

Request For Proposals

For
Workforce Innovation and
Opportunity Act (WIOA)
Youth Program Services Funded
by Title I

Fiscal Years 2016-2020

Release Date: December 4, 2015

Due Date: March 17, 2016



The terms and conditions of this Request For Proposals have been approved by the Sacramento Works Youth Committee, Sacramento Works, Inc., the local Workforce Board and the Governing Board of the Sacramento Employment and Training Agency

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

Sacramento Employment and Training Agency/ Sacramento Works, Inc.

Workforce Innovation and Opportunity Act (WIOA) Title I, Youth Program

Program Year 2016 - 2017

PLANNING CALENDAR

(Dates and Times are subject to change)

DATE	EVENT
Wednesday, September 9, 2015	Sacramento Works Youth Committee & Public Input Meeting #1 - WIOA youth services
Wednesday, October 14, 2015	Public Input Meeting #2 - WIOA youth services
Wednesday, November 12, 2015	Sacramento Works Youth Committee Reviews/Approves Request for Proposals
Wednesday, November 18, 2015	Sacramento Works, Inc. Approves Release of Request for Proposals
Thursday, December 3, 2015	Governing Board Reviews Approves Release of Request for Proposals
Friday December 4, 2015 (1:00 p.m.)	Release of Request for Proposals
Thursday, January 21, 2016 (9:30 a.m.)	Bidders Conference
Thursday, January 28, 2016 (4:00 p.m.)	Pre-qualification Requirements Due at SETA
Thursday March 17, 2016 (4:00 p.m.)	Proposals Due at SETA
Friday, April 29, 2016 (1:00 p.m.)	Publish Staff Recommendations
Wednesday, May 11, 2016 (8:30 a.m.)	Presentations of Bidders to the Youth Committee Sacramento Works Youth Committee reviews Staff recommendation and makes funding recommendation to Sacramento Works, Inc.
Wednesday, May 25, 2016	Sacramento Works, Inc. Review/Approves Youth Committee Recommendation
Thursday, June 2, 2016	Governing Board Reviews Sacramento Works, Inc. Decisions and Concurs
July 1, 2016	Program Year Begins

All meetings will be held at the SETA offices, 925 Del Paso Blvd. Sacramento, CA

**Sacramento Employment and Training Agency /Sacramento Works, Inc.
REQUEST FOR PROPOSALS (RFP)**

Workforce Innovation and Opportunity Act (WIOA) Title I, Youth Program

Section I

1. BACKGROUND

This Request for Proposals (RFP) was developed on the basis of the Workforce Innovation and Opportunity Act (WIOA) of 2014 and the Notice of Proposed Rulemaking for implementing WIOA legislation published in the Federal Register (April 16, 2015). The U.S. Department of Labor (DOL) via the State of California, under the auspices of the State Workforce Development Board, pursuant to Title I of the Workforce Innovation and Opportunity Act provides funds for this RFP.

In Sacramento County, the Sacramento Works Youth Committee (Youth Committee) is responsible for the planning of WIOA Youth Services. The Youth Committee seeks to create opportunities for youth in employment and training, academic enrichment, leadership development, connections with the local job market, linkages between academic and occupational learning and infusion of services into the America's Job Center of California (AJCC)/ Sacramento Works system. The Sacramento Employment and Training Agency (SETA) is the administrator of the WIOA funds and is responsible for the oversight of the AJCC network for Sacramento County.

Respondents should be aware that SETA's activities, as well as those of any SETA-funded sub-recipient or contractor, are subject to any modifications required by the WIOA, its regulations, potential reauthorization of WIOA, Federal or State legislation and their regulations, the Governor and /or the State Workforce Development Board, local Workforce Development Board policies and SETA policies and procedures.

The mission of the Youth Committee is to support the positive development of youth to become productive, caring and civic-minded adults by creating a seamless system for youth in the community.

The Youth Committee subscribes to the following values and standards when developing and implementing youth programs:

- **Personal Responsibility:** Youth are expected to take personal responsibility for their success. They will be involved in developing their plan, selecting the activities and programs that meet their employment needs, achieving appropriate educational competencies and achieving their program goals.
- **Youth Involvement:** The planning process will involve youth in a substantial and ongoing way.
- **Collaboration:** The Youth Committee will identify and collaborate with youth programs funded by alternative funding sources to ensure that unique and innovative demonstration programs are sustained.

The principles that guide the work of the Youth Committee and the Youth program include:

- Asset-based approach - Focus on **Youth Development** issues;
- Focus on the identified **critical occupational clusters** for training and employment;
- Focus on **work readiness skills** to attain and retain employment and academic achievement;
- Promote **academic achievement** and lifelong learning;
- Focus on service learning concepts;
- Promote career pathway opportunities; and
- Promote services to high-risk youth.

2. QUALIFIED APPLICANT AGENCIES

- Established community-based organizations
- Public Agencies
- Private for-profit agencies
- Private nonprofit agencies/institutions
- Educational institutions

3. AVAILABLE FUNDS

At this time, the PY2016-2017 Workforce Innovation and Opportunity Act Title I Youth program allocation is not available. The amount of funding estimated to be available in this RFP for PY2016-2017 is \$2,600,000. This amount is subject to change upon final WIOA allocation.

4. TERMS OF SUBGRANT

All subgrants will be awarded for a twelve-month term beginning July 1, 2016 and ending June 30, 2017. SETA/Sacramento Works, Inc. has the exclusive option to extend any subgrant awarded for up to three additional terms. If extended, the terms would be as follows:

- July 1, 2017 and ending June 30, 2018;
- July 1, 2018 and ending June 30, 2019;
- July 1, 2019 and ending June 30, 2020.

5. PRE-QUALIFICATION 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 Prequalification Requirements is included in Section III of this RFP. Please note that the deadline for submission of all prequalification documents to the SETA Contracts Unit is 4:00 p.m., Thursday, January 28, 2016.

Any proposing organization that is a current provider for SETA or that has been a former contractor of SETA and has previously met pre-qualification requirements must contact Heather Luke, Workforce Development Analyst III, at (916) 263-4072 by 4:00p.m., Thursday,, January 28, 2016, to advise SETA of its intent to respond to this RFP based upon documentation already on file with the Contracts Unit.

FAILURE OF A PROPOSING ORGANIZATION TO SUBMIT COMPLETE PREQUALIFICATION DOCUMENTS OR TO NOTIFY WORKFORCE DEVELOPMENT ANALYST III, HEATHER LUKE, OF ITS INTENT TO RELY ON PREVIOUSLY SUBMITTED DOCUMENTS BY 4:00 P.M. THURSDAY, JANUARY 28, 2016, WILL DISQUALIFY SUCH PROPOSING ORGANIZATION FROM ANY FURTHER FUNDING CONSIDERATION FOR THE FUNDING PERIOD COVERED BY THIS RFP.

Within 48 hours (2 working days), SETA staff will review all documentation submitted or referenced by the pre-qualification deadline, 4:00 P.M., Thursday, January 28, 2016, and contact, via telephone, those proposing organizations who need to, at the discretion of the SETA Contracts Unit, submit clarifying information or documents.

Requested clarifying information or documents must be received by SETA in a format designated by the SETA Contracts Unit by 4:00 P.M., Thursday, February 4, 2016. Failure to provide the SETA Contracts Unit with the requested clarifying information or documents by the 4:00 P.M., Thursday, February 4, 2016 deadline will disqualify such proposing organization(s) from any further funding consideration for the period covered by this RFP. Postmarks and other proofs of mailing will not be accepted.

FAILURE TO MEET THESE REQUIREMENTS BY THE DEADLINES NOTED ABOVE WILL DISQUALIFY PROPOSING ORGANIZATIONS FROM ANY FURTHER FUNDING CONSIDERATION FOR THE FUNDING PERIOD COVERED BY THIS RFP.

6. REQUIRED RESPONSE FORMAT

Interested applicants must respond to this RFP using the proposal response format provided in Section IV of this RFP. In responding, **NO SUBSTITUTIONS IN FORMAT, DESIGN OR ACTIVITIES WILL BE CONSIDERED.**

7. RFP BIDDERS CONFERENCE

SETA will conduct one Bidders Conference. This conference is provided so that applicants have the opportunity to raise any questions they may have pertaining to the development of their proposals. The Bidders Conference will be held:

DATE: Thursday, January 21, 2016
TIME: 9:30 AM
PLACE: SETA Boardroom, 925 Del Paso Blvd., Sacramento, CA 95815

The conference will include a review of the RFP with questions and answers. It is preferable that all questions be submitted in advance. Questions can be emailed to Terri.Carpenter@seta.net. PLEASE BE ADVISED THAT QUESTIONS REGARDING THE

PREPARATION OF INDIVIDUAL RESPONSES TO THIS RFP WILL NOT BE ANSWERED AFTER THE BIDDERS CONFERENCE.

8. PROPOSAL DEADLINE AND SUBMITTAL PROCEDURE

All proposals must be in the SETA office and time-stamped by the SETA Receptionist no later than 4:00 p.m., P.S.T., **Thursday, March 17, 2016**. Proposals mailed to SETA must be received in the SETA office and time-stamped by the SETA receptionist no later than 4:00 p.m., P.S.T., Thursday, March 17, 2016. ***In accordance with the policy of the SETA Governing Board and the Sacramento Works, Inc., proposals and documents delivered after 4:00 p.m., P.S.T. deadline will not be accepted. NO EXCEPTIONS. NO APPEALS WILL BE ACCEPTED FOR LATE PROPOSALS***

To be considered for funding, agencies must submit **ONE (1)** copy with original signature(s), and be identified as the original of their proposal developed in response to this RFP:

While not required, SETA strongly encourages One (1) complete copy of the proposal response document in electronic format. For convenience, electronic copies may be E-mailed to Terri.Carpenter@seta.net

Do not bind copies or use section dividers. Use binder clips or rubber bands to keep copies separate.

The proposal must be signed by 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:

- All timely submitted proposals will be received and placed in an envelope.
- No determination will be made on the responsiveness to the RFP at the time of submittal.
- **No proposals will be accepted after the submittal deadline.**
- Staff will inform the Governing Board of any non-responsive proposals and those wishing to address the above circumstances will be allowed to do so before the SETA Governing Board.
- A determination on the proposal's responsiveness will be made by the Governing Board prior to funding hearings in order to allow for consideration of all eligible proposals at one time.

