\_\_\_\_\_  
(Signature of Party and/or Agent)



**SACRAMENTO EMPLOYMENT & TRAINING AGENCY**  
**Governing Board**

Chair

**Supervisor Patrick Kennedy**

County of Sacramento  
700 "H" Street, Suite 2450  
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FAX: 874-7593

e-mail: [supervisorkennedy@saccounty.net](mailto:supervisorkennedy@saccounty.net)

Vice Chair

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**Sophia Scherman**

Public Representative  
8757 Rubystone Court  
Elk Grove, CA 95624  
685-3860

e-mail: [scherman@sophia-elkgrove.com](mailto:scherman@sophia-elkgrove.com)

*Current as of January 1, 2018*

**Certification Regarding  
Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS FOR CERTIFICATION)

- (1) The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
- (2) Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

---

Name and Title of Authorized Representative

---

Signature Date

## Instructions for Certification

1. By signing and submitting this proposal, the prospective recipient of federal assistance funds is providing the certification as set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of federal assistance funds shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective recipient of federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms *covered transaction*, *debarred*, *suspended*, *ineligible*, *lower tier covered transaction*, *participant*, *person*, *primary covered transaction*, *principal*, *proposal* and *voluntarily excluded*, as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective recipient of federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective recipient of federal assistance funds further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions", without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Procurement or Non-procurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**CERTIFICATION REGARDING LOBBYING**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Typed Name and Title of Authorized Signatory

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date



**INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime federal recipient, at the initiation or receipt of a covered federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity 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 a covered federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered federal action.
2. Identify the status of a covered federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the federal program name or description for the covered federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate federal identifying number available for the federal action identified in item 1 (e.g., Request for Proposals (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered federal action where there has been an award or loan commitment by the federal agency, enter the federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered federal action.  
 (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with federal officials. Identify the federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

DISCLOSURE OF LOBBYING ACTIVITIES  
CONTINUATION SHEET

Approved by OMB  
0348-0046

Reporting Entity: \_\_\_\_\_ Page \_\_\_\_ of

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**Certification Regarding Drug-Free Workplace

The undersigned certifies 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 subrecipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (B) Establishing an ongoing drug-free awareness program to inform employees about:
  - (1) The dangers of drug abuse in the workplace;
  - (2) The subrecipient's policy of maintaining a drug-free workplace;
  - (3) Any available counseling, rehabilitation, and employee assistance programs; 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 any subgrant 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 subgrant, 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 (5) calendar days after such conviction;
- (E) Notifying the Sacramento Employment and Training Agency (hereinafter referred to as the SETA), in writing, within ten (10) calendar days after receiving notice under paragraph (D)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every subgrant officer or other designee on whose subgrant activity the convicted employee was working, unless the SETA has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected subgrant;
- (F) Taking one of the following actions, within thirty (30) calendar days of receiving notice under paragraph (D)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- (G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (A), (B), (C), (D), (E) and (F).



The subrecipient may insert in the space provided below the site(s) for the performance of work done in connection with the specific subgrant:

Place of Performance (Street address, city, county, state, zip code)

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Check if there are workplaces on file that are not identified here.

\_\_\_\_\_  
(Name of Organization)

BY: \_\_\_\_\_  
(Signature of Authorized Representative)

\_\_\_\_\_  
(Typed Name and Title)

\_\_\_\_\_  
(Date)

**INSTRUCTIONS FOR CERTIFICATION REGARDING  
DRUG-FREE WORKPLACE REQUIREMENTS**

1. By signing and/or submitting this application or subgrant agreement, the subrecipient is providing the certification required by 20 CFR §667.200(d) and 29 CFR Part 98.
2. The certification is a material representation of fact upon which reliance is placed when the Sacramento Employment and Training Agency (hereinafter referred to as the SETA) awards the subgrant. If it is later determined that the subrecipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the SETA, in addition to any other remedies available, may take action authorized under the Drug-Free Workplace Act.
3. Workplaces under subgrants, for subrecipients other than individuals, need not be identified on the certification. If known, they may be identified in the subgrant application. If the subrecipient does not identify the workplaces at the time of application, or upon award, if there is no application, the subrecipient must keep the identity of the workplace(s) on file in its office and make the information available for inspection. Failure to identify all known workplaces constitutes a violation of the subrecipient's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the subgrant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority while in operation, employees in each local office, etc.).
5. If the workplace identified to the agency changes during the performance of the subgrant, the subrecipient shall inform the SETA of the change(s), if it previously identified the workplaces in question (see paragraph 3).
6. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Subrecipient's attention is called, in particular, to the following definitions from these rules:

*Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

*Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

*Criminal drug statute* means a federal or non-federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

*Employee* means the employee of a subrecipient directly engaged in the performance of work under a subgrant, including:

- ( i) All *direct charge* employees;
- ( ii) All *indirect charge* employees unless their impact or involvement is insignificant to the performance of the subgrant; and,
- (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the subgrant and who are on the subrecipient's payroll. This definition does not include workers not on the payroll of the subrecipient (e.g., volunteers, consultants or independent contractors not on the subrecipient's payroll).

**INSURANCE AUTHORIZATION**

- We do not presently have a contract with SETA.  
Our completed NEW APPLICANT INSURANCE QUESTIONNAIRE is attached.
- We currently have a contract with SETA.

IT IS ACKNOWLEDGED THAT IT IS OUR ORGANIZATION'S SOLE OBLIGATION TO PROCURE INSURANCE COVERAGE IN CONFORMANCE WITH SETA'S REQUIREMENTS.

AUTHORIZATION IS HEREBY GIVEN TO SETA TO CONTACT OUR ORGANIZATION'S INSURANCE AGENT(S) OR BROKER(S) AND/OR INSURANCE COMPANIES IN ORDER TO CONFIRM THAT OUR ORGANIZATION'S INSURANCE COVERAGE MEETS SETA'S REQUIREMENTS.

\_\_\_\_\_  
(Name of Corporation/Entity)

\_\_\_\_\_  
(Signature of Authorized Representative)

\_\_\_\_\_  
(Typed Name and Title)

\_\_\_\_\_  
(Date)

NEW APPLICANT INSURANCE QUESTIONNAIRE

Name of Corporation/Entity: \_\_\_\_\_

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

Phone Number: \_\_\_\_\_

Contact Person: \_\_\_\_\_

1. FIDELITY AND DEPOSITORS' FORGERY COVERAGES

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Bond Limit: \_\_\_\_\_

D. Deductible: \_\_\_\_\_

E. Expiration Date: \_\_\_\_\_

2. PROPERTY COVERAGE

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Property Limit: \_\_\_\_\_

D. Deductible: \_\_\_\_\_

E. Valuation:  Replacement Cost  Actual Cash Value

F. Expiration Date: \_\_\_\_\_

3. GENERAL LIABILITY COVERAGE

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Limit: \_\_\_\_\_

D. Deductible: \_\_\_\_\_

E. Coverage Form:  Occurrence Type  Claims Made Type

F. Expiration Date: \_\_\_\_\_

4. VEHICLE LIABILITY COVERAGE

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Limit: \_\_\_\_\_

D. Deductible: \_\_\_\_\_

E. Expiration Date: \_\_\_\_\_

5. PROFESSIONAL LIABILITY (IF ANY)

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Limit: \_\_\_\_\_

D. Expiration Date: \_\_\_\_\_

6. WORKERS' COMPENSATION

A. Insurance Company: \_\_\_\_\_

B. Policy Number: \_\_\_\_\_

C. Expiration Date: \_\_\_\_\_

7. INSURANCE BROKER OR AGENT

A. Name of Agency: \_\_\_\_\_

B. Address: \_\_\_\_\_

C. Phone Number: \_\_\_\_\_

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

Ms. Kathy Kossick  
Executive Director  
Sacramento Employment and Training Agency  
925 Del Paso Blvd.  
Sacramento, CA 95815-3608

Dear Ms. Kossick:

I am the Chief Financial Officer of \_\_\_\_\_  
(name of applicant agency)  
and, in this capacity, I will be responsible for providing financial services adequate to ensure the  
establishment and maintenance of an accounting system for \_\_\_\_\_  
(name of applicant agency)  
\_\_\_\_\_.

The accounting system and internal control procedures will be adequate to safeguard the assets  
of such agency, check the accuracy and reliability of accounting data, promote operating  
efficiency, and provide compliance with prescribed management policies of the agency.

