

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY
(SETA)**



REQUEST FOR PROPOSALS (RFP)

For

Workforce Innovation and Opportunity Act (WIOA)

Sacramento Works Job Center Services

For the Galt Area

Program Years 2018-2020

Release Date: March 2, 2018



Sacramento
Employment and
Training
Agency



SACRAMENTOWORKS

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**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)
REQUEST FOR PROPOSALS**

For

Workforce Innovation and Opportunity Act (WIOA)

Sacramento Works Job Center Services

For the Galt Area

SECTION I

GENERAL INFORMATION/GUIDELINES

Sacramento Employment and Training Agency (SETA)

**Workforce Innovation and Opportunity Act (WIOA)
Sacramento Works Job Center Services
For the Galt Area**

Program Years 2018-2020

PLANNING CALENDAR
(Dates and Times are subject to change)

DATE	EVENT
Thursday, March 1, 2018, 10:00 a.m.	Governing Board reviews/approves the RFP
Friday, March 2, 2018, 9:00 a.m.	Release of RFP
Thursday, March 15, 2018, 9:00 a.m.	Offeror's Conference at Sacramento Works Job Center – Galt 1000 C Street, Suite 100 Galt, CA 95632
Thursday, April 5, 2018, 4:00 p.m.	Pre-qualification requirements due at SETA
Thursday, April 26, 2018, 5:00 p.m.	Proposals due at SETA
Friday, May 25, 2018, 5:00 p.m.	Publish SETA staff funding recommendations
Friday, June 1, 2018, 5:00 p.m.	Deadline to file protest funding recommendations
Thursday, June 7, 2018, 10:00 a.m.	Governing Board Funding Decisions
Monday, July 2, 2018	Program Begins

Note: Unless otherwise noted above, all meetings will be held in SETA Board Room, 925 Del Paso Boulevard, Suite 100, Sacramento, CA 95815.
Telephone: (916) 263-3800

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)
REQUEST FOR PROPOSALS
Workforce Innovation and Opportunity Act (WIOA)
Sacramento Works Job Center Services
For the Galt Area**

1. BACKGROUND

This Request for Proposals (RFP) was developed on the basis of the Workforce Innovation and Opportunity Act (WIOA) of 2014 and the WIOA Final Rules for implementing WIOA legislation published in the Federal Register on August 19, 2016. Funded agencies will be required to comply with all applicable rules, regulations, and policies. Respondents should be aware that SETA's services, as well as those of any SETA-funded subgrantee or contractor, are subject to any modifications required by the WIOA and its regulations, Federal and State legislation and their regulations, the Governor and/or the California Workforce Development Board, and SETA policies and procedures.

Funds for this RFP are provided to SETA by the U.S. Department of Labor (DOL) via the State of California, under the auspices of the California Workforce Development Board, pursuant to the WIOA under Title I.

SETA is the grant recipient and administrator of the WIOA, Title I funds in Sacramento and is responsible for the oversight of WIOA, Title I services and the America's Job Center network for Sacramento County. SETA will determine, in its sole discretion, whether to fund a proposal. Applicants will be required to adhere to the statutes, regulations, or policies applicable to the funding that is provided.

The Sacramento Works Job Center (SWJC) delivery system consists of a network of centers that provide career services—basic and individualized— and training services that are customer-driven, easily accessible, and customized to meet the specific needs of business in the region. In addition, services are comprehensive and performance-based. The system unites business, education, community and public agencies to meet the needs of employers and job seekers through a comprehensive range of workforce development activities, and strategic partnerships. SWJC system job seekers have access to a variety of tools and services including assessments, career coaching, labor market information, job search assistance, education and skills training, including on-the-job training, customized training, and vocational training. SWJC system staff provide services and outreach to job seekers, including special populations, such as dislocated workers, veterans, parolees, immigrants, refugees, high-risk youth, public assistance, low-income and individuals with disabilities.

2. PURPOSE OF SOLICITATION

The purpose of this Request for Proposals (RFP) is to solicit, from qualified applicant agencies, proposals to provide SWJC services within the Galt area defined as follows:

- North – Twin Cities Rd.
- South – Liberty Rd.
- East – Marengo Rd.
- West – Christensen Rd.

Proposers may serve a much broader geographic area and are required to provide services to all customers that seek services directly at the SWJC's physical location.

SETA currently operates a SWJC located at 1000 C Street, Galt, CA 95632, and is the lessee of approximately 4,665 square feet in the property known as Valley Oaks Shopping Center. Current partners at this location include the County Department of Human Assistance, the State Employment Development Department and the California Human Development. The current monthly rent is \$7,207.42, and the current lease status is a month-to-month tenancy. Proposers interested in assuming the current SWJC operations may contact the property manager, Steven Snyder, at (805) 653-6761 ext. 115 to discuss terms for a new lease should funding be awarded.

In addition, the current SWJC is fully equipped with the equipment, office furniture and technology needed to operate a SWJC. Proposers interested in assuming the current SWJC operations may assume that all of SETA's equipment, furniture and technology will remain available for use in operating a SWJC.