9. SELECTION/EVALUATION PROCEDURE/CRITERIA

Oversight of the process for the selection of youth program operators is the responsibility of the Youth Committee. The recommendations made by the Youth Committee are submitted to the Sacramento Works, Inc. and the SETA Governing Board. The Sacramento Works, Inc. and the SETA Governing Board must concur on the funding

decisions.

In order to assist Sacramento Works, Inc. and the SETA Governing Board in making funding decisions, a proposal evaluation committee comprised of staff, partners and Youth Committee members will evaluate each proposal and provide the results of their evaluation in the form of youth program funding recommendations.

Youth program funding recommendations will be based upon an evaluation of each proposal submitted and the applicant agency's past program performance. Youth program funding recommendations shall be published prior to public hearings and distributed to respondents and the Youth Committee.

All proposals will be evaluated based on the adequacy of the descriptions for all of the points outlined in the response section (Section IV) of this RFP:

- Cover Page
- Summary Statement
- Proposed Project Accomplishments
- Internal Tracking/Evaluation/Monitoring System
- Project Description
- Program Partnership
- Program Components
- Fiscal Management
- All requested attachments.

Demonstrated Performance

(a) SETA Funded Youth Program Operators

In addition to the evaluation criteria outlined above, all applicants who are either current or recent SETA funded program operators will be evaluated based upon their ability to meet contractual performance standards for up to the last three fiscal years. Evaluation of current performance will include the program operator's ability to manage the program. Examples of evaluation criteria include:

- 1) Achievement of quarterly planned enrollment goals.
- 2) Enrollment of target groups to planned levels in the contract.
- 3) Ability to serve "hard-to-serve" populations.
- 4) Submission of timely fiscal and MIS reports to SETA
- 5) Achievement of quarterly WIOA youth performance goals.

(b) Applicants with no past/current SETA program operation experience

Other organizations not currently or previously funded by SETA and service providers who received SETA funds prior to 2013 will be evaluated based on information obtained from references submitted in the "Reference" section of the RFP.

References will be asked to provide an overall assessment of program performance and capabilities, including:

- Actual performance vs. planned goals.

- entered employment rate
- positive termination rate
- average wage at placement
- Type of program/service(s) funded.
- Participants' 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
- Customer satisfaction.

Please note that SETA reserves the right to directly contact all references.

10. PRICE/COST REASONABLENESS AND JUSTIFICATION

All proposals will be evaluated based on the reasonableness of cost. Budgets will be reviewed for the reasonableness of cost items in relation to the type and length of services, and the number of youth projected to be served in each component. Costs will be compared to the costs of other proposals with similar programs.

Applicants will be evaluated on the average cost per slot. The number of slots available refers to the number of participants that can be served at any one time by the program. The actual average cost per slot of training for all participants is the total amount requested per year divided by the number of slots available.

The proposed cost per slot must be justified in the narrative and budget. Merely stating that a program is serving a group with difficult barriers to overcome will not justify a high cost per hour. The proposal must include a description of the extra services that will be provided to overcome the barriers and identify the extra cost items in the budget needed to provide them. Avoid charging items to WIOA that can be easily paid for through other sources (i.e. Average Daily Attendance, vocational education and Career Technical Education program services).

11. PUBLIC HEARINGS

The Youth Committee will hold a public hearing utilizing the process outlined below:

- (a) Publish youth program funding recommendations.
- (b) Hold public hearings to hear from applicants.
- (c) Develop Youth Committee recommendations.

After the hearing is closed, the Youth Committee will develop its funding recommendations and submit them to Sacramento Works, Inc. for approval. Upon approval, the funding recommendations will be forwarded to the SETA Governing Board for concurrence. If the Governing Board does not concur, a conference committee will be selected to negotiate and make new recommendations.

SETA and the Youth Committee adhere to the provisions of §54954.2 and §54954.3 of the

California Government Code, generally known as the Brown Act. Members of the public may address the SETA Governing Board and the Youth Committee on any matter under their jurisdiction.

12. PROTEST PROCEDURES TO RESOLVE PROCUREMENT DISPUTES

All protests to resolve disputes concerning this RFP shall be written and must specify in detail the grounds of the protest, the facts and evidence in support thereof and the remedy sought. The written protest must be delivered to the Clerk of the Boards at SETA no later than five (5) calendar days prior to the date of any funding determination by the Governing Board. In the absence of a timely and properly submitted written protest, no party responding to this RFP shall be eligible for any remedy.

The SETA Governing Board will resolve any protest based upon the written protest and any oral or written response thereto provided by staff. Any SETA Governing Board resolution of the protest will be made prior to any funding determination under this RFP and such resolution by the SETA Governing Board will be deemed final.

13. START-UP AND PROGRAM OPERATION

The anticipated start date for participants will be July 1, 2016 contingent upon successful applicants meeting SETA's insurance requirements and board approvals.

14. 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.

The Youth Committee 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 the SWI Board to do so. If only one responsive proposal is received, the Youth Committee will deem this competition to have failed. In such an event, the Youth Committee 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 revisions of their proposal which 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.

15. FORMAL SUBGRANT

All successful applicants 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 the RFP will be in similar form, subject to modification required by recent amendments in the WIOA and its regulations.

Applicants are advised that the SETA Governing Board as the Chief Local Elected Official for

the Sacramento Workforce Development Area has implemented a policy requiring that all recipients of funds from SETA publicize the fact that the program it operates is funded, in whole or in part, by SETA or Sacramento Works. All subgrants will contain a provision requiring the subrecipient to abide by this policy.

16. MODIFICATION OF SUBGRANTS

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

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

17. PERFORMANCE MEASURES

The current goals established under the Workforce Investment Act for Sacramento are outlined below:

- | | |
|--|-----|
| 1. Placement into Employment or Education | 65% |
| 2. Attainment of Diploma or Credential | 64% |
| 3. Literacy and Numeracy Gain (Out-of-School Youth Only) | 60% |

The WIOA Common Measures, which are being defined and are scheduled for full implementation effective July 1, 2017, are as follows::

- 1. *Placement into Employment or Education – Q2*
- 2. *Placement into Employment or Education – Q4*
- 3. *Median Earnings from Employment – Q2*
- 4. *Attainment of Diploma or Credential*
- 5. *Measureable Skill Gains*
- 6. *Employer Effectiveness*

These performance measures are subject to change and implementation based on guidance received from the U.S. Department of Labor and the California Employment Development Department.

Local Evaluations

Funded programs will also be accountable to provide information on the progress of the program in relation to other indicators of success identified by the Youth Committee. Indicators of success will incorporate the values and standards identified in this application.

At a minimum the local evaluations may include:

- The actual cost per person served
- Documentation of case management services in the Sacramento Works/CalJobs system
- Placement in work experience, attainment of employment or enrollment in post-

secondary education, vocational training/apprenticeship programs.

- GED Preparation Course Completion Rate.
- The evaluation may also include, but is not limited to, the effectiveness of any component of the program, youth engagement, the effectiveness of collaboration and implementation of youth development principles.

18. **SUBCONTRACTING**

Subcontracting to another entity for the provision of training services is not allowable. All training services provided with SETA funding must be provided by the respondent's staff. Subcontracting for specialized, technical portions of 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. The respondent's staff must either provide all services proposed, access services via the SETA's Vendor Services list or access in-kind services. An ongoing Request for Quotes for the Vendor Services list is available on the SETA website (www.seta.net) and applications are reviewed on an on-going basis.

19. **PROGRAM AND REPORTING REQUIREMENTS**

a. Management Information System/Fiscal Reporting Requirements

SETA has established specific reporting processes to administer its programs.

These include:

- 1) Management Information Systems (MIS) reports;
- 2) Monthly Fiscal Reports;
- 3) Sacramento Works case management system;
- 4) Funded programs will also be accountable to provide information on the progress of the program in relation to other indicators of success identified by the Youth Council.

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

b. Nondiscrimination Requirements

All programs must not deny any individual an opportunity to participate in services based on grounds of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any 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, national origin, age, disability, political affiliation or belief, and for beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIOA Title I – financially assisted program or activity.

INSTRUCTIONS FOR COMPLETING THE PROPOSAL APPLICATION

- A. Read each Section of this Request for Proposals carefully.
- B. Section IV of the Request for Proposals must be utilized as the proposal format for those agencies/organizations responding to the RFP.
- C. A separate proposal must be submitted for Out-of-School Youth and In-School Youth.
- D. Provide the information required of each section as concisely, yet completely, as possible. Be specific, and where appropriate or deemed necessary, provide examples that clarify descriptions.
- E. Provide information in the exact order as it is requested on the standard RFP response format provided. Include the title of each section.
- F. The number of slots available refers to the number of participants that can be served at any one time by the program, or the total number of youth being served when the program is running at full capacity.

ADDITIONAL INSTRUCTION FOR THE FORMS IN APPLICATION SECTION

- On the **Cover Sheet**, list the collaborating agencies with a contact person from each organization. Start with the lead agency of the collaborative. You can add more pages listing the same information if you require more space.
- On the **Assurances and Certification pages**, list the collaborative members in the same order as on the cover page and have representatives of each organization sign indicating their involvement in the program.

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 SIGNATURE (S) AND BE IDENTIFIED AS THE ORIGINAL**
6. **BLACK INK ON WHITE PAPER**
7. **ONE ORIGINAL PLUS 7 COPIES OF PROPOSAL**
8. **DO NOT BIND COPIES OR USE SECTION DIVIDERS**
9. **ONE (1) INCH MARGINS OR GREATER**
10. **PROPOSAL PACKET MAY ALSO INCLUDE A COPY IN ELECTRONIC FORMAT, EXCLUSIVE OF ANY LETTERS OF COMMITMENT. FOR CONVENIENCE, ELECTRONIC COPIES MAY BE E-MAILED TO TERRI.CARPENTER@SETA.NET**

COMMON ERRORS TO BE AVOIDED WHEN RESPONDING TO THE RFP

In an effort to assist all agencies responding to SETA's Request for Proposals (RFP), we have identified a number of recurring errors commonly made by respondents in the preparation of proposals. We encourage 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 attend the bidder's conference.
3. Failure to submit the proposal by the RFP deadline.
4. Failure to submit separate proposals for In-School Youth and Out- of-School Youth.
5. Failure to follow PROPOSAL FORMAT provided by, and required in, the Request for Proposals (RFP).
6. Failure to submit "unbound" copies of proposals.
7. Failure to number pages and label exhibits.
8. Failure to address or provide all items requested under References.
9. Failure to submit resolutions.
10. Failure to submit budget narrative.
11. Unclear Budget Summaries:
 - a. Discrepancies between line items and totals;
 - b. Blank categories with no explanation given;
 - c. Discrepancies between narrative and budgetary figures and/or totals.