\_\_\_\_\_  
(Signature of Financial Officer)

\_\_\_\_\_  
(Typed Name of Financial Officer)

\_\_\_\_\_  
(Title)

FOR USE BY: PRIVATE NON-PROFIT CORPORATIONS  
PRIVATE FOR-PROFIT CORPORATIONS  
PRIVATE FOR-PROFIT PARTNERSHIP  
PRIVATE FOR-PROFIT SOLE-PROPRIETORSHIP

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

Ms. Kathy Kossick  
Executive Director  
Sacramento Employment and Training Agency  
925 Del Paso Blvd.  
Sacramento, CA 95815-3608

Dear Ms. Kossick:

I am a duly licensed or Certified Public Accountant and have been engaged to examine and report on the adequacy of the financial accounting system of \_\_\_\_\_,  
(name of applicant agency)  
which is a private \_\_\_\_\_ organization located in \_\_\_\_\_.  
(non-profit/for-profit) (name of city)

I have reviewed the accounting system that this organization has established and, in my opinion, it includes internal controls adequate to safeguard the assets of the organization, check the accuracy and reliability of accounting data, promote operating efficiency, and provide compliance with prescribed management policies of the agency.

\_\_\_\_\_  
(Signature of Accountant)

\_\_\_\_\_  
(Typed Name of Accountant)

\_\_\_\_\_  
(License Number and Expiration Date)

\_\_\_\_\_  
(Name of Firm)

\_\_\_\_\_  
(Typed Name)

DECLARATION OF PARTNERSHIP OR JOINT VENTURE

The undersigned do hereby declare as follows:

1. The business organization known as \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

is a \_\_\_\_\_  
(General partnership or joint venture)

2. The following represents a complete list and disclosure of all the individual \_\_\_\_\_  
\_\_\_\_\_  
(General partners or joint ventures)

<u>Name</u>	<u>Mailing Address</u> (City, State, Zip)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Each of the undersigned does hereby declare under the penalty of perjury that the foregoing is true and correct.

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)

**ATTACHMENT #9 (cont.)**

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)

Executed this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_  
(City) (State)

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

\_\_\_\_\_  
(Typed Name)



# INSURANCE REQUIREMENTS

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY****INSURANCE REQUIREMENTS****(Pursuant to SETA Governing Board Action on 7/06/2017)**

These requirements apply to all individuals and entities funded by SETA, including, but not limited to, program operators, sub-grantees, vendors and contractors (each an "Insured"). Prior to sub-grant or contract execution, commencement of program performance and/or disbursement of any funds, SETA shall receive from each Insured's insurer an original, computer-generated, or faxed policy declarations page, certificate of insurance and copies of required endorsements.

**GENERAL REQUIREMENTS**

1. **POLICY DECLARATIONS PAGE MUST INCLUDE:** All required insurance coverage in amounts not less than those specified in the required coverages provided herein.
2. **CERTIFICATES OF INSURANCE MUST INCLUDE:**
  - A. Insuring Company's Name;
  - B. Full Mailing Address of Insurance Company's Issuing Branch Office;
  - C. Policy Number(s);
  - D. Policy Effective and Expiration Date(s);
  - E. Policy Limits;
  - F. Deductible(s) or statement that "No deductible is applicable";
  - G. For General Liability Coverage, confirmation that "occurrence type" coverage rather than "claims made type" coverage is provided.
  - H. Certificates must include an original signature or an original stamp of the agent's signature;
  - I. Notice of Cancellation, stated in the following way:

"This insurance shall not be canceled, limited, or non-renewed until after thirty (30) days advance written notice has been given to the Sacramento Employment and Training Agency, except in the event of non-payment of premium when a ten (10) day advance written notice shall apply."

**SHOULD ANY OF THESE ITEMS BE MISSING, THE CERTIFICATE IS UNACCEPTABLE**

3. **REQUIRED INSURANCE ENDORSEMENTS:** The insurance policy number must appear on all endorsements and required endorsements applicable to the Insured shall provide the following:
  - A. Additional Insured Endorsements must be stated in one of the following two ways: 1) an individual endorsement naming "the Sacramento Employment and Training Agency and its officers, employees and volunteers as additional insureds;" or 2) a blanket endorsement stating that any entity required by a written contract or written agreement with the Named Insured is included as an additional insured.
  - B. Loss Payee Endorsements must be stated in the following way: "The Sacramento Employment and Training Agency is named as a loss payee as its interest may appear."

- C. Notice of Cancellation Endorsements must be stated in the following way: "This insurance shall not be canceled, limited, or non-renewed until after thirty (30) days advance written notice has been given to the Sacramento Employment and Training Agency, except in the event of non-payment of premium when a ten (10) day advance written notice shall apply."
- D. Primary and Non-contributory Endorsements must be stated in the following way: "This insurance is primary and non-contributory as to any insurance and/or self-insurance maintained by the Sacramento Employment and Training Agency."