SWJC services are designed to increase the marketability of job seekers by providing career services (basic and individualized), training services, and follow-up. Services solicited place a high priority on basic, academic and vocational skills development, attainment of industry-recognized credentials and degrees, and promote career pathways in high-demand, middle skill occupational clusters. In addition, this RFP places a priority on employer engagement and meeting employer needs, coordinating, leveraging and braiding resources, as well as ensuring the sustainability of targeted workforce system investments.

3. QUALIFIED APPLICANT AGENCIES

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

Agencies must have a physical presence in Sacramento County. This funding is not intended to support the infrastructure development and start-up costs of a new organization or program.

4. AVAILABLE FUNDS

At this time, the estimated amount of funds available for allocation is up to \$275,000, which includes up to \$25,000 for training scholarships and support services. These amounts are subject to change depending on the final receipt of WIOA Title I, Program Year (PY) 2018-19 funding allocations and the total funds available for allocation.

5. FORMAL SUBGRANT

All successful proposers will be required to enter into a standard form subgrant agreement with SETA. A copy of the most recent form of this subgrant agreement is available for review at SETA. Subgrant agreements entered into under this RFP will be in similar form, subject to modification required by amendments in the WIOA, its implementing regulations, the California Workforce Development Board's Plan, and State legislation, policy directives and regulations.

Proposers are advised that in order to assist the efforts of the Local Workforce Development Board (WDB) in targeting its programs, the SETA Governing Board, as the Chief Elected Official for the Sacramento Workforce Development Area, will require that all recipients of funds from SETA publicize the fact that the program it operates is funded, in whole or in part, by SETA. All subgrants will contain a provision requiring the subrecipient to abide by this requirement.

6. TERM OF SUBGRANT

One subgrant will be awarded for a one-year term beginning July 1, 2018 and ending June 30, 2019. Subject to fund availability, SETA shall have the exclusive option to extend the subgrant awarded for one (1) additional one (1) year term (see paragraph 7, "Extension of Subgrants", for further details regarding subgrant extension). If extended, the additional term will be as follows:

July 1, 2019 and ending June 30, 2020

All proposals must include a one (1) year budget. Funds will be allocated on an annual basis and subgrant agreements will include a maximum dollar amount which cannot be exceeded in each year. Unspent funds for each fiscal year will be returned to SETA.

7. EXTENSION OF SUBGRANTS

Every subgrant will contain a provision permitting SETA, at any time prior to termination of the subgrant, the sole option to extend or renew the subgrant for one (1) year. SETA may exercise such option prior to July 1, 2019. The decision to exercise the option to extend or renew shall be made by SETA in its sole discretion. If SETA exercises its discretion to extend the subgrant for an additional year, based upon subrecipient performance and the existing

conditions, SETA may, in its sole discretion, condition the extension on program performance or budget modifications. In addition, the extended subgrant may be modified as identified in paragraph 18 of the RFP.

8. PREQUALIFICATION REQUIREMENTS/SUBMITTAL DEADLINE

This is a mandatory requirement that must be met by all respondents proposing 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., Thursday, April 5, 2018.

Any respondent that is a recent or current provider or contractor for SETA and has previously met pre-qualification requirements may rely on its previous documentation already on file with the SETA Contracts Unit. 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 by 4:00 p.m., April 5, 2018.

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

All respondents, whether SETA funded or non-SETA funded, will then have until 4:00 p.m., Friday, April 13, 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 REPLY ON PREVIOUSLY SUBMITTED DOCUMENTS BY 4:00 P.M. ON THURSDAY, APRIL 5, 2018 AND/OR THE FAILURE TO PROVIDE COMPLETE AND CORRECT PRE-QUALIFICATION DOCUMENTS BY 4:00 P.M. ON FRIDAY, APRIL 13, 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.**

10. **RFP OFFEROR'S CONFERENCE**

SETA will conduct one Offeror's Conference. The conference is provided so that proposers may have the opportunity to raise any questions they may have pertaining to the development of their proposals. It is not the intent of SETA to offer personalized technical assistance, but rather to provide examples, clarify information or answer questions they may have pertaining to the formulation of their proposals. The Offeror's Conference, which will include a review of the RFP and a question and answer period, will be held on:

Date: Thursday, March 15, 2018
Time: 9:00 a.m.
Place: Sacramento Works Job Center - Galt
1000 C Street, Suite 100
Galt, CA 95632

PLEASE BE ADVISED THAT QUESTIONS REGARDING THE PREPARATION OF INDIVIDUAL RESPONSES TO THIS RFP WILL ONLY BE ANSWERED AT THE OFFEROR'S CONFERENCE. PROPOSERS ARE STRONGLY ENCOURAGED TO ATTEND SO THAT THEY WILL HAVE ACCESS TO THE SAME INFORMATION AS OTHER PROPOSERS.

11. **PROPOSAL DEADLINE AND SUBMITTAL PROCEDURE**

SETA must receive all proposals no later than 5:00 p.m., P.D.T., Thursday, April 26, 2018. Proposals may be e-mailed or delivered to:

Sacramento Employment and Training Agency
925 Del Paso Blvd., Suite 100
Sacramento, CA 95815
Attention: Roy Kim
Email: Roy.Kim@seta.net

In accordance with the policy of the SETA Governing Board, proposals received after 5:00 p.m., P.D.T., April 26, 2018 will not be accepted - **NO EXCEPTIONS. NO APPEALS WILL BE ACCEPTED FOR LATE PROPOSALS.**

To be considered for funding, agencies must submit ONE complete reproducible copy of their proposal developed in response to this RFP. Proposals may be submitted electronically or as an original document.