SECTION II

WIOA IMPLEMENTATION STANDARDS

YOUTH SERVICES

PROGRAM DESIGN

PERFORMANCE MEASURES

DEFINITIONS: WIOA PROGRAM ELEMENTS AND WIOA TERMS

INTRODUCTION

The intent of the Workforce Innovation and Opportunity Act youth program is to "Provide high quality services for youth and young adults beginning with career exploration and guidance, continued support for educational attainment, opportunities for skills training in high-demand industries and occupations, and culminating with a good job along a career pathway or enrollment in post-secondary education."

The youth formula-funded program has changed under WIOA to focus more on out-of-school youth, work based learning opportunities coupled with academic and occupational learning, and additional program elements.

WIOA legislation calls for youth programs that focus on the following:

- Significantly increased services to out-of-school youth 16-24
- High school dropout recovery
- Achievement of recognized post-secondary credentials
- Career pathways and work-based learning tied to a systematic approach that offers youth a comprehensive set of service strategies
- Closer linkages to the local labor markets
- Required connection between WIOA-funded youth programs and the one-stop system providing information on the full array of appropriate services that are available to youth

It is important to note two new requirements for the WIOA Youth programs:

1. At least 75% of WIOA youth funds must be expended on providing intensive services for out-of-school youth.
2. At least 20% of total allocated WIOA youth funds must be expended on paid or unpaid work based learning activities that have as a component academic and occupation education for both in-school and out-of-school youth which may include the following: employment opportunities such as work experiences during the summer and throughout the school year; pre-apprenticeship programs; internships and job shadowing; and on the job training

I. YOUTH SERVICES

SERVICE DELIVERY:

The mission of the Sacramento Works Youth Committee is to provide activities to enable young adults to be work-ready and prepared for their future. Provided services will help young adults access opportunities for work-based learning, complete industry recognized credentials, and enter employment in demand occupations. Sacramento Works youth services should be designed in a manner that integrates young adults into the job center in order to receive the full range of services.

The Sacramento Works Youth Committee is seeking service providers to serve youth residing in challenged neighborhoods to operate WIOA Youth Programs. These service providers will be responsible to provide access to services to youth in their targeted geographic area and through the Sacramento Works AJCC located in their targeted area. WIOA service providers will be required to be

located on-site at an AJCC on a frequent basis to provide access to the WIOA youth program for youth seeking services through the Sacramento Works system. With the focus of the WIOA youth program on serving older, out-of-school youth, it will be necessary for WIOA youth program service providers to work closely with the Sacramento Works system since it is likely this population will be visiting the job center seeking career services.

The Sacramento Works WIOA youth program will provide services to In-School youth and Out-of-School youth.

Applicants must identify if they will serve In-School Youth or Out-of-School Youth and separate proposals must be submitted for In-School youth and Out-of-School Youth.

ELIGIBILITY:

WIOA youth programs are intended to provide a rich array of age-appropriate services that target economically disadvantaged youth aged 16-24 who face barriers to staying in school or to finding stable employment. These services are available not only to high school students (in-school youth), but also to out-of-school youth who 1) have dropped out of school and are interested in furthering their education and preparing for the workforce, or 2) have earned a high school diploma or GED, but are unemployed, underemployed or deficient in basic skills.

Please refer to the EDD Directive Number: WSD14-4 for additional information on eligibility.

OUT-OF-SCHOOL SERVICES FOR YOUTH:

For the Sacramento WIOA Youth program, Out-of-School youth must be aged 16 – 24, not attending any school, and meet one or more additional conditions which include:

- A school drop-out (youth enrolled in alternative schools are not school dropouts)
- Within age of compulsory attendance but has not attended for at least the most recent complete school year calendar quarter. School year calendar quarter is based on how a local school district defines its school year quarters.
- A recipient of a secondary school diploma or its recognized equivalent who is a low-income youth (i.e., their household income is below the poverty line or 70% of the lower living standard income level) and is either basic skills deficient or an English language learner
- A youth who is subject to the juvenile or adult justice system
- Homeless
- Pregnant or parenting
- Individual with a disability
- A low-income youth who requires additional assistance to enter or complete an education program or to secure or hold employment. **(See Definitions Section of this RFP for examples of individuals who require additional assistance.)**

Five percent of the total enrollment for the WIOA Out-of-School and In-School youth program can be non-economically disadvantaged (i.e. their household income is greater than the amount described above). However, they must meet one of the barriers to employment described above.

IN-SCHOOL SERVICES FOR YOUTH:

For the Sacramento WIOA youth program, In-School youth must be attending school (as defined by State law), including secondary and post-secondary school and not younger than 16 (unless an individual with a disability who is attending school under State law) and older than 18 at time of enrollment and a low-income individual (i.e., their household income is below the poverty line or 70% of the lower living standard income level), plus meet one or more of the following conditions:

- Basic skills deficient (functional academic skill is below the 9th grade level)
- An English language learner
- An offender
- Homeless
- Pregnant or parenting
- Individual with a disability
- An individual who requires additional assistance to enter or complete an education program or to secure or hold employment. **(See Definitions Section of this RFP for examples of individuals who require additional assistance.)**

II. PROGRAM DESIGN

Applicants must explain in their proposal how they will implement the following requirements of the Sacramento Works WIOA Youth Program.

A. Case management is required for all participants and comprised of three subparts: Objective Assessment, Service Plan Development and Coordination of Services. Case Management includes:

1. Objective Assessment of Goals, Needs and Resources. The objective assessment can be a recent assessment of the participant, where appropriate, or can be developed as part of this youth program. A comprehensive assessment typically includes the following:

- Academic level
- Skill level
- Service needs
- Basic skills
- Occupational skills
- Prior work experience
- Employability
- Interests, including non-traditional
- Aptitudes
- Supportive service needs
- Developmental needs

2. Service Plan based on the assessment. The Individual Employment Plan can be based on a previously developed plan (i.e. Individual Education Plan), or developed as part of this youth program. The strategy must include:

- An employment goal, traditional or non-traditional
- Academic goal
- Achievement objectives

- Services based on the assessment
- Ongoing case management

3. Coordinate service delivery and quality assurance.

The case manager must work in partnership with the youth to implement the service plan. The case manager will connect the youth to program components, track the progress of each youth to insure the quality of the service provided, and ensure that each youth achieves the planned outcome goals. Services must be documented in the Sacramento Works case management system.

4. Provide preparation for continued education, links between academic and occupational learning, and preparation for unsubsidized employment or connections to intermediaries with links to the job market and employers.

Case managers must work collaboratively with partners, employers and community agencies to provide components that link youth to work as a positive youth development activity. This can include innovative connections with the private sector, opportunities for community services, and training in critical industries or opportunities to improve academic standing.

B. WIOA PROGRAM ELEMENTS

The Workforce Innovation and Opportunity Act identified specific program elements to be incorporated into the delivery of youth services.

1. Secondary School Completion Services
2. Alternative Secondary School Services
3. Paid or unpaid work experience that have academic and occupation education as a component of the work experience, which may include:
 - Summer employment opportunities and other employment opportunities available throughout the school year
 - Pre-apprenticeship programs
 - Internships and job shadowing
 - On-the-job training opportunities

Work Experiences are a planned, structured learning experience that takes place in a workplace for a limited period of time generally not to exceed 300 hours.

4. Occupational Skills Training that lead to recognized post-secondary credentials that align with in-demand industry occupations

5. Education offered concurrently with and in the same context as workforce activities and training for a specific occupation
6. Leadership development opportunities, including community service and peer-centered activities encouraging responsibility and other positive and civic behaviors **(See Definitions Section of this RFP for examples of leadership and community service activities.)**
7. Supportive Services
8. Adult Mentoring
9. Comprehensive Guidance and Counseling
10. Follow-up Services for not less than 12 months after program completion
11. Financial literacy education
12. Entrepreneurial skills training
13. Career awareness, career counseling and career exploration services about in-demand industry sectors/occupations
14. Activities that help youth prepare for and transition to post-secondary education and training. These activities are based on each participant's objective assessment and individual service strategy and could include:
 - Help participants prepare and submit post-secondary education applications and financial aid
 - Research and apply for scholarships
 - Develop portfolio that demonstrates accomplishments and competencies

Note: A detailed description of the WIOA program elements is provided in the Definitions Section of this RFP.

The following program elements are considered required activities for Out-of-School youth:

1. Alternative School Completion: All out-of-school youth that do not have a GED or high school diploma must enroll in services to attain either a GED or high school diploma.
2. Work Experience: Paid or unpaid work experience that have academic and occupation education as a component of the work experience, which may include:
 - Summer employment opportunities and other employment opportunities available throughout the school year
 - Pre-apprenticeship programs
 - Internships and job shadowing
 - On-the-job training opportunities
3. Leadership development opportunities, including community service and peer-centered

activities (Activities can include: Community and Service Learning projects, participating on community boards or committees, training in decision making and determining priorities.)

4. Follow-up services

(See Definitions Section of this RFP for examples of activities.)

The following activities are required for In-School youth:

1. Secondary School Completion Services
2. Work Experience: Paid or unpaid work experience that have academic and occupation education as a component of the work experience, which may include:
 - Summer employment opportunities and other employment opportunities available throughout the school year
 - Internships and job shadowing
3. Leadership development opportunities, including community service and peer-centered activities
4. Follow-up services

(See Definitions Section of this RFP for examples of activities.)

C. ADDITIONAL INNOVATIVE YOUTH PROGRAM STRATEGIES

The Youth Committee is interested in program designs that incorporate the above WIOA youth program elements with other innovative strategies along with integration and partnerships to carry out the program.