#### 4. SELF-INSURANCE

If any coverage is provided by self-insurance, SETA requires a letter from the Insured, which will be incorporated into the contractual document as an Exhibit or Special Condition, stating that:

- A. It agrees to SETA's insurance requirements as stated herein and SETA will be indemnified as if standard insurance coverage was in place;
- B. It will maintain a minimum reserve of the amount of self-insured retention over and above all known incurred claims filed against the self-insurance fund;
- C. The reserve is fully funded; and,
- D. No federal or SETA funds will be called upon to fund any losses resulting from any SETA-funded subgrant or contract.

A sample letter will be provided upon request.

#### 5. DEDUCTIBLES AND SELF-INSURED RETENTIONS

Any deductibles or self-insured retentions must be declared to and approved by SETA. In the sole discretion of SETA, SETA may require an Insured to reduce or eliminate such deductibles or self-insured retentions with respect to SETA, its officers, employees and volunteers.

**NO SETA FUNDS MAY BE USED TO FUND OR OTHERWISE PAY FOR ANY DEDUCTIBLES, SELF-INSURED RETENTIONS AND/OR SELF-INSURANCE.**

#### 6. ADDITIONAL INSURANCE COVERAGE

SETA reserves the right to require an Insured to obtain additional insurance coverage should the funded activities or services provided require additional coverage. This is especially true for multi-funded agencies. Additional coverage might include, but is not limited to, increased policy limits or coverages for professional liability and/or incidental malpractice. Increased policy limits might be addressed by increasing the general aggregate limits, obtaining excess coverage, and/or procuring a policy solely to insure SETA-funded activities or services.

#### 7. COPIES OF POLICIES

SETA reserves the right to require an Insured to provide SETA with complete copies of all insurance policies.

8. INSURANCE CARRIER REQUIREMENTS

All coverages shall be procured through a carrier with an AM Best Rating of A-VIII or greater.\* If any coverage is canceled, revoked, reduced, or in any manner questioned or compromised, SETA shall not make any further disbursements to an Insured until SETA is satisfied that the coverage initially approved by SETA has been reinstated. Failure to provide timely evidence of continuing coverage shall result in suspension of all payments or reimbursements and/or suspension of performance. Additionally, should there be inadequate coverage or any lapse(s) in coverage, SETA shall not reimburse for any costs incurred during any period for which the required insurance coverage was not in effect.

\*(Coverage provided by State Compensation Insurance Fund is excepted from this requirement)

9. EXPIRING INSURANCE REPLACEMENT COVERAGE

In the event insurance coverages expire at any time or times during the term of the subgrant, contract and/or program performance, the Insured shall provide, at least thirty (30) calendar days prior to said expiration date, new evidence of insurance coverage(s) and endorsements as provided for herein for not less than the remainder of the term of the subgrant, contract or program performance.

REQUIRED COVERAGES

1. FIDELITY AND DEPOSITORS' FORGERY COVERAGES

A. Required Limits:

Amount of grant or contract if less than \$25,000; or \$25,000 or twenty percent (20%) of the total amount of the grant or contract, whichever is greater.

B. Required Endorsements:

1. Loss Payee Endorsement
2. Notice of Cancellation Endorsement

2. PROPERTY COVERAGE

A. Required Coverage:

Insurance which is at least as broad as the current ISO Special Form Causes of Loss (CP 1030) policy, formerly known as "all risks," as well as insurance covering boiler and machinery and compliance with ordinances or laws, if appropriate, for the full 100% insurable replacement cost of the property. Such insurance shall name SETA as an additional insured as its interests in the property may appear and shall include a waiver of subrogation in favor of SETA.

B. Required Endorsement:

1. Notice of Cancellation Endorsement.

3. GENERAL LIABILITY COVERAGE

A. Type of Policy/Coverage:

All policies must be written on an occurrence-type policy form which is at least as broad as the most current ISO Commercial General Liability (CG 0001) policy, insuring liability arising from premises; operations; independent contractors; incidental medical malpractice and garage keepers liability as appropriate given the nature of the Funded Agency's business; personal injury and advertising injury; products-completed operations; and liability assumed under an insured contract.

SEXUAL ABUSE LIABILITY COVERAGE

Insureds whose operations involve interaction with youth (ages to 18 years) must include "Sexual Abuse liability coverage" at limits not less than \$1,000,000 per occurrence. Such coverage can be written on a stand alone basis or made part of the Insured's Commercial General Liability Insurance.