The proposal must include the signature of an appropriate official who is authorized to submit the proposal for 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 submitted:

- (a) No determination will be made on the responsiveness to the RFP at the time of submittal.
- (b) No proposal will be accepted from any person after the submittal deadline.
- (c) Staff will inform the Governing Board of any non-responsive proposals to the RFP and those wishing to address the above circumstances will be allowed to do so before the SETA Governing Board.
- (d) Testimony to the Governing Board will be given prior to funding hearings in order to allow for consideration of all eligible proposals at one time.

12. SELECTION/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 their evaluations. The SETA staff recommendations will be based upon an evaluation of each proposal submitted and the applicant agency's past program performance, if applicable. Agencies with no recent record of past performance with SETA will supply references that will be contacted by SETA staff.

The following is a summary of the evaluation criteria:

I. Statement of Need & Program Synopsis -

The synopsis of the proposed career (basic and individualized), training and follow-up services is linked to the participant outcomes and is clearly written. It includes:

- Specific and concise statements regarding the purpose of the proposed career, training and follow-up services
- A description of the proposed customer, the numbers to be served, the customer's needs, and the proposed strategies to address the customer's training needs
- A description of the geographic area to be served
- Specific outcome goals and objectives to achieve the goals
- A description of how the outcome goals will benefit the community

II. Allowable Activities -

- The proposer adequately described its capability to provide the services proposed.
- The proposer adequately described its ability to coordinate with AJCCs and included information on its collaborative partners.

- The proposer demonstrated its ability to develop collaborative partnerships
- The proposer included information on leveraged resources and adequately described how they will expand the services offered to job seekers.

III. Collaborative Partnership -

- There is a clear and valid demonstration of established partnerships and leveraged resources.
- The extent to which the following one-stop partner programs required under WIOA are accessible to customers:
 - WIOA Title I, Adult, Dislocated Worker and Youth
 - WIOA Title II, Adult Education and Literacy
 - WIOA Title III, Wagner-Peyser
 - WIOA Title IV, Vocational Rehabilitation
 - Carl Perkins Career Technical Education
 - Title V Older Americans Act
 - Job Corps
 - Native American Programs (section 166)
 - Migrant Seasonal Farmworkers (section 167)
 - Veterans
 - Youth Build
 - Trade Adjustment Assistance Act
 - Community Services Block Grant
 - Housing & Urban Development
 - Unemployment Compensation
 - Second Chance Act
 - Temporary Assistance for Needy Families/CalWORKs

IV. Program Management -

- The history, purpose, staffing, services provided and experience of the organization is clearly described and indicates successful provision of workforce development programs and services.
- The organization's internal fiscal system and fiscal controls are clearly described and capable of meeting WIOA reporting and monitoring requirements.
- The process used to evaluate and monitor the organization's proposed services is clearly described and is consistent with federal and state requirements, and will ensure program and performance accountability.
- The organization's information technology infrastructure is clearly described and is adequate to provide access to and use of the CalJOBS electronic case management and all other technology related functions. This includes a demonstrated ability to provide technical and functional support for applicant agency-supported high speed internet access, computers and printers for customers and staff, internal wiring, and all required connections.

- The proposed budget and budget narrative aligns with the proposed services and is appropriate and reasonable.

V. Demonstrated Performance -

A. SETA-Funded Operators

In addition to the evaluation criteria outlined above, all proposers who are either current or past (post-July 1, 2015) SETA-funded program operators will be evaluated on their overall past program performance and ability to meet contractual performance standards for up to the last three fiscal years. The data used to evaluate programs will be provided by SETA's Program Monitoring, Fiscal Monitoring and Information System Units.

B. Proposers with no past/current SETA program experience

Other organizations not currently or previously funded by SETA, and service providers who received SETA funds prior to July 1, 2015, will be evaluated based on information obtained from references submitted in the "References" section of the RFP. This funding will not support the infrastructure development and start-up of a new organization. References will be asked to provide an assessment of program performance and capabilities, including:

- Actual performance vs. planned goal
- Customer satisfaction
- Type of program/service(s) funded.
- Participant characteristics (i.e., number served, age, target groups, etc.)
- Geographic area served
- Grant amount and duration (including date(s) funded)
- Fiscal accountability
- Reporting and record keeping performance/capabilities

Please note that SETA reserves the right to directly contact all references for past program information.

VI. Price/Cost Reasonableness/Justification -

All applicants will be evaluated based on the reasonableness of the cost of their proposal as compared to the historical cost of similar programs. SETA will review budgets for the reasonableness of cost items in relation to the type and length of service. SETA will compare costs in the proposal to the costs of other proposers with similar programs to assess the competitiveness. Applicants should provide as accurate an estimate of the cost per customer as possible.

