



Sacramento
Employment and
Training
Agency

**BREAKING BARRIERS IN EMPLOYMENT FOR ADULTS WITH
AUTISM PILOT PROGRAM**

EVALUATION

Request for Proposals

Release: Friday, December 20, 2019

Application Deadline: Friday, January 17, 2020

The California Workforce Development Board (CWDB) and the Sacramento Employment and Training Agency (SETA) are equal opportunity employers/programs. Auxiliary aids and services are available upon request to individuals with disabilities. Special requests for services, aids, and special formats may be available by calling SETA at (916) 263-3868. TTY users, please call the California Relay Services at 711.

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Request for Proposals (RFP)

EVALUATION OF BREAKING BARRIERS IN EMPLOYMENT FOR ADULTS WITH AUTISM PILOT PROGRAM

SECTION 1: OVERVIEW

Introduction

The California Workforce Development Board (CWDB) and the Sacramento Employment and Training Agency (SETA) are pleased to announce the availability of up to \$150,000 in funds to secure an evaluator/evaluation team to assess and evaluate SB866, Breaking Barriers in Employment for Adults with Autism Pilot Program, passed by the California State Legislature and signed by the Governor on June 27, 2018. The evaluator will be required to conduct an evaluation of the pilot and prepare a report that will be presented to the State Legislature in accordance with Section 9795 of the Government Code that contains information on the overall success of the pilot program, as well as the effectiveness of the program for the targeted population.

Background

Under SB866, the CWDB was allocated \$1,500,000 to create a 3-year pilot program for the purpose of increasing long-term employment opportunities for young adults with Autism. The CWDB selected the SETA to be the fiscal agent and coordinate the implementation of the pilot in Sacramento County, including developing promising practices and an employer guide to implement statewide.

Autism Spectrum Disorder (ASD) is the fastest growing developmental disability in the United States. It is a life-long disability that can cause developmental problems in the areas of social interaction, speech, language, communication, and behavioral functions. Seventeen years ago, 1 in 150 children were born with ASD; today it is 1 in 68. According to a 2013 report published in the Journal of the American Academy of Child and Adolescent Psychiatry, unemployment and underemployment for young adults with Autism is estimated at 90% nationwide.

The Breaking Barriers in Employment for Adults with Autism legislation was authored by Assemblywoman Blanca Rubio with support from Meristem, a non-profit organization, which serves young adults on the autism spectrum by helping them develop practical life skills, increase social capacity and transition to work and independence.

Under this pilot program, the CWDB authorized SETA to enter into a contract with Meristem to:

- 1) Recruit and engage 25 young adults with Autism and provide leadership training through their engagement in: (a) the development of the training manual that will assist employers in building workplace capacity for individuals with Autism; (b) the co-facilitation of the employer trainings; and, (c) legislative advocacy skills development that includes

understanding employment rights and responsibilities, facilitation techniques, job coaching and mentoring, mediation techniques, and self-leadership.

- 2) Develop a curriculum/best practices training manual that will assist employers in building workplace capacity for individuals with Autism by researching existing curriculum, training programs, and promising workplace integration strategies for individuals with Autism; by addressing barriers faced in the employment, recruitment, and induction process faced by individuals with Autism; by providing recommendations on how to foster an inclusive culture in the workplace; by providing best practices to support individuals on the job through accommodations and mentoring; by including input, insight, and presentations from young adults with Autism participating in the initiative; and, overall, by providing specific techniques and strategies that can be instituted to assist employers in taking affirmative actions to recruit, hire, promote, and retain employees with Autism.
- 3) Conduct 24 employer trainings (12 in Southern California and 12 in Northern California) with participation from young adults with Autism and other developmental disabilities based on the training manual that is developed. .

Meristem's contract began on December 3, 2018, and will end on March 31, 2021. Meristem has been conducting interviews with parents, caregivers, educators, policymakers, and employers to gain insights into the perceived employment challenges facing individuals with Autism, as well as collecting data on participants in the program, and others, and it will continue to collect data while finalizing the remaining tasks under its contract. It is anticipated that the evaluator will review data and other information collected by Meristem and carry out methods of evaluation as determined in collaboration with SETA and the CWDB in order to assess the overall success of the pilot program described above and evaluate its effectiveness on the target population.

Guidance for Responses to RFP

The CWDB is required to submit a report to the State Legislature by December 31, 2021 that must contain an evaluation of the overall success of the pilot program and the effectiveness of the program for the targeted population. This RFP is intended to secure an evaluator with the qualifications necessary to develop an evaluation model, review and evaluate program data developed by Meristem, and prepare the report. The applicant that submits a proposal that receives the highest score will collectively work with CWDB and SETA to develop a work plan, timeline, and list of interim deliverables prior to contract issuance. The anticipated contract period for the evaluator is February 28, 2020 through March 31, 2021. The evaluator will be required to submit a draft report to SETA and the CWDB no later than February 26, 2021. The evaluator will assist the CWDB and SETA in reviewing and editing the report for final submission to the State Legislature.