Claims-made policies are not acceptable.

B. Required Limits:

\$1,000,000 per occurrence and \$2,000,000 general aggregate for bodily injury and property damage.

C. Required Endorsements:

1. Additional Insured Endorsement
2. Primary and Non-contributory Endorsement
3. Notice of Cancellation Endorsement

4. VEHICLE LIABILITY COVERAGE

A. Required of all Insureds

B. Required Coverage:

Coverage must include all of the following:

- a. Non-Owned Auto Liability
- b. Hired Auto Liability
- c. Owned Auto Liability (If the Insured owns autos)

C. Required Limits:

\$1,000,000 per occurrence and \$2,000,000 general aggregate for bodily injury and property damage.

D. Required Endorsements:

1. Additional Insured Endorsement
2. Primary and Non-contributory Endorsement
3. Notice of Cancellation

5. PROFESSIONAL LIABILITY COVERAGE

A. Required of all Insureds that employ or retain professional staff (including, but not limited to, nurses, psychologists, health care professionals, accountants or attorneys) for SETA-funded operations.

B. Required Limits:

Not less than \$1,000,000 per occurrence

C. Required Endorsement:

1. Notice of Cancellation Endorsement

6. WORKERS' COMPENSATION

A. Must cover all employees and participants employed or enrolled under the grant who are currently eligible for coverage under existing workers' compensation laws and regulations. Where participants in a work activity are not covered under a state's workers' compensation law, they shall be provided with adequate accident medical insurance.

B. Required Endorsement:

1. Notice of Cancellation Endorsement

7. EMPLOYMENT PRACTICES LIABILITY

A. Required of all Insureds

B. Required Coverage:

Policy must include Third-Party Liability coverage  
This policy may be written on a "claims-made" basis

C. Required Limits:

Not less than \$1,000,000 per claim.

D. Required Endorsement:

1. Notice of Cancellation Endorsement

**DEVIATIONS FROM REQUIREMENTS**

Any deviations from these requirements may be approved in advance by the Executive Director, or designee, provided that one or more of the following findings is made and documented in the contract file to which the deviation pertains:

- (1) The scope of work does not raise any risk that will be provided in certain coverages; or
- (2) The coverage or endorsement is not readily available in the marketplace.

**For additional information or assistance please contact:**

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**SECTION IV**

**INSTRUCTIONS FOR COMPLETING THE PROPOSAL APPLICATION  
SPECIAL INSTRUCTIONS  
COMMON ERRORS**



## **INSTRUCTIONS FOR COMPLETING THE PROPOSAL APPLICATION**

1. Read each Section of this RFP carefully.
2. Section V of the RFP must be utilized as the proposal format by organizations responding to the RFP.
3. Provide the information required of each section as concisely and completely as possible. Be specific and, where appropriate or deemed necessary, provide examples that clarify descriptions.
4. Provide information in the exact order as it is requested on the standard RFP response format provided.

## **SPECIAL INSTRUCTIONS WHEN SUBMITTING PROPOSALS**

1. No staples
2. 8.5 X 11 paper only
3. Single side only
4. Originals must have signatures, including if submitted electronically to meet the proposal submission deadline, and be identified as the "original"
5. Black in on white paper
6. Do not bind copies or use section dividers
7. Number the page and label the exhibits
8. Do not include documents, attachments or letters that have not been specifically requested in this RFP.

## **COMMON ERRORS TO AVOID WHEN RESPONDING TO THE RFP**

In an effort to assist all agencies responding to SETA's Request for Proposals (RFP), a number of recurring errors commonly made by respondents in the preparation of proposals have been identified. SETA encourages respondents to review this listing of common errors in order to avoid repeating the mistakes of previous applicants. The listing is as follows:

1. Failure to prequalify by the Prequalification Deadline, which is different from the proposal submission deadline
2. Failure to submit the proposal by the proposal submission deadline
3. Failure to submit the required number of copies of the proposal
4. Failure to submit unbound copies of proposals
5. Failure to follow the proposal format provided by, and required in, the RFP
6. Failure to number pages and label exhibits
7. Failure to submit a complete copy of the document in electronic format

8. Failure to address or provide all items requested under References
9. Failure to submit the resolution, **Exhibit A**
10. Failure to submit the budget narrative
11. Unclear Budget Summaries:
  - a. Discrepancies between line items and totals
  - b. Blank categories with no explanation given
  - c. Discrepancies between narrative and budgetary figures and/or totals