The proposed cost per customer must be justified in the narrative and

budget. Merely stating that the proposer will be serving a group with difficult barriers to overcome will not justify a high cost. The proposer must describe the additional services to be provided to overcome these barriers and point out the extra cost items in the budget which are needed to provide these additional services.

13. PUBLISH STAFF FUNDING RECOMMENDATIONS

Staff funding recommendations will be published on Friday, May 25, 2018 by 5:00 p.m.

14. PROTEST PROCEDURES TO RESOLVE PROCUREMENT DISPUTES

All protests to resolve disputes concerning this RFP shall be written, 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 the SETA staff must file a protest, in writing, with the SETA Governing Board by Friday, June 1, 2018 at 5:00 p.m. 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 shall be made prior to any funding determination under this RFP. The SETA Governing Board's decision is final.

15. START-UP AND PROGRAM OPERATION

The program start date is July 2, 2018 contingent upon successful proposers receiving Governing Board approval and meeting SETA's insurance requirements.

16. LIMITATION

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

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 subgrant negotiations and to submit any programmatic, financial, or other revision of their

proposal as may result from negotiations prior to any subgrant finalization. SETA shall reserve the right to terminate, with or without cause, any subgrant entered into as a result of this RFP process.

17. JOINT VENTURE/SUBCONTRACTING

- 1) In the event that a respondent proposes to provide a joint venture proposal (proposals involving more than one service provider), the respective areas of responsibility germane to program administration, program operators, program cost and program performance (including job development and reporting) must be clearly delineated. Joint venture projects shall involve shared responsibility between entities and shall not allow one party to simply become a “pass-through” for funding. Joint ventures are jointly and severally liable for the program.
- 2) 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 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.

18) MODIFICATION OF SUBGRANTS

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

- (a) The subrecipient fails to timely meet its performance standards as set forth in the subgrant, or
- (b) The Federal or State Government increases, reduces, or withdraws funds allocated to SETA under WIOA Title I, or
- (a) There is a change in Federal or State law or regulations or the policies and procedures of the Governor and/or the California Workforce Development Board or SETA are amended, revised or modified.

SETA anticipates that PY 2018-2019 will continue to be a year of transition due to the ongoing implementation of the WIOA legislation and as various federal and state implementing statutes, regulations and policy guidance is released. Proposers should be cognizant of ongoing workforce system changes and are expected to be familiar with ongoing federal and state policy guidance.

SECTION II

THE STATE AND LOCAL STRATEGIC WORKFORCE DEVELOPMENT PLANS

THE WIOA ADULT/DISLOCATED WORKER SERVICE DELIVERY SYSTEM

ALLOWABLE ACTIVITIES

PERFORMANCE MEASURES

PRICE/COST REASONABLENESS/JUSTIFICATION

JOINT VENTURE/SUBCONTRACTING

PROGRAM AND REPORTING REQUIREMENTS

I. THE STATE AND LOCAL STRATEGIC WORKFORCE DEVELOPMENT PLANS -

The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014. The intent of the WIOA legislation is to arm workers with the skills necessary to meet business needs and to provide business with access to a talent pool needed to compete in their local, regional, and global economies. This is achieved by assisting workers, including those with barriers to employment, access to employment, education, job-driven training, and support services, by improving services to business, by enhancing program coordination, by streamlining service delivery, utilizing new technology and increasing the flexibility of governance, by aligning programs and services across common goals, and increasing accountability and transparency. WIOA also emphasizes quality training that leads to industry-recognized credentials, earn and learn approaches that encourage the coordination of work and learning, regional planning and service coordination, and implementation of sector-based strategies and career pathways.

California's one-stop delivery system, the America's Job Center of California (AJCC), is a locally-driven system which develops partnerships and provides programs and services to achieve three main policy objectives established by the California Workforce Development Board (CWDB) in its Unified Strategic Workforce Development "Draft" Plan. Those objectives are:

- Foster demand-driven skills attainment
- Enable upward mobility for all Californians
- Align, coordinate, and integrate programs and services

These objectives are to be accomplished by ensuring access to high-quality AJCCs that provide the full range of career services available in the community for all customers seeking the following:

- Looking to find employment
- Building basic educational and occupational skills
- Earning a postsecondary certificate or degree
- Obtaining guidance on how to make career choices
- Seeking to identify and hire skilled workers

In 2017, the CWDB approved the WIOA Sacramento Strategic Workforce Development Plan (WIOA Plan) which incorporated the Sacramento Works Inc. (SWI) Strategic Workforce Development Plan. The WIOA Plan reflects the vision, goals, strategies, initiatives and partnerships developed by SWI and the Governing Board of the Sacramento Employment and Training Agency (SETA), the Chief Local Elected Official for the Sacramento County Workforce System. The current, local/regional vision and mission statements and goals for the Sacramento Workforce Development Area (WDA) align with the State's plan and policy objectives. They are:

Vision: Building a dynamic workforce for the Sacramento Region.

Mission: Partnering with the workforce community to service regional employment needs.