Under this contract, the evaluator will be required to complete the following project tasks:

- (1) Attend meetings with staff from the CWDB and SETA to develop an evaluation model that identifies methods that can be implemented by the evaluator to qualitatively analyze the pilot program's effectiveness.

(2) Prepare a report that analyzes program data to determine the overall success of the pilot program and the effectiveness of the program for the targeted population. The evaluator will provide the draft report to the CWDB and SETA by February 26, 2021, and collaborate with the CWDB and SETA after February 26, 2021 to review and edit the report for final submission to the State Legislature.

Proposals submitted in response to this RFP must identify the team members anticipated to complete the project tasks described above. Information on team members should include their job classification, rate per hour, and area of specialty. The evaluator should possess the following minimum qualifications:

- Experience working with the broader workforce system, including local workforce boards and workforce intermediaries, preferably with a background in social justice advocacy;
- Accredited and published applied quantitative and qualitative research;
- Comprehensive understanding of workforce systems, publicly funded initiatives, and public policy;
- Experience working with employer-led and employer engagement strategies;
- Experience evaluating programs serving individuals with barriers to employment;
- Skills set of working with both public and private stakeholders;
- Evaluation program management.

Eligible Applicants

Eligible applicants for this RFP include public and not-for profit organizations, academic institutions, and private for-profit businesses that meet the minimum qualifications outlined in this RFP.

SECTION 2: GENERAL INSTRUCTIONS, CONDITIONS, AND REQUIREMENTS

Significant Dates

Event	Date*
RFP Release	Friday, December 20, 2019
Q&As	Deadline for the submission of questions is Tuesday, January 7, 2020. Q&As will be posted on Friday, January 10, 2020, from all written questions submitted to michelle.ocamb@seta.net by the deadline.
Proposals Due	Friday, January 17, 2020 (4:00 p.m. PST)
Award Announcement	Friday, February 7, 2020
Contract Period	February 28, 2020 – March 31, 2021

*All dates after the final proposal submission deadline may be adjusted without addendum to this RFP. In addition, SETA may also modify the RFP, prior to the date and time fixed for submission of proposals, by issuance of a revision to the RFP posted at www.seta.net.

Proposal Submittal Procedure

All proposals must be received by SETA no later than 4:00 p.m., PST, Friday, January 17, 2020. In accordance with SETA's procurement policies and procedures, proposals received after 4:00 p.m., PST, Friday, January 17, 2020 will not be considered. **Late proposals will not be accepted.**

To be considered for funding, applicants must submit ONE portable document format (PDF) copy of their proposal developed in response to this RFP. **Proposals must be emailed to:**

- Michelle O'Camb, Manager, Workforce Development Department, at michelle.ocamb@seta.net.

Be advised that signatures reflected in the proposals submitted in response to this RFP are binding and may be treated as original signatures for all purposes. All executed counterparts together shall constitute one and the same document, and any signature pages, including facsimile or electronic copies thereof, may be assembled to form a single original document.

The proposal must be signed by a principal of the company (officer, director, manager, or owner) who is authorized to submit the proposal for the responding agency. The proposal must also include documentation indicating by what authority the person(s) is/are authorized to negotiate and contractually bind the responding agency, if selected.

A proposal submitted in response to the RFP shall be rejected and deemed non-responsive for any of the following reasons:

- it is received at any time after 4:00 p.m. PST on Friday, January 17, 2020;
- the proposal is incomplete or fails to meet the RFP specifications; or
- information on anticipated project costs is not enclosed.

Limitation

SETA shall not pay for any costs incurred by the applicant in the preparation of proposals or negotiation of a contract. This RFP does not, in any way, commit SETA to award a contract. SETA reserves the right to accept or reject any or all proposals received in response to this RFP, 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.

Litigation Status

Each Applicant shall furnish any information on the nature and magnitude of any litigation whereby, during the past two years, a court has ruled against the applicant organization in any matter relating to the professional activities of the organization. In addition, please describe the nature, magnitude and status of any litigation currently pending against the organization in any manner related to the applicant's professional activities.

Recognizing the need to maintain confidentiality in this matter, an applicant may provide this information in a separate email directly to michelle.ocamb@seta.net.

If the applicant prefers to do so, information on litigation may be included as part of the proposal.