Proposals should reflect “an age continuum of services” and age-appropriate activities based on the expectation that youth may be enrolled in WIOA services for the time period determined to successfully complete their service plan. A variety of workforce development activities should be available to help youth identify personal and vocational interests and begin to clarify long-term employment goals. Negotiating the transition from school to the workforce requires more than the acquisition of skills specific to an occupation. It is also necessary for youth to master the development tasks associated with cognitive, emotional, and social maturity that are critical to long-term employment success.

Proposals should include innovative service delivery strategies which provide support in the following areas:

- Child Care
- Housing
- Comprehensive Guidance and Counseling
- Mentoring

Proposals should demonstrate linkages with the public schools, alternative schools, and various training providers to extend and enhance learning opportunities as part of a year-round strategy to improve academic achievement and build connections between work and learning. Respondents are expected to build and strengthen partnerships with community organizations in order to effectively recruit, engage, and sustain youth in successful completion of WIOA activities.

DEFINITIONS: WIOA PROGRAM ELEMENTS

The WIOA program elements are grouped into three components and defined as follows:

- Improving Educational Achievement
- Preparing for and Succeeding in Employment
- Supporting Youth Development

A. IMPROVING EDUCATIONAL ACHIEVEMENT COMPONENTS

Secondary School Completion Services include tutoring, study skills training, instruction and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized post-secondary credential.

Alternative Secondary School Services include activities directed toward the completion of a high school diploma or its equivalent for out-of-school youth. GED attainment is not an end in itself; it is a benchmark on the way to employment or post-secondary education opportunities for youth. Research shows that the long-term earnings of GED holders are higher than earnings for dropouts without additional education credentials, but lower than earnings of high-school graduates.

B. PREPARING FOR AND SUCCEEDING IN EMPLOYMENT COMPONENTS

Paid or unpaid work experiences are a planned, structured learning experience that takes place in a workplace for a limited period of time. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. Work experiences must include academic and occupational education and provide the youth participant with opportunities for career exploration and skill development. Types of work experience include:

- Summer employment opportunities and other employment opportunities available throughout the school year
- Pre-apprenticeship programs
- Internships and job shadowing
- On-the-job training opportunities

Note: Summer employment opportunities cannot be a stand-alone activity.

Occupational Skills Training that lead to recognized post-secondary credentials that align with in-demand industry occupations include instruction in job specific and basic skills in a specific job or industry and must be related to local labor market demand. Internship and

employment placement must be directly linked to the occupational skills training.

C. SUPPORTING YOUTH DEVELOPMENT COMPONENTS

Leadership Development Opportunities include developmentally appropriate activities to enhance youth responsibility, goal setting, perseverance and other leadership skills. Leadership development opportunities for youth may include the following:

1. Exposure to postsecondary educational opportunities
2. Community and **service learning** projects
3. Peer-centered activities, including peer mentoring and tutoring
4. Organizational and team leadership training
5. Training in decision making and determining priorities
6. Citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources
7. Participating on community boards or committees
8. Positive social behaviors which may include but are not limited to:
 - Developing a positive attitude
 - Building self-esteem
 - Training in cultural diversity, and
 - Work simulation activities
 - Civic Behaviors

Supportive Services for Youth include the support necessary for participants to complete the program. Supportive services for youth as defined in WIOA Section 3(59) may include the following:

1. Linkage to community services
2. Assistance with transportation
3. Assistance with child care and dependent care costs
4. Assistance with housing
5. Needs related payments
6. Reasonable accommodations for youth with disabilities
7. Referrals to health care
8. Assistance with uniforms or other appropriate work attire and work-related tool costs, including such items as eyeglasses and protective eye gear.

Adult Mentoring for youth must:

1. Last at least 12 months and may take place both during the program and following exit from the program.
2. Be a formal relationship between a youth participant and an adult mentor that includes structured activities where the mentor offers guidance, support, and encouragement to develop the competence and character of the mentee
3. Include a mentor who is an adult other than the assigned youth case manager
4. While group mentoring activities and mentoring through electronic means are allowable as part of the mentoring activities, at a minimum, the local youth program must match the

youth with an individual mentor with whom the youth interacts on a face-to-face basis.

5. Mentoring may include workplace mentoring where the local program matches a youth participant with an employer or employee of a company.

Comprehensive Guidance and Counseling provides individualized counseling to participants. This includes career and academic counseling, drug and alcohol abuse counseling, mental health counseling, and referral to partner programs, as appropriate. (WIOA sec. 129(c)(1)(C)(J) When referring participants to necessary counseling that cannot be provided by the local youth program or its service providers, the local youth program must coordinate with the organization it refers to in order to ensure continuity of service.

Follow-up Services For Youth Regular and frequent interaction with participants for one year after exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training and may include::

- Leadership development and supportive service activities
- Regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise
- Assistance in securing better paying jobs, career pathway development, further education and or training
- Work-related peer support groups
- Adult mentoring
- Services necessary to ensure the success of youth participants in employment and/or post-secondary education.

WIOA GLOSSARY OF TERMS AND DEFINITIONS

Achievement Objective – Describe measurable planned action (services and training) necessary to accomplish or assist in accomplishing a goal(s). Activities that help youth prepare for and transition to post-secondary education and training (one of 14 Youth Elements)

Adult Basic Education (ABE) – Training that will enable an individual to increase basic literacy skills, attain a high school equivalency certificate or English as a second language training programs.

Adult Mentoring (*One of 14 Youth Elements*) – The purpose of mentoring is to provide a participant with the opportunity to develop a positive relationship with an adult. The adult mentor should provide a positive role model for educational, work skills, or personal or social development. Adult mentoring must:

- Last at least 12 months and may take place both during the program and following exit from the program;
- Be a formal relationship between a youth participant and an adult mentor that includes structured activities where the mentor offers guidance, support, and encouragement to develop the competence and character of the mentee;
- Include a mentor who is an adult **other than** the assigned youth case manager; and
- While group mentoring activities and mentoring through electronic means are allowable as part of the mentoring activities, at a minimum, the local youth program must match the youth with an individual mentor with whom the youth interacts on a face-to-face basis.
- (Mentoring may include workplace mentoring where the local program matches a youth participant with an employer or employee of a company.

Age Appropriate Career Goal – The age appropriate goal determination shall include the selection of a single career goal or the identification of an initial career pathway of occupations to consider. Either will be considered as an age-appropriate goal.

Alternative Secondary School – A public school or publicly contracted educational program that serves youth who have not been successful in mainstream “traditional” academic programs and provides instruction leading to a high school diploma.

Note: To be classified as an “alternative school” or “alternative course of study” for WIOA purposes, a specialized structured curriculum is required that is distinguishable from the regular curriculum offered to students in corresponding grades or classes. Although Alternative Education programs are often referred to as “schools” they are actually programs within a school. The term “alternative school” should not be confused with “magnet schools” for specialized or accelerated studies.

Alternative Secondary School Services, or Dropout Recovery Services (*One of 14 Youth Elements*) – Specialized, structured curriculum offered inside or outside of the school system which may provide work/study and/or high school equivalency diploma preparation for youth. Alternative secondary school offerings may:

- Lead to a diploma;

- Provide academically rigorous preparation for work and/or post-secondary education;
- Assist with the transition to work and/or post-secondary education;
- Be related to the career and/or educational goals of the youth; **or**
- Address the youth's barriers to work and/or education.
- Some examples of schools include:
 - Alternative high schools
 - specialty boarding schools
 - residential treatment centers for substance abuse
 - behavior modification centers
 - wilderness treatment schools
 - juvenile boot camp schools

Applicant Statement (Self-certification/attestation) - An applicant statement is an attestation signed by a participant that the information he/she submits to demonstrate eligibility for a program under title I of WIOA is true and accurate. This would be used in circumstances where items required cannot readily be verified and it would cause an undue hardship for the individual. Applicant statements should only be used in circumstances when all practical attempts to secure verification have failed.

Apprenticeship Training -- A program combining on-the-job training with related instruction that enables workers to master the practical and technical skills required for a skilled occupation. The worker or apprentice learns a trade. The training lasts a specific length of time.

Aptitude - A natural or acquired talent or ability or quickness in learning and understanding.

Attending Any School – Defined as an individual attending any High School program seeking a High School diploma.

At-Risk Of Dropping Out Of School –As determined by school district records, policies or Personnel, a youth who is experiencing a lack of academic success; a youth who has a significant number of absences or erratic attendance, which result in the youth not benefiting from school; or a Youth who has behavior problems in the school setting.

Assessment Purpose – The purpose of the assessment is to help individuals and program staff make decisions about appropriate goals and develop effective services strategies for reaching those goals.

Barriers to Employment - Conditions that may make employment difficult for certain individuals. Individuals with such barriers may include: single parents, displaced homemakers, youth, public assistance recipients, older workers, substance abusers, teenage parents, veterans, ethnic minorities, and those with limited English speaking ability or a criminal record or with a lack of education, work experience, credentials, transportation or child care arrangements.

Basic Education – Instruction usually conducted in an institutional setting that is directed towards imparting the basic skills of communication, computation, problem solving, health, consumer development, and citizenship. Instruction for youth could include, but not be limited to, enrollment in a secondary school. Adult Basic Education (ABE) would include upgrading the same basic skills, however, it is directed towards adults who are generally classified as functionally illiterate, undereducated, or

whose inability to speak, read or write the English language constitutes a substantial impairment of their ability to get or retain employment commensurate with their real ability. Such instruction is designed to raise the level of education of such individuals with a view to making them less likely to become depend on others, to improving their ability to benefit from occupational training and other wise increasing their opportunities for more productive and profitable employment.

Basic Literacy Skills – Basic education skills includes reading comprehension, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills

Basic Skills Deficient (*Youth Eligibility Barrier*) – means a youth:

- that has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test; or
- who is unable to compute or solve problems, or read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society.

Assessment instruments must be valid and reliable and provide reasonable accommodations to youth disabilities in the assessment process in making this determination.

Note: Grade level scores below 9.0 (e.g., 8.9) should be considered as “at or below the 8th grade level.”

Basic Skills Goal - A measurable increase in basic education skills including reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.