Goals:

1. Meet the workforce needs of high demand sectors of the regional economy and diversify the economy through growth and support of occupational sector/clusters with high growth potential.
2. Build and Maintain a World-Class Talent Base by:
 - Increasing the number of Sacramentans who obtain a marketable and industry-recognized credential or degree, with a special emphasis on unemployed, underemployed, low-skilled, low-income, veterans, disabled individuals, and other at-risk populations, and
 - Increasing the number of high school graduates and high school drop-outs (with emphasis on at-risk individuals and those from low-income communities) who are prepared for postsecondary education, apprenticeship programs, and/or a career.
3. Support system alignment, service integration and continuous improvement using data to support evidence-based policymaking.

II. THE WIOA ADULT/DISLOCATED WORKER SERVICE DELIVERY SYSTEM -

In today's economy, workers are facing a much tighter labor market and a skills mismatch between unemployed workers and available openings. What today's workers need most is the opportunity to gain skills obtained through advanced education and training resulting in labor market relevant credentials that are valued by employers.

The U.S. Department of Labor has instituted the American Job Center (AJC) to provide for a single access point for persons seeking employment and the State of California has implemented this approach through its AJCC program. In conjunction with this program, the Sacramento Works Job Center (SWJC) system has been developed to provide these services in Sacramento County.

The SWJC system career services—basic and individualized—and training services are customer-driven, easily accessible, and customized to meet the specific needs of employers in the region. In addition, services are comprehensive and performance-based. The system unites business, education, community and public agencies to meet the needs of employers and job seekers through a comprehensive range of workforce development activities, and strategic partnerships. SWJC system job seekers have universal access to a variety of tools and services including assessments, career coaching, labor market information, job search assistance, education and skills training, including on-the-job training, customized training, and vocational training. SWJC system staff provide services and outreach to job seekers, including special populations, such as dislocated workers, veterans, parolees, immigrants, refugees, high-risk youth, low-income and individuals with disabilities.

III. ALLOWABLE ACTIVITIES –

Services being solicited under this RFP are career (basic and individualized), training, and follow-up services intended to prepare low-skilled adults and/or dislocated workers to successfully enter and complete post-secondary education and/or a career in an approved cluster/sector, and improve long-term employment outcomes for individuals accessing services.

Proposers seeking funds under this RFP must demonstrate that the career (basic and individualized), and/or training, and follow-up services proposed will align, coordinate, integrate and support the SWJC system. Proposed services must support skills development, the attainment of industry-recognized/industry relevant credentials and degrees, and are to prioritize career pathways in high demand sectors. Proposers must demonstrate their ability to recruit and identify low-skilled job seekers and at-risk vulnerable populations, and provide them with services necessary for entry into career pathways in high demand or high growth industry sectors/clusters in the region. In addition, proposers must demonstrate their ability to provide follow-up services for 12 months after a customer's entry into unsubsidized employment, which are critical to ensuring long-term employment success.

Career Services

With the passage of WIOA, the former Workforce Investment Act (WIA) core and intensive services are now merged into a new category entitled "career services." The career services category includes basic career services and individualized career services. Basic career services do not require enrollment into WIOA and are not subject to priority of service requirements. Individualized career services and training services, however, require enrollment into WIOA and are subject to priority of service.

Basic Career Services -

Basic career services must be made available to all individuals seeking services offered by the one-stop delivery system, and include the following:

- **Program Eligibility** - Determinations of whether the individual is eligible to receive assistance from the adult, dislocated worker, or youth programs.
- **Outreach, Intake, and Orientation** - Orientation intended to provide information on services available through the SWJC system.
- **Initial Assessment** - The assessment of skill levels including literacy, numeracy, and English language proficiency, as well as aptitudes, abilities (including skills gaps), and supportive service needs.
- **Labor Exchange** - Job search and placement assistance, including the provision of information on in-demand industry sectors and occupations, and on nontraditional employment.
- **Referrals to Partners** – The provision of referrals to and coordination of activities with other programs and services, including those within the SWJC system and, when appropriate, other workforce development programs.
- **Labor Market Information** – The provision of workforce and labor market employment statistics information, including the provision of accurate information relating to local, regional, and national labor market areas, job vacancy listings in

labor market areas, information on job skills necessary to obtain the vacant jobs listed, and information relating to local occupations in demand and the earnings, skill requirements, and opportunities for advancement for those jobs.

- **Training Provider Performance and Cost Information** – The provision of performance information and program cost information on providers approved on the State of California’s Eligible Training Provider List.
- **Supportive Services Information** - Information relating to the availability of supportive services or assistance, and appropriate referrals to those services and assistance, including 1) child care, 2) child support, 3) medical or child health assistance available through the state’s Medicaid program and Children’s Health Insurance Program, 4) benefits under the SNAP, 5) assistance through the earned income tax credit, 6) housing counseling and assistance services sponsored through the U.S. Department of Housing and Urban Development, 7) and assistance under CalWORKs, and other supportive services and transportation provided through that program.
- **Unemployment Insurance (UI) Information and Assistance** - Information and assistance regarding filing claims under UI programs, up to and including assisting individuals in filing a claim either on-site using staff who are properly trained in UI claims filing, and/or the acceptance of information necessary to file a claim.
- **Financial Aid Information** - Assistance in establishing eligibility for training providers offering financial aid assistance for training and education programs not provided under WIOA.