Evaluation and Selection Process

Evaluation Criteria -

Proposals will be evaluated by the Evaluation Team using the following criteria to determine which proposal best meets the needs of SETA for this project:

- the responsiveness of the proposal in clearly stating the understanding of the work to be performed and in providing all requested information related to project costs;
- the technical experience of the applicant's team members that will complete RFP tasks;
- the applicant's experience managing and staffing similar projects;
- the size and organizational structure of the applicant's agency, institution or business; and,
- the past performance of the applicant on work previously completed for SETA or a similar governmental agency.

In addition, SETA will consider and evaluate the following information to determine which applicant will be selected to perform the services:

- Applicant's ability to meet the scheduled timeline.
- Applicant's credentials and qualifications.
- Applicant's reporting capability.
- Applicant's ability to provide services promptly and efficiently, as needed.

SETA is not limited to the information listed above and may consider any information relating to the services or the applicant's qualifications and experience.

The proposals will be ranked according to total score. Total score will be used to select the highest scoring proposal that will be used to develop a contract. If the applicant with the highest scoring proposal is not able or is unwilling to accept the contract, then SETA may select the applicant with the next-highest scoring proposal to enter into a contract.

Contract Development

SETA intends to enter into a contractual agreement that is substantially in accordance with SETA's standard Services Contract, a copy of which may be provided to applicant upon request. Contract negotiations, including the development of a work plan, timeline, and list of interim deliverables will occur following selection of the highest scoring proposal. The contents of the RFP and the successful proposal are anticipated to become an integral part of the contract that SETA will negotiate with the successful applicant. Applicants must be amenable to inclusion, in a contract, of any information provided to SETA either in response to this RFP or subsequently during the selection process.

Contract Term

SETA will award one contract for a term beginning February 28, 2020 and ending March 31, 2021. SETA may extend the contract beyond March 31, 2021 for purposes of finalizing the report to the State Legislature, however, not beyond December 31, 2021.

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. A copy of SETA's current requirements will be provided to the applicant upon request.

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 applicants should plan accordingly.

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.

Billing of Fees

Compensation for the work completed under the Services Contract will be paid monthly in arrears upon review and approval of claims by SETA. Claims must be substantiated by such detailed itemization as required by SETA.

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.

1. 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.

2. 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.

3. The term "staff position" refers to all staff positions providing services through the award of any grant.

SECTION 3: REQUIRED RESPONSE AND POSSIBLE POINTS

The proposal should provide a clear, concise description of the applicant's ability to perform the requested service. The proposal must contain sufficient information to enable SETA to consider it, in relation to other proposals received, and determine which applicant is best suited to furnish the services needed by SETA.

The proposal will consist of the following:

- Cover Page and Resolution/Document Indicating Signing Authority*** - Complete the Cover Page and attach documentation indicating by what authority the person(s) is/are authorized to negotiate and contractually bind the responding agency, if selected. These two documents are to be the first two pages of the proposal submitted in response to this RFP, and must be included the PDF copy of the proposal submitted.
- Project Narrative (45 possible points)***
- Project Team (45 possible points)***
- Project Costs (Team Hourly Rates and Travel Costs) (10 possible points)***
- Qualification Certifications –***
 - Attachment #1 – Fair Political Practices Commission Disclosure Forms
 - Attachment #2 – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion
 - Attachment #3 – Certification Regarding Lobbying
 - Attachment #4 – Certification Regarding Drug-free Workplace Requirements

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

BREAKING BARRIERS IN EMPLOYMENT FOR ADULTS WITH AUTISM PILOT PROGRAM

EVALUATION PROPOSAL

COVER PAGE

Applicant:			
Requested Amount:		\$	
Address:			
City & Zip Code:			
County:			
Designated Contact Person and Title:			
Type of Organization:	<input type="checkbox"/> Government Agency <input type="checkbox"/> Education Entity <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Private for Profit <input type="checkbox"/> Other (describe):		
Telephone:		Email:	
IRS Tax ID Number:		CA Tax ID Number:	
Approval of Authorized Representative			
Name:		Title:	
Signature:		Date:	

**BREAKING BARRIERS IN EMPLOYMENT FOR ADULTS WITH
AUTISM PILOT PROGRAM**

Project Narrative

PROJECT NARRATIVE:
Describe how project activities will be documented and progress will be assessed.
Provide a format or example of how lessons and successes will be communicated to CWDB and other stakeholders.
Describe the research design and suggested methodology that will be employed for this project.
Provide an explanation of how the research design and a mixed method (qualitative and quantitative) will address the overall design and implementation of the evaluation.
Provide an explanation how this design might be flexible to accommodate a coordinated evaluation approach with separate individuals and organizations participating in the project.
Provide an outline of the project and the project objectives as it pertains to the suggested design and methodology, including: assurances and/or self-identified outcomes, participant confidentiality, projected timeline, monthly and quarterly deliverables, interim written work, and final products.
Describe how you will ensure commencement of project evaluation by February 28, 2020 and continue to completion by March 31, 2021. Are there any time constraints on your evaluation of the project?
Is proposer able to perform all the evaluation services needed for this project, or does it intend to subcontract for any of them? If so, to whom and indicate what specific services would be subcontracted?