Career Development Assistance (*Youth Follow-up Service*) – Services provided during follow-up to assist a youth, which includes the provision of information, materials, suggestions, or advice which are intended to assist the youth in making occupational or career decisions

Career Pathways Development – means a combination of rigorous and high-quality education, training, and other services that—

- aligns with the skill needs of industries in the economy of the State or regional economy involved;
- prepares an individual to be successful in any of a full range of secondary or postsecondary education options, including apprenticeships;
- includes counseling to support an individual in achieving the individual’s education and career goals;
- includes, as appropriate, education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
- organizes education, training, and other services to meet the particular needs of an individual in a manner that accelerates the educational and career advancement of the individual to the extent practicable;
- enables an individual to attain a secondary school diploma or its recognized equivalent, and at least 1 recognized postsecondary credential; and
- helps an individual enter or advance within a specific occupation or occupational cluster.
- WIOA incorporates career pathways as part of both the objective assessment and development of ISS development.

Career Planning – means the provision of a client-centered approach in the delivery of services,

designed:

(A) to prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies; and

(B) to provide job, education, and career counseling, as appropriate during program participation and after job placement.

Case Management - “The term ‘case management’ means the provision of a client centered approach in the delivery of services designed:

- To prepare and coordinate comprehensive employment plans, such as service strategies, for participants to ensure access to necessary workforce investment activities and supportive services, using, where feasible, computer-based technologies; and
- Provide job and career counseling during program participation and after job placement.

Certificate

A certificate is awarded in recognition of an individual’s attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Work readiness certificates are not included in this definition. (Common measures definition)

A certificate is awarded in recognition of an individual’s attainment of technical or occupational skills by:

- A state educational agency or a state agency responsible for administering vocational and technical education within a state.
- An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs.
- A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual’s knowledge, skills, and abilities.
- A registered apprenticeship program.
- A public regulatory agency, upon an individual’s fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use in occupational or professional title or to practice an occupation or profession (e.g., FAA aviation mechanic certification, state certified asbestos inspector).
- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons.
- Job Corps centers that issue certificates.
- Institutions of higher education which is formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe or tribes.

Child Care / Dependent Care Assistance (*Supportive Service Element*) – A supportive service that provides assistance with child/dependent care costs that is necessary to enable a youth to participate in

activities authorized by WIOA.

Child of Incarcerated Parent(s) (*Additional Assistance Barrier Characteristic*) - A youth whose parent or parents are currently incarcerated and who requires assistance in overcoming artificial barriers to employment resulting from parental incarceration.

Chronic behavior problems at school (*Additional Assistance Barrier Characteristic*) - A youth who has been defined by the local school as having a record of marginal conduct at school. This may include chronic absenteeism and truancy, chronic underachievement, disruptive conduct or other behavior problems.

Citizenship / Eligible to Work – Participation in programs and activities financially assisted in part under WIOA shall be open to citizens and nationals of the United States, lawfully admitted permanent resident aliens, lawfully admitted refugees and parolees, and other individuals authorized by the United States.

Comprehensive Guidance and Counseling (*One of 14 Youth Elements*) – Comprehensive guidance and counseling provides individualized counseling to participants. This includes career and academic counseling, drug and alcohol abuse counseling, mental health counseling, and referral to partner programs, as appropriate. When referring participants to necessary counseling that cannot be provided by the local youth program or its service providers, the local youth program must coordinate with the organization it refers to in order to ensure continuity of service.

Corroborative Witness - An individual who personally knows or can identify the WIOA applicant and who is reasonably likely to be able verify the applicant's statement. Such verification may be accomplished by the witness signing the applicant statement form or by completion of a telephone/document inspection form.

Court Involved Youth (*Additional Assistance Barrier Characteristic*) – A youth who has committed status offenses or delinquent acts.

Credentials - A credential is a nationally recognized degree or certificate or state recognized credential. Credentials include, but are not limited to, a high school diploma, GED, or other recognized equivalents, post-secondary degrees/certificates, recognized skill standards, licensure or industry-recognized certificates (i.e., ASE car repair, Hazmat, CAN, CDL, Boiler Operator, Flag Person, Heavy Equipment Operator, etc.), and all state education agency recognized credentials. **(This definition applies to current WIOA statutory adult, older youth and dislocated worker measures only it does not apply to the common measures).**

Customer - Under WIOA (Workforce Innovation and Opportunity Act) definitions, a Customer is any person seeking assistance to find employment or training, whether employed or unemployed, and employers who need qualified workers for their company or training for the workers who are already employed with them.

Developmental Needs – Items, materials, situations, steps or acts that need to occur to aid in the growth of an individual or to assist an individual to realize or meet their potential.

Disability - The youth has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment, or is regarded as having such an impairment. Major life activities include: Self-care, Receptive and expressive language, Learning, Mobility, Self-direction, Capacity for independent living, and Economic self-sufficiency.

Documentation - Physical evidence, which is obtained during the verification process, is maintained in participant files. Such evidence would be copies of documents, completed telephone/document inspection forms, and signed self-certification or applicant statement.

Drop Out Prevention Strategies (*Tutoring Element*) – Student centered intensive individualized attention and instruction through tutoring, mentoring programs, alternative secondary school offerings, and instruction technologies to assist youth with the completion of high school. Effective programs also characteristically feature a wide range of student assistance services to address such things as substance abuse, teen pregnancy and young parenthood, suicide prevention, and other mental and physical health issues.

Educational Functioning Levels – As outlined in the National Reporting System (NRS) designed by the Department of Education to track WIOA Title II funded adult education and literacy. There are two sets of educational functioning levels – six levels for Adult Basic Education (ABE) and six levels for English-as-a second language (ESL) students. The ABE levels roughly equate to two to three grade levels. Further guidance on the educational functioning level descriptors can be found in Attachment C, TEGL 17-05 Change 1. Each ABE and ESL level describes a set of skills and competencies that students demonstrate in the areas of reading, writing, numeracy, speaking, listening, functional, and workplace skills. These descriptors provide guidelines for placing participants in educational functioning levels, based on performance on standardized test.

Education Offered Concurrently With And In The Same Context As Workforce Preparation Activities And Training For A Specific Occupation Or Occupational Cluster (*One of 14 Youth Elements*) – requires integrated education and training to occur concurrently and contextually with workforce preparation activities and workforce training.

Eligible Non-Citizen: Participation in programs and activities financially assisted by WIOA “shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.” Citizens and nationals must provide citizenship with documentation of place of birth or citizenship status.

Permanent resident and temporary resident aliens must provide citizenship status with an alien registration receipt card issued by the Immigration and Naturalization Service (INS). This card is a photo ID. IDs issued prior to July 1, 1979, will be a Form 1-151 (green card). Subsequent IDs will be Form 1-551 (white card). All permanent resident aliens are “authorized to work”. Lawfully admitted refugees, parolees, and other individuals must prove authorized employment status with an annual-departure record issued by the INS. If an individual is permitted to work in the U.S., the individual’s card will be stamped “Employment Authorized”

Eligible Training Provider List (ETPL) –A statewide collection of providers that are approved to give

services through the One-Stop system. These lists contain consumer information, including cost and performance information for each of the providers, so that participants can make informed choices on where to use their Individual Training Accounts.

Employability – A demonstrated level of knowledge, skills, abilities, work behaviors and attitudes necessary to compete successfully in the labor market.

Employed at Participation - An individual employed at the date of participation who did any work at all as a paid employee, in his or her own business, profession or farm, worked as an unpaid worker in an enterprise operated by a member of the family, or is one who was not working, but has a job or business from which he or she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, whether or not paid by the employer for time-off, and whether or not seeking another job.

English as a Second Language (ESL) – English language education for adults whose inability to understand, speak, read, or write the English language is a barrier to their ability to get or keep employment. This also has effects on their real ability to function in society or successfully complete the citizenship application process.

English Language Learner - when used with respect to an eligible individual, means an eligible individual who has limited ability in reading, writing, speaking, or comprehending the English language, and—

- whose native language is a language other than English; or
- who lives in a family or community environment where a language other than English is the dominant language.

Entrepreneurial Skills Training (*One of 14 Youth Elements*) - provides the basics of starting and operating a small business.

(a) Such training must develop the skills associated with entrepreneurship. Such skills include, but are not limited to, the ability to:

- Take initiative;
- Creatively seek out and identify business opportunities;
- Develop budgets and forecast resource needs;
- Understand various options for acquiring capital and the trade-offs associated with each option; and
- Communicate effectively and market oneself and one's ideas.

(b) Approaches to teaching youth entrepreneurial skills include, but are not limited to, the following:

- Entrepreneurship education that provides an introduction to the values and basics of starting and running a business. Entrepreneurship education programs often guide youth through the development of a business plan and may also include simulations of business start-up and operation.
- Enterprise development which provides supports and services that incubate and help youth develop their own businesses. Enterprise development programs go beyond entrepreneurship education by helping youth access small loans or grants that are needed to begin business operation and by providing more individualized attention to the development of viable business ideas.

- Experiential programs that provide youth with experience in the day-to-day operation of a business. These programs may involve the development of a youth-run business that young people participating in the program work in and manage. Or, they may facilitate placement in apprentice or internship positions with adult entrepreneurs in the community.

Exclusions from Common Measures and follow-up services:

Health/Medical or Family Care – Used when the participant is receiving medical treatment or providing care for a family member that precludes entry into unsubsidized employment or continued participation in the program, and is expected to last for more than 90 days.

Institutionalized - The participant is residing in an institution or facility providing 24-hour support such as a prison or hospital and is expected to remain in that institution for at least 90 days.

Relocated to a Mandated Residential Program - For youth participants only, the participant is in the foster care system or any other mandated residential program and has moved from the area as part of such a program

Exit – The term program exit means a participant does not receive a service funded by the program or funded by a partner program for **ninety (90)** consecutive calendar days and is not scheduled for future services.

Exposure to Post-Secondary Educational Opportunities (*Leadership Development Element*) is part of the Leadership Development Opportunity Element. Exposure may be accomplished through tours of colleges and/or technical schools or through:

- Career Pathways Exploration
- Financial Aid Opportunities

Family – A family, for eligibility purposes, means two or more persons related by blood, marriage, or decree of court, who are living in a single residence. Family may also include a parent or guardian and dependent children.

1. “Dependent children” as referenced above shall include those children living in a single residence with parent(s) or guardian(s) and who **DO NOT** meet the definition of “independent child” based on the Free Application for Federal Student Aid (FAFSA) guidelines.

2. “Independent Child” – shall include those children living in a single residence with parent(s) or guardian(s) and who fall into one (or more) of the following categories:

- Is 24 years of age or older by December 31 of the current year;
- Is an orphan or ward of the court or was a ward of the court until the individual reached the age of 18;
- Is a graduate or professional student (in college, beyond a bachelor's degree);
- Is a veteran of the Armed Forces of the United States;
- Is a married individual;
- Has legal dependents other than a spouse;
- Is a student for whom a financial aid administrator makes a documented determination of independence by reason of other unusual circumstances; **or**
- Is currently living with parents BUT provides more than 50% of his/her own support.

Note: If the applicant claims to be an independent child, then he/she must complete an applicant

statement as verification of family size.

“Guardian” - Refers to an individual related by blood, marriage, or decree of court and/or living in a single residence where the parents are not present in the residence.

The phrase “**living in a single residence**” includes temporary, voluntary residence elsewhere such as attending school or college, or visiting relatives but where permanent residence is the same as parent or guardian. It does not include involuntary temporary residence elsewhere, such as incarceration or placement into foster care as result of a court order.

Family Income - All income received by all members of the family during the six-month period prior to application/registration, annualized by multiplying the six-month income by two (6-month income x 2). The composition of the family is determined as of the date of the application/registration.

Family Illiteracy (*Additional Assistance Barrier Characteristic*) – Family members who lack sufficient mastery of basic English language communication skills to enable the individuals to function effectively, to gain employment, or to maintain employment. This also includes family members who are limited English proficient.

Family Size - The number of dependent children plus the number of parents or guardians who reside together. Use definitions in *Family* to arrive at the correct number.

Financial Literacy Education (*One of the 14 Youth Elements*) - The financial literacy education program element includes activities which:

- Support the ability of participants to create budgets, initiate checking and savings accounts at banks, and make informed financial decisions;
- Support participants in learning how to effectively manage spending, credit, and debt, including student loans, consumer credit, and credit cards;
- Teach participants about the significance of credit reports and credit scores; what their rights are regarding their credit and financial information;
- how to improve or maintain good credit;
- how to determine the accuracy of a credit report and how to correct inaccuracies; and
- Support a participant’s ability to understand, evaluate, and compare financial products, services, and opportunities and to make informed financial decisions;
- Educate participants about identity theft, ways to protect themselves from identify theft, and how to resolve cases of identity theft and in other ways understand their rights and protections related to personal identity and financial data;
- Support activities that address the particular financial literacy needs of non-English speakers, including providing the support through the development and distribution of multilingual financial literacy and education materials;
- Provide financial education that is age appropriate, timely, and provides opportunities to put lessons into practice, such as by access to safe and affordable financial products that enable money management and savings; and
- Implement other approaches to help participants gain the knowledge, skills, and confidence to make informed financial decisions that enable them to attain greater financial health and stability by using high quality, age appropriate, and relevant strategies and channels, including, where possible, timely and customized information, guidance, tools and instruction.

Follow-up Activities -- The tracking of what happens to participants when they leave the WIOA program for a period of 180 days after first job placement. The reporting requirements include the following information: employment status (number of Entered Employments/Placements at 180 days Page 13 07/01/15 after program has ended), average hourly wage (earnings change at 180 days after program has ended), and job retention (of those enrolled in training, provide number of those still employed in trained occupation at 180 days after program has ended).

Follow-Up Services (*One of 14 Youth Elements*) – Follow-up services are critical services provided following a youth’s exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training. Follow-up services for youth may include:

- The leadership development and supportive service activities listed in §§ 681.520 and 681.570;
- Regular contact with a youth participant’s employer, including assistance in addressing work-related problems that arise;
- Assistance in securing better paying jobs, career pathway development, and further education or training;
- Work-related peer support groups;
- Adult mentoring; and/or
- Services necessary to ensure the success of youth participants in employment and/or post-secondary education.

All youth participants must receive some form of follow-up services for a minimum duration of 12 months. Follow-up services may be provided beyond 12 months as appropriate or needed. The types of services provided and the duration of services must be determined based on the needs of the individual and therefore, the type and intensity of follow-up services may differ for each participant. **However, follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome.**

Foster Child (*Eligibility Barrier*) – An individual who is currently in any stage of foster care or has been in the Foster Care system at any point during his/her lifetime and on behalf of whom State or local government payments are made. This definition applies to the eligibility barrier only.

Fourteen (14) Youth Program Elements/Services – Services that must be made available to youth participants. WIOA does not require that all 14 program elements are provided but all services must be made available to participants. (SETA determines what elements will be required)

Free School Lunch Program - Low-income eligibility for **In School Youth** who receives or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act

Hi-SET Exam –HiSET exam helps individuals achieve the state-issued credential. HiSET measures skills and knowledge generally associated with four years of traditional high school instruction.

Homeless (*Eligibility Barrier*) – the term “homeless” or “homeless individual or homeless person” as defined in Section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 140432e-2(6)) or a Page 14 07/01/15 homeless youth as defined in section 752(2) Stewart B. McKinney Homeless Assistance Act 42 U.S.C. §11302) in which homeless youth includes:

1. An individual who lacks a fixed, regular, and adequate nighttime residence; and

2. An individual who has a primary nighttime residence that is –
 - (a) A supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
 - (b) An institution that provides a temporary residence for individuals intended to be institutionalized; or
 - (c) A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

Incentive Payment – Monetary payment given to a WIOA Youth participant for successful participation and achievement of expected outcomes as defined in the ISS upon completion of established benchmarks or upon final program completion. Incentives may be used to retain youth in a program and must be tied to training, education, or work readiness. Such achievements must be documented in the participant’s file as the basis for an incentive payment.

Individual Employment Plan (IEP) – Jointly developed by the participant and case manager that may be appropriate for an individual. Plan includes an ongoing strategy to identify employment goals, achievement objectives and an appropriate combination of services for the participant to obtain these goals and objectives.

Individual Service Strategy (ISS) – An agreement of skills and goals decided between a WIOA Youth participant and WIOA Youth staff counselor (usually a case manager), that sets out a plan for the participant to make progress towards his/her educational and employment goals. The ISS is an ongoing strategy jointly developed by the participant and the case manager, which identifies an age-appropriate employment/career goal, appropriate achievement objectives, and appropriate combination of services for the participant to reach these objectives. The ISS must be based on the objective assessment and should reflect the expressed interests and needs of the participant. The ISS should be reviewed and updated periodically to reflect the participant’s progress in meeting the objective of the ISS including progress in acquiring basic, work readiness, and occupational skills and the adequacy of the support services provided. All youth must have an ISS.

Individual Training Accounts (ITA) – An expenditure account established on behalf of an eligible participant in WIOA Title IB adult, youth and dislocated worker programs to purchase training services from eligible providers they select in consultation with the case manager, counselor or coordinator.

Initial Assessment – To determine whether the program can benefit the individual (suitability) and identify activities and services that would be appropriate, an assessment of the participant is necessary. Initial assessment is part of the overall intake process and includes the initial determination of each participant’s employability, aptitudes, abilities and interests, through interviews, testing and counseling.

In-School Youth

An in-school youth (ISY) is an individual who is:

1. Attending school, including secondary or post-secondary;
2. Is not less than age 14 and not more than age 21 at the time of enrollment and has one or more of the following:
 - (1) Basic Skills deficient;

- (2) An English Language Learner;
- (3) An offender;
- (4) A homeless individual which may include:
 - Runaway youth
 - Youth in foster care or has aged out of the foster care system;
 - Youth eligible for assistance under Sec. 477 of the Social Security Act; or
 - Youth in an out-of-home placement
- (5) Pregnant or parenting
- (6) An individual with a disability
- (7) An individual who requires additional assistance to enter or complete an educational program or to secure and hold employment.

In-School Youth Enrolled Using 5% Window

Youth who **do not** meet the low-income requirement but meet one or more of the following barriers:

1. Attending school, including secondary or post-secondary;
2. Is not less than age 14 and not more than age 18 at the time of enrollment and has one or more of the following:
 - (1) Basic Skills deficient;
 - (2) An English Language Learner;
 - (3) An offender;
 - (4) A homeless individual which may include:
 - Runaway youth
 - Youth in foster care or has aged out of the foster care system;
 - Youth eligible for assistance under Sec. 477 of the Social Security Act; or
 - Youth in an out-of-home placement
 - (5) Pregnant or parenting
 - (6) An individual with a disability
 - (7) An individual who requires additional assistance to enter or complete an educational program or to secure and hold employment.

Intake - The process of collecting basic information which is commonly collected by all program partners (e.g., name, address, phone number, SSN) and all required activities up to the decision of eligibility or ineligibility for an individual program.

Internships (*Work Experience Element*) – a period of time spent in business, industry, or other agency for the purpose of providing a student with opportunities to gain insight and direct experience related to one or more functions of the organization. Internships give a student paid or unpaid work experience in a career field of study.

Job Shadowing (*Work Experience Element*) – Job shadowing is typically a part of career exploration activities. A youth follows an employee at a firm for one or more days to learn about a particular occupation or industry. Youth spend time, one-on-one, with employees doing their job. Businesses and employees who host Job Shadowing go about their regular work while discussing it with the youth. A youth observes the daily routine of an employee and then “interviews” the employee about his/her work and education. Job shadowing can help youth explore a range of careers and specific career

objectives in order to select a career pathway. Participating several times a year, youth gain first-hand experience in a variety of careers choices so they can:

- Understand the daily duties and activities involved with each job and career
- Ask questions about the job and workplace
- Identify their career interests
- Become aware of the technical and academic skills they would need to enter each career
- Develop communication skills
- Apply a connection between academic classroom work and their career goals.

Note: This is a short-term, one or more days observation type activity. The program could include more than one profession to be shadowed to allow for participant choice. Services provided to youth participants must be appropriate to the needs of the individual youth as defined in their Individual Service Strategy and documented in enrollment notes.

Leadership Development Opportunities (*One of 14 Youth Elements*) – Opportunities that encourage participation in activities related to leadership, decision-making, citizenship, and community service. Engagement by youth in such activities should assist youth in gaining skills to become more responsible, employable, and to encourage other positive social behaviors. Leadership opportunities include some of the following activities:

- Exposure to post-secondary educational opportunities
- Community and service learning projects
- Peer-centered activities, including peer mentoring and peer tutoring
- Organizational and teamwork training, including team leadership training
- Training in decision-making, including determining priorities, and
- Citizenship training, including life skills training such as parenting, work behavior training, and budgeting of resources
- Civic engagement activities which promote the quality of life in a community; and
- Other leadership activities that place youth in a leadership role such as serving on youth leadership committees, such as a Standing Youth Committee.

Literacy – An individual’s ability to read, write, and speak in English, compute, and solve problems, at levels of proficiency necessary to function on the job, in the family of the individual, and in society.

Learning Disability - Any neurological condition that impedes a person’s ability to take in, store, process or express information. It can affect one’s ability to read, write, and communicate.

Life Skills Training (*Leadership Development Opportunities Element*) – Activities and/or training that assist youth to develop marketable work habits. Life skills training may include modules/training/curriculum instruction in: (a) personal finance and budgeting, (b) computers, (c) parenting/pregnancy prevention, (d) self-leadership (e.g. conflict resolution, public speaking, and anger management), (e) work behavior training, (f) banking, and other training that develops independent living skills.

Low-income Individual – WIOA Section 3 (36) defines a **Low-Income** individual as an individual who:

- (a) receives, or in the past six (6) months has received, or is a member of a family that is receiving or in the past six (6) months has received, assistance through SNAP, cash payments under a Federal, State, or local income-based public assistance program such as TANF (Temporary Assistance for Needy Families), SSI (Supplemental Security Income), General Assistance (GA) or Refugee Cash Assistance (RCA);
- (b) received an income, or is a member of a family that received a total family income, for the 6-month period prior to application for the program involved (exclusive of unemployment compensation, child support payments, cash public assistance, and old-age and survivors insurance benefits under the Social Security Act that, in relation to family size, does not exceed the higher of (I) the poverty line, for an equivalent period; or (II) 70 percent of the lower living standard income level, for an equivalent period (*see Section 3.70 Income/Family Size Determination for guidance on how low-income status is determined*);
- (c) Receives or is eligible to receive a free or reduced price lunch under the Richard B. Russell National School Lunch Act;
- (d) qualifies as a homeless child or youth individual as defined under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2))the Steward B. McKinney Homeless Assistance Act;
- (e) is an individual with a disability whose own income meets the requirements of a program described in subparagraph (a) or (b), but who is a member of a family whose income does not meet such requirements;
- (f) is a youth in foster care on behalf of who State or local government payments are made.

Migrant Youth (*Additional Assistance Barrier Characteristic*) – A youth who is, or whose parent or spouse is, a migratory agricultural worker, including a migratory dairy worker, migratory fisher, migrant food processing worker, migrant seasonal farm-worker, and who, in the preceding 36 months, in order to obtain, or accompany such parent or spouse, in order to obtain temporary or seasonal employment in agricultural or fishing work.

Native American (*Additional Assistance Barrier Characteristic*) – means a person who is a member of an Indian/Native American tribe. An Indian/Native American tribe means any Indian/Native American tribe, band, nation or other organized group or community, which is recognized as eligible for the special programs and services provided by the United States to Indians/Native Americans because of their status as Indians/Native Americans.

Nepotism – When a person employs or appoints a family member. Refer to Section 1.30 of the WIOA Policy manual for Nepotism policy.

No Longer Attending Any School – A situation where an individual is not attending any secondary school program seeking a secondary school diploma.

Objective Assessment – A process that identifies service needs, academic levels, goals, interests, skill levels, abilities, aptitudes, and supportive service needs, and measures barriers and strengths. It includes a review of basic and occupational skills, prior work experience, employability potential and developmental needs. The result of an objective assessment is an individual service strategy.

Occupational Skills – Primary occupational skills encompass the proficiency to perform actual tasks and technical functions required by certain occupational fields at entry, intermediate or advanced levels. Secondary occupational skills entail familiarity with, and use of set-up procedures, safety measures,

work-related terminology, record keeping and paperwork formats, tools, equipment and materials, and breakdown and clean-up routines.

Occupational Skill Training (*One of 14 Youth Elements*) – an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Local areas must give priority consideration to training programs that lead to recognized post-secondary credentials that aligns with in-demand industry sectors or occupations in the local area. Such training must:

- (1) Be outcome-oriented and focused on an occupational goal specified in the individual service strategy;
- (2) Be of sufficient duration to impart the skills needed to meet the occupational goal; and
- (3) Result in attainment of a recognized post-secondary credential.

The chosen occupational skills training must meet the quality standards in **WIOA Law Sec. 123**. In order to count as a placement for the Youth Common Measures, advanced training constitutes an organized program of study that provides specific vocational skills that lead to proficiency in performing actual tasks and technical functions required by certain occupational fields at entry, intermediate, or advanced levels. Such training should: (1) be outcome-oriented, and focused on a long-term goal as specified in the Individual Service Strategy; (2) be long-term in nature and commence upon program exit rather than being short-term training that is part of services received while enrolled in ETA-funded youth programs, and (3) result in attainment of a certificate.

Offender/An individual who is subject to the juvenile or adult juvenile system (*Eligibility Barrier*). Has been involved at any stage of the criminal justice process; or requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction. **Note:** Includes misdemeanors.

On-The-Job Training (*Work Experience Element*) – Training by an employer that is provided to a paid participant while engaged in productive work in a job that:

1. Provides knowledge or skills essential to the full and adequate performance of the job;
2. Provides reimbursement to the employer of up to 50 percent of the wage rate of the participant, for the extraordinary costs of providing the training and additional supervision related to the training; and
3. Is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.

Organizational & Teamwork Training (*Leadership Development Opportunities Element*) – Training that fosters the development of group or team interaction skills.

Outreach/Recruitment – Activities and strategies for identifying and contacting potential participants. Strategies include procedures that assure access throughout the service area and address appropriate access for participants with barriers.

Out-of-School Youth

An out of school youth (OSY) is an individual who is:

- a. Not attending any school

- b. Not younger than 16 or older than age 24 at time of enrollment. Because age eligibility is based on age at enrollment, participants may continue to receive services beyond the age of 24 once they are enrolled in the program
- c. One or more of the following:
 - 1. A school dropout
 - 2. A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter. School year calendar quarter is based on how a local school district defines its school quarters
 - 3. A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is either basic skills deficient or an English Language Learner
 - 4. An individual who is subject to the juvenile or adult justice system
 - 5. A homeless individual (as defined in sec. 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2(6)), an runaway, in foster care or has aged out of the foster care system, a child eligible for assistance under sec. 477 of the Social Security Act (42 U.S.C. 677), or in an out-of-home placement
 - 6. An individual who is pregnant or parenting
 - 7. An individual with a disability
 - 8. A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment

5% Over-Income

Youth who do not meet the low-income requirement:

- 1. A recipient of a secondary school diploma or its recognized equivalent and is either basic skills deficient or an English Language Learner
- 2. An individual who requires additional assistance to enter or complete an educational program or to secure or hold employment

Organizational & Teamwork Training (*Leadership Development Opportunities Element*) – Training that fosters the development of group or team interaction skills.

Outreach/Recruitment – Activities and strategies for identifying and contacting potential participants. Strategies include procedures that assure access throughout the service area and address appropriate access for participants with barriers.

Participant – An individual who has been determined to be eligible to participate in and who is receiving services (except follow-up services authorized under this title) funded by a WIOA Title IB program in either a physical location or remotely through electronic technologies. Participation shall be deemed to commence on the first day, following determination of eligibility, on which the individual began receiving services provided under this title.

Pre-Employment Skills / Job Readiness – Includes but is not limited to creating a resume, job seeking and interviewing skills, understanding employer and workplace expectations, positive work habits (e.g. coming to work on time, getting along with coworkers, etc.), understanding behaviors and attitudes necessary to compete in the labor market, effective coping and problem-solving skills, and other skills as identified that will develop the individual's capacity to move toward employment.

Peer Centered Activities (*Leadership Development Opportunity Element*) – Peer-centered activities consist of activities such as peer mentoring or peer tutoring. Youth learn leadership skills as peer mentors, assistant crew leaders, and receive additional training in leadership.

Performance Measures –

1. Placement in Employment, Education, or Training -
2. Retention in Employment, Education, or Training
3. Earnings
4. Credential Rate
5. In-Program Skills Gain

Positive Social and Civic Behaviors (*Leadership Development Element*) – are outcomes of leadership opportunities. Positive social and civic behaviors focus on areas that may include the following:

- (a) Positive attitudinal development;
- (b) Self-esteem building;
- (c) Openness to work with individuals from diverse backgrounds;
- (d) Maintaining healthy lifestyles, including being alcohol- and drug-free;
- (e) Maintaining positive social relationships with responsible adults and peers, and contributing to the wellbeing of one's community, including voting;
- (f) Maintaining a commitment to learning and academic success;
- (g) Avoiding delinquency;
- (h) Postponing parenting and responsible parenting, including child support education;
- (i) Positive job attitudes and work skills; and
- (j) Keeping informed in community affairs and current events.

Pre-Employment Skills / Job Readiness – Includes but is not limited to creating a resume, job seeking and interviewing skills, understanding employer and workplace expectations, positive work habits (e.g. coming to work on time, getting along with coworkers, etc.), understanding behaviors and attitudes necessary to compete in the labor market, effective coping and problem-solving skills, and other skills as identified that will develop the individual's capacity to move toward employment.

Pre-Test – Out-of-School ONLY: A generally accepted standardized test of basic skills administered to a participant at time of eligibility or within 60 days following the date of participation.

Post-Test – Out-of-School Youth Only: A generally accepted standardized test of basic skills administered to a participant after the initial pre-test and at regular intervals (for up to three years) during the program to determine if a participant has attained a gain of at least one educational functioning level compared to the pre-test.

Note: A participant only needs to be post tested in those areas in which he/she was deficient. For example, if the participant scored at a 7th grade math level and a 9th grade reading level the participant would only have to be tested in the area of deficiency, e.g., math.

Pregnant or Parenting Youth (*Eligibility Barrier*) –

Pregnant Youth - An individual who is **under** 24 years of age (female) and pregnant;

Parenting Youth - A youth (male or female) who:

1. Is a biological or adoptive parent; or

2. Is a parent in behavioral terms

The phrase “**parent in behavioral terms**” means providing **custodial** care for one or more dependents who are under 18 years of age. Youth do not qualify as a parenting youth until the child is born.

The term “**custodial care**” is defined as residing with and participating in the day-to-day care of a child; **or** if not in the same household being responsible for a child, custodial care includes but is not limited to providing: food, shelter, clothing, medical care, daycare expense, and/or other means of financial support.

Pre-Apprenticeship Program (Work Experience Element) - A pre-apprenticeship is a Program or set of strategies designed to prepare individuals to enter and succeed in a registered apprenticeship program and has a documented partnership with at least one, if not more, registered Apprenticeship program(s).

Pregnant or Parenting Youth (Eligibility Barrier) –

Pregnant Youth - An individual who is **under** 24 years of age (female) and pregnant;

Parenting Youth - A youth (male or female) who:

1. Is a biological or adoptive parent; or
2. Is a parent in behavioral terms.

The phrase “**parent in behavioral terms**” means providing **custodial** care for one or more dependents who are under 18 years of age. Youth do not qualify as a parenting youth until the child is born.

The term “**custodial care**” is defined as residing with and participating in the day-to-day care of a child; **or** if not in the same household being responsible for a child, custodial care includes but is not limited to providing: food, shelter, clothing, medical care, daycare expense, and/or other means of financial support.

Pre-Apprenticeship Program (Work Experience Element) - A pre-apprenticeship is a Program or set of strategies designed to prepare individuals to enter and succeed in a registered apprenticeship program and has a documented partnership with at least one, if not more, registered Apprenticeship program(s)

Public Assistance Recipient – A participant that is receiving Federal, State, or local government cash payments for which eligibility is determined by a needs or income test. The participant must be listed on the public assistance grant and/or is receiving assistance under any of the following programs at the time of eligibility determination into the WIOA program.

- Temporary Assistance to Needy Families (TANF)
- Supplemental Nutrition Assistance Program (SNAP)
- General Assistance (GA) (State/local government)
- Refugee Cash Assistance (RCA)
- Supplemental Security Income (SSI Title XVI)

Refugee (Additional Assistance Barrier Characteristic) – A youth whose admission status has been approved and changed by U.S. Citizen and Immigration Services (USCIS).

Retention -- Continuing or keeping a job, usually for at least 90 days or more.

Runaway Youth (Eligibility Barrier) - A youth that has left a domestic situation be it home or foster care, without permission of parents or legal guardian; to avoid real or perceived danger, duty, restraint, or disadvantage. Status must be documented by a written statement, or a written statement from an individual who is providing temporary residence, or a written statement from a shelter or a social service agency.

School Dropout (Eligibility Barrier) – The term “school dropout” applies to an individual who is no longer attending any school and who has not received a secondary school diploma or its recognized equivalent. Youth enrolled in alternative schools are **not** school dropouts.

Secondary School – The term “secondary school” has the meaning given the term in section 14101 of the Elementary and Secondary Education Act of 1965 (20 U.S.C. 8801). This is generally referred to as high school.

Selective Service - Presidential Proclamation 4771 of July 2, 1980 requires that male persons born after December 31, 1959, who have attained their 18th birthday, register with Selective Service. Registration must be completed within 30 days of a male's 18th birthday. Section 189 of WIOA requires all participants receiving assistance under WIOA to comply with Selective Service registration under the Military Selective Service Act. Refer to Section 3.80 of the WIOA Policy Manual for Selective Service Registration Requirements.

Summer Employment / Opportunities (Work Experience Element) - A program for youth operated during the summer months as part of a comprehensive strategy for addressing the youth’s employment and training needs. The summer youth employment opportunity element is not intended to be a stand-alone program. It provides summer employment opportunities that link academic and occupational learning as part of the youth program elements. Summer youth employment must provide direct linkages to academic and occupational learning, such as coordinating with school systems and may provide other elements and strategies as appropriate to serve the needs and goals of the participants.

Supplemental Nutrition Assistance Program (SNAP) – Provides supplemental food and nutrition assistance to low income people.

Supplemental Security Income (SSI) – A type of public assistance authorized pursuant to a state plan approved under the Social Security Act, Title XVI. Supplemental Security Income pays benefits to disabled adults and children who have limited income and resources. It is also paid to people 65 and older without disabilities who meet the financial limits. SSI is considered cash assistance and individuals receiving SSI are automatically income eligible the same as individuals receiving TANF or SNAP. A WIOA applicant on SSI is a family of one.

Supportive Services (*One of 14 Youth Elements*) – are services that are necessary to enable an individual to participate in activities authorized by WIOA. Supportive services include, but are not limited to, the following:

- (a) Linkages to community services;
- (b) Assistance with transportation;
- (c) Assistance with child care and dependent care;
- (d) Assistance with housing;
- (e) Needs-related payments;
- (f) Assistance with educational testing;
- (g) Reasonable accommodations for youth with disabilities;
- (h) Referrals to health care; and
- (i) Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear.

In addition to providing supportive services during a participant's participation in WIOA activities, they may also be provided up to 12 months, or more depending on the needs of the participant, while participant is receiving follow-up services. Refer to Section 4.100 of the WIOA Policy Manual for supportive services.

Training In Decision Making (*Leadership Development Opportunity Element*) – Includes but is not limited to determining priorities and setting goals. Page 23 07/01/15

Tutoring Services (*One of 14 Youth Elements*) – include tutoring, study skills training, instruction and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential.

Underemployed individual – means:

- (a) person who is are working part time but seeking full time work; or
- (b) person who is working full time but whose current annualized wage rate is not in excess of "for a family of one" the higher of either:
 - (i) the poverty level, or
 - (ii) 70% of the lower living standard income level.

Underemployment may also occur when an individual is working part time but desires full-time employment or who is working in employment not commensurate with the individual's demonstrated level of educational attainment. For example, a college grade in microbiology can find no work in his/her field and ends up as a clerk in a department store.

Unsubsidized Employment – A job for which wages are paid directly by the employer and that is not subsidized through any government program.

Work Experience (*One of 14 Youth Elements*) – are a planned, structured learning experience that takes place in a workplace to provide the youth participant with opportunities for career exploration and skill development. Work experiences and must include academic and occupational education.

Work experience may be paid or unpaid, as appropriate. A work experience may take place in the private for-profit sector, the non-profit sector, or the public sector. Labor standards apply in any work

experience where an employee/employer relationship, as defined by the Fair Labor Standards Act or applicable State law, exists. The types of work experiences include the following categories:

- (1) Summer employment opportunities and other employment opportunities available throughout the school year;
- (2) Pre-apprenticeship programs;
- (3) Internships and job shadowing; and
- (4) On-the-job training opportunities

Work Related Materials/Supplies (*Supportive Service Element*) – A supportive service that provides assistance with uniforms or other appropriate work attire and work-related tool cost, including such items as eyeglasses and protective eye gear that is necessary to enable a youth to participate in activities authorized by WIOA.

Youth Committee

- Under the direction of the Local Board, a standing youth committee may:
- Recommend policy direction to the Local Board for the design, development and implementation of programs that benefit all youth
- Recommend the design of a comprehensive community workforce development system to ensure a full range of services and opportunities for all youth, including disconnected youth
- Recommend ways to leverage resources and coordinate services among schools, public programs, and community-based organizations serving youth
- Recommend ways to coordinate youth services and recommend eligible youth service providers
- Provide on-going leadership and support for continuous improvement for local youth programs
- Assist with planning, operational, and other issues relating to the provisions of services to youth

Youth at Risk - Any individual between the ages 16-25 (up to their 26th birthday) at the time of enrollment who requires additional assistance to complete an educational program, or to secure and hold employment.

Youth who requires additional assistance to complete an educational program: A youth who is at risk of dropping out of high school as documented by his/her school OR a youth who previously dropped out of an educational program but has returned to school OR a youth with poor attendance patterns in an educational program during the last twelve calendar months.

Youth who requires additional assistance to secure and hold employment: A high school graduate (or equivalent) who has not held a full-time job with the same employer for more than three consecutive months and lacks work readiness skills necessary to obtain and retain employment as documented by the youth objective assessment and described in case notes.

Youth at Risk of Court Involvement (*Additional Assistance Barrier Characteristic*) – A youth who has not committed illegal acts but who has risk factors associated with the potential for delinquent behaviors; or at risk of delinquent behaviors (e.g., because of drug and alcohol abuse, parental abuse and neglect, school misconduct, and negative peer group associations) and who has come in contact with the juvenile justice system as a non-offender or as a status offender (e.g., running away from home, truancy, curfew violation and underage drinking)

Youth With A Disability: means the youth has a physical (motion, vision, hearing) or mental (learning or developmental) impairment which substantially limits one or more of such person's major life activities and has a record of such an impairment, or is regarded as having such an impairment. Major life activities include: Self-care, Receptive and expressive language, Learning, Mobility, Self-direction, Capacity for independent living, and Economic self-sufficiency.

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 the SETA Contracts Unit at 263-4072.

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 new Applicants)

Applicant agencies that are not currently funded must submit Insurance Prequalification Attachments #5 and #6.

1. **Attachment #5 - Insurance Prequalification.** All new applicant agencies must submit an Insurance Prequalification 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 CORPORATIONS**

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

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

- (I) 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) 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.

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

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

- (d) 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.

- (e) Names and mailing addresses of current local Board of Directors.

- (f) 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 CORPORATIONS**

- (a) Articles of Incorporation (include all amendments)
Note: Secretary of State registration stamp must be shown on original articles as filed and any amendments.

(I) 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) I.R.S. Employer Identification Number
Note: This is a nine-digit number beginning with 94 for most corporations.
- (c) Names and mailing addresses of current Board of Directors.
- (d) Certification of Accounting System (Attachment #8). To be completed and signed by public accountant or certified public accountant. **MUST HAVE ORIGINAL SIGNATURE.**
- (e) 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 (OCCUPATIONAL SKILLS)

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 GED

1. Documentation of Authority to grant GED 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 outlined in Attachment #10 consisting of 6 pages.

SETA is very exacting with regard to the insurance requirements. 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.

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 Investment Board) or Sacramento Employment and Training Agency board member or any candidate for such a position. This prohibition starts on the date you begin to actively support or oppose an application of a license, permit, or other entitlement for use pending before Sacramento Works, Inc. or the Sacramento Employment and Training Agency, and continuing until three months after a final decision is rendered on the application or proceeding by Sacramento Works, Inc. or the Sacramento Employment and Training Agency.

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

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

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

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

AND

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

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

This notice summarizes the major requirements of Government Code Section 84