Individualized Career Services -

While not required, proposers are strongly encouraged to provide access to all of the individualized career services listed below.

Individualized career services consist of the following:

- **Comprehensive Assessment** - Comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers, which may include the diagnostic testing, and use of other assessment tools, and/or in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals.
- **Individual Employment Plan (IEP)** – The development of a plan that identifies the career goals, appropriate achievement objectives, and appropriate combination of services for the participant to achieve his or her employment goals, including the list of, and information about, eligible training providers.
- **Counseling** – Individual and/or counseling and mentoring.
- **Career Planning** – Includes comprehensive case management.
- **Short-term Prevocational Services** – Services are geared towards assisting customers obtain and/or improve communication skills, interviewing techniques, learning the importance of punctuality, personal hygiene, and professional conduct to prepare individuals for unsubsidized employment and/or training. In some instances, pre-apprenticeship programs may be considered as short-term pre-vocational services.
- **Unpaid Internships and Unpaid Work Experience** – These services must be linked to careers.
- **Out-of-Area Job Search** – Information and job search assistance on out-of-area job markets, as well as relocation information.

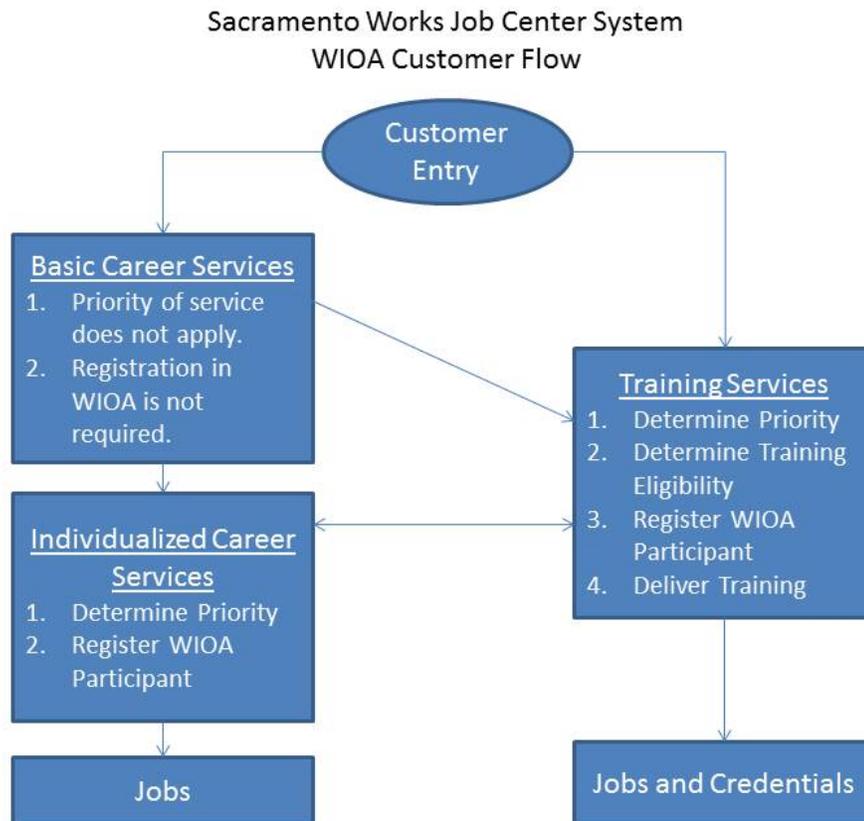
- **Financial Literacy** - Services may include 1) teaching customers how to create household budgets, initiate savings plans, make informed financial decisions about education, retirement, home ownership, wealth, or other savings goals; 2) teaching customers the ability to manage spending, credit, and debt, including credit card debt, effectively; 3) teaching customers about the availability of credit reports and scores, including determining their accuracy, as well as their effect on credit terms; and, 4) teaching customers how to understand, evaluate and compare financial products, services, and opportunities.
- **English Language Acquisition** - Services intended to increase the English language proficiency levels of customers to increase employment marketability.
- **Workforce Preparation** - Services are intended to help customers acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training (high-school diploma or equivalent), or employment.
- **Follow-Up Services** – (*applies to enrolled WIOA customers only*)

Follow-up services are critical to ensuring a customer's success in 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. Follow-up services must be made available to all enrolled customers for at least 12 months commencing on the date a customer obtains unsubsidized employment. The types and intensity of services provided must be determined based on the needs of the individual and may differ for each customer. At a minimum, follow-up should include monthly contact with customers and employers.

Training Services

WIOA-funded training services are delivered via scholarships for individualized training. Individuals who wish to access WIOA-funded training must complete a Scholarship Application. Scholarship funds are maintained by SETA and paid directly to training providers. It is estimated that up to \$25,000 in training scholarships will be available for allocation to SWJC-Galt.

IV) Diagram of WIOA Customer Flow –



V) Responsibilities of Successful Proposers -

1. **Maintain a collaborative partnership by:**

- Coordinating recruitments, registrations and enrollments; developing action plans; and, supporting customers in their effort to research career options/pathways, learn job getting skills, complete training, if applicable, and meet their employment goals.
- Engaging local employers and business associations (if proposing sector training, must include employers within that sector).
- Coordinating services with SWJC system partners.

2. **Ensure knowledge and understanding of the mission and vision established by the WIOA Plan by:**

- Educating staff on local area service priorities.
- Educating staff on Local Board's Strategic Plan mission, goals, and objectives.
- Training staff on occupations with the best projected local demand and the approved occupational sectors/clusters.

3. Ensure that clear career pathways exist for customers by:

- Aligning services with the talent needs of businesses.
- Following the SWJC system customer flow.
- Supporting a case management system that helps job seekers enter and advance within an occupational cluster.
- Coordinating the supportive service needs of the customer to ensure long-term success.
- Utilizing the CalJOBS Electronic System, maintaining adequate information technology infrastructure, and providing adequate related information technology support. At a minimum, must provide high speed internet access, computers and printers for customers and staff, internal wiring, and all required connections.

4. Be accountable for performance by ensuring:

- All staff are trained and informed of anticipated performance outcomes.
- Systems exist to measure performance, customer satisfaction and continuous improvement.
- Performance goals and measures are met or exceeded.
- Customers enter and retain employment and increase wages.
- Follow-up services are made available for 12 months following placement into unsubsidized employment.

5. Leverage resources and funding to expand and enhance services offered to job seekers by:

- Leveraging in-kind and/or cash contributions.
- Bringing added value and resources to the SWJC system and the community.

6. Be customer and community-focused by:

- Coordinating with the community, local business and business associations, and SWJC system partners.
- Providing basic, individualized and/or training services to individuals with barriers to employment.

VI) Customer Eligibility -

Funding for the services included in this RFP come from the WIOA, Title I, Adult and Dislocated Worker programs. Eligibility requirements for these programs are:

WIOA Adult –

- Unemployed, underemployed and low-income;
- Have been determined to be in need of training services and to have the skills and qualifications to successfully complete the selected training program;
- Are unable to obtain assistance from other sources to pay the costs of such training, including Federal Pell Grants established under Title IV of the Higher Education Act of 1965, or require WIOA assistance in

addition to other sources of grant assistance, including Federal Pell Grants; and

- Are determined eligible in accordance with the State and local priority system in effect for adults under WIOA.

WIOA Dislocated Worker –

- Has been terminated or laid off, or has received a notice of termination or layoff from employment;
- Is eligible for or has exhausted unemployment insurance;
- Has demonstrated an appropriate attachment to the workforce, but is not eligible for unemployment insurance and is unlikely to return to a previous industry or occupation;
- Has been terminated or laid off or received notification of termination or layoff from employment as a result of a permanent closure or substantial layoff;
- Is employed at a facility where the employer has made the general announcement that the facility will close within 180 days;
- Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community or because of a natural disaster; or
- Is a displaced homemaker who is no longer supported by another family member.

VII) Priority of Service

As required under WIOA Section 134(c)(3)(E), with respect to individualized career and training services funded with WIOA adult funds, priority of service must be given to recipients of public assistance, other low-income individuals, individuals who are basic skills deficient and other individuals in accordance with the SWI Priority of Service Policy. Priority of service status is established at the time of eligibility determination and does not change during the period of participation. Priority does not apply to the dislocated worker population.

Veterans and eligible spouses continue to receive priority of service among all eligible individuals; however, they must meet the WIOA adult program eligibility criteria and meet the criteria under WIOA Section 134(c)(3)(E).

VIII) WIOA Performance Measures -

WIOA Adult and Dislocated Worker Measures are:

1. **Entered Employment** – the number of customers who are employed in the 2nd quarter after exit.
2. **Employment Retention** - the number of customers who are employed in 4th quarter after exit.
3. **Median Earnings** – the median earnings of those customers who were employed in the 2nd quarter after exit.
4. **Credential/Diploma** – the percentage of customers who obtain an industry-recognized postsecondary credential, secondary diploma, or equivalent, during participation or within 1 year of exit.

5. **Skills Gain** – the percentage of customers who during a program year are in education that leads to a recognized postsecondary credential or employment and who are achieving measurable gains towards those goals.
6. **Employer Effectiveness** - TBD

Local Measures:

Funded centers may also be accountable to other indicators of success identified by the Sacramento Works, Inc. At a minimum the local measures may include:

- Actual cost per customer served and placed
- Number of employers utilized/market penetration
- Training completion rate (set at 85%)
- Training in Sacramento Works, Inc.'s approved Occupational Clusters for the region (currently set at 90%)
- Documentation of training services in the CalJOBS electronic system
- Customer/employer satisfaction
- Submission of timely and accurate reports to SETA, both Fiscal and Program
- The provision of access by customers and staff to and support of the CalJOBS electronic system, and the maintenance of the organization's information technology infrastructure supporting all technology related functions. At a minimum, a funded center's infrastructure must include high speed internet access, computers and printers for customers and staff, internal wiring, and all required connections.

IX) Program and Reporting Requirements -

- 1) **Management Information System/Fiscal Reporting Requirements**
SETA has established specific reporting processes to administer its programs. These include:
 - Management Information Systems (MIS) reports; and,
 - Monthly Fiscal Reports.

The details for accomplishing the above will be provided to all funded programs.

- 2) **Nondiscrimination and Equal Opportunity Requirements** -
All programs must comply with WIOA Section 188's nondiscrimination and equal opportunity requirements and its implementing regulations, 29 Code of Federal Regulations (CFR) Part 38, which prohibit discrimination on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including those that are Limited English Proficient, or LEP), age, disability, or political affiliation or believe, or, for beneficiaries, applicants, and participants only, on the basis of citizenship status or participation in a WIOA Title I-financially assisted program or activity. Furthermore, the agency agrees to ensure that all qualified applicants receive consideration for employment and that employees are treated during employment without regard to their race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender

status, and gender identity), national origin (including those that are Limited English Proficient, or LEP), age, disability, or political affiliation or believe, or, for beneficiaries, applicants, and participants only, on the basis of citizenship status.

- 3) Use of Education Grants and Loans for WIOA Customers - WIOA training resources may be used in conjunction with educational assistance funds, so long as there is inadequate grant assistance from other sources available to pay for the costs. All available sources of funds, excluding loans, shall be considered in determining an individual's overall need for WIOA funds. The exact mix should be determined based on the availability of funding for either training costs or supportive services, with the goal of ensuring that the costs of the training program the individual selects are fully paid and that necessary supportive services are available so that the training can be completed successfully.

X) Resources -

- 1) **SETA WIOA Directives** - All activities funded under this RFP must comply with applicable SETA WIOA Directives. All Directives and any revised directives resulting from this RFP will be available on SETA's website at www.seta.net.

- 2) **Sacramento Works Occupational Clusters**

Since 2001, SWI and SETA have identified high demand occupational sectors/clusters to focus training efforts to ensure that job seekers are being trained with skills that will meet the needs of employers in the region. The WIOA Adult and Dislocated Worker program focuses on occupations requiring short to moderate term post-secondary education and industry recognized credentials and degrees. Some occupations in these sectors/clusters reflect higher levels of education. These levels are not necessarily the only way an individual can become qualified to perform the duties of a given occupation. Other combinations of education, training, and/or experience may also be appropriate for job entry. The occupational sectors/clusters reflect employment projections according to education/training and have been identified as the fastest growing occupations and occupations with the most job openings. The current list of occupational sectors/clusters is as follows:

ADVANCED MANUFACTURING

INFORMATION and COMMUNICATIONS TECHNOLOGY

CONSTRUCTION

CLEAN ECONOMY

HEALTHCARE

LIFE SCIENCES

EDUCATION AND KNOWLEDGE CREATION

FOOD AND AGRICULTURE

For additional details on the high demand occupational clusters, please see the Capital Region Strategic Workforce Development Plan available at www.seta.net, under the “Public Information” page.

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.

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
Sacramento, CA 95814
874-5481 (Maria DeAnda)
FAX: 874-7593

e-mail: supervisorkennedy@saccounty.net

Vice Chair

Councilmember Larry Carr

City of Sacramento
915 "I" Street, 5th Floor
Sacramento, CA 95814
808-7008 (Mai)
FAX: 808-7680

e-mail: lcarr@cityofsacramento.org

Supervisor Don Nottoli

County of Sacramento
700 "H" Street
Sacramento, CA 95814
874-5465 (Leticia)
FAX: 874-7593

e-mail: nottolid@saccounty.net

Councilman Jay Schenirer

City of Sacramento
915 "I" Street, 5th Floor
Sacramento, CA 95814
808-7197 (Keilani)
FAX: 808-7680

e-mail: jschenirer@cityofsacramento.org

Sophia Scherman

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

e-mail: 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 LOBBYINGCertification 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 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).

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)

Name Mailing Address (City, State, Zip)

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

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

- A. Read each Section of this Request for Proposals (RFP) carefully.
- B. Section V of the RFP must be utilized as the proposal format by applicant agencies/organizations responding to the RFP.
- C. 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.
- D. Provide information **in the exact order as it is requested** on the standard RFP response format provided. Include the title of each section.

SPECIAL INSTRUCTIONS WHEN SUBMITTING PROPOSALS

- 1. NO STAPLES
- 2. STANDARD TYPE (12 point Arial or Times New Roman or larger)
- 3. 8.5 X 11 PAPER ONLY
- 4. SINGLE SIDE ONLY
- 5. ORIGINAL MUST HAVE ORIGINAL SIGNATURES AND BE IDENTIFIED AS THE "ORIGINAL"
- 6. BLACK INK ON WHITE PAPER
- 7. ONE REPRODUCIBLE COPY OF THE PROPOSAL
- 8. DO NOT BIND OR USE SECTION DIVIDERS
- 9. NUMBER THE PAGES AND LABEL THE EXHIBITS
- 10. 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 the 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 RFP deadline);
2. Failure to submit the proposal by the RFP deadline;
3. Failure to follow the proposal format provided by, and required in, the RFP;
4. Failure to submit “unbound” copies of proposals;
5. Failure to number pages and label exhibits;
6. Failure to submit a complete copy of the document;
7. Failure to address or provide all items requested under References;
8. Failure to submit the resolution Exhibit A;
9. Failure to submit the budget narrative;
10. 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.