Describe coordination with the CWDB and SETA to ensure proper infrastructure is in place to facilitate participation in the evaluation.

Provide any other information considered relevant to the proposal.

PROJECT TEAM:

Identify the individual(s) and organizational affiliation of the evaluator and his/her experience and qualification in regards to:

- Comprehensive understanding of the workforce system, publicly funded initiatives, and public policy;
- Experience working with individuals with barriers to employment;
- Skill set of working with public and private stakeholders; and
- Evaluation program management.

Describe each team member's experience and qualifications in regards to working with the broader workforce system including local workforce development boards, educational institutions, CBOs, and workforce intermediaries, and indicate if any members have a background in social justice advocacy. Include specialized expertise of any team members.

Describe the function or activities each team member will provide in the project.

Provide accessible URL links to, or the titles of, pertinent accredited and published applied qualitative research.

Provide a statement of ability for team members to engage locally.

PROJECT COSTS:

Include the following information:

- The classification of each team member anticipated to be assigned to the project and the rate per hour for each classification;
- Travel costs for team members, including per diem payments, the anticipated per night charge for hotel accommodations, and other travel-related reimbursements;
- Identification of other foreseeable project costs.

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.

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.

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 Corey Lagbao, Workforce Development Analyst III, at (916) 263-3838 or Corey.Lagbao@seta.net, or contact the Fair Political Practices Commission, 428 J Street, Suite 620, Sacramento, California, 95814, (916) 322-5660.

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

Participant Disclosure Form

Participant: _____

(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.

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 Corey Lagbao, Workforce Development Analyst III, at (916) 263-3838 or Corey.Lagbao@seta.net, or the Fair Political Practices Commission, 428 J Street, Suite 620, Sacramento, California, 95814, (916) 322-5660.

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

Party Disclosure Form

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 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)

SACRAMENTO EMPLOYMENT & TRAINING AGENCY
Governing Board

Chair

Supervisor Don Nottoli
County of Sacramento
700 "H" Street
Sacramento, CA 95814
874-5465 (Letitia Oliver)
FAX: 874-7593
e-mail: nottolid@saccounty.net

Vice Chair

Sophia Scherman
Public Representative
8757 Rubystone Court
Elk Grove, CA 95624
685-3860
e-mail: scherman@sophia-elkgrove.com

Councilmember Larry Carr
City of Sacramento
915 "I" Street, 5th Floor
Sacramento, CA 95814
808-7008 (Jaime Cervanes)
FAX: 808-7680
e-mail: lcarr@cityofsacramento.org

Supervisor Patrick Kennedy
County of Sacramento
700 "H" Street, Suite 2450
Sacramento, CA 95814
874-5481 (Maria DeAnda)
FAX: 874-7593
e-mail: supervisorkennedy@saccounty.net

Councilman Jay Schenirer
City of Sacramento
915 "I" Street, 5th Floor
Sacramento, CA 95814
808-7197 (Allison Noe)
FAX: 808-7680
e-mail: jschenirer@cityofsacramento.org

Current as of December 2, 2019

**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

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action: _____ Choice a. contract b. grant c. cooperative agreement	2. Status of Federal Action: a. bid/offer/application b. initial award c. post-award	Report Type: Choice _____ a. initial filing b. material change For Material Change Only: Year _____ Quarter _____
4. Name and Address of Reporting Entity: Prime _____ Subawardee _____ Tier, if known: _____ Congressional District, if known: _____		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known: _____
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known: _____	9. Award Amount, if known: \$ _____	
10. a. Name and Address of Lobbying Entity (if individual, Last Name, First Name, MI):	10. b. Individuals Performing Services (including address if different from No. 10a - Last Name, First Name, MI):	
(attach Continuation Sheet(s) SF-LLL-A, if necessary)		
11. Amount of Payment (check all that apply): \$ _____ Planned \$ _____ Actual	13. Type of Payment (check all that apply): a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/>	
12. Form of Payment (check all that apply): a. cash		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11: (attach Continuation Sheet(s) SF-LLL-A, if necessary)		
15. Continuation Sheet(s) SF-LLL-A attached: <input type="checkbox"/> Yes No <input type="checkbox"/>		
16. Information requested through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No. _____ Date: _____	
Federal Use Only:		Authorized for Local Reproduction Standard Form - LLL

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

[Redacted area]

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTSCertification 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)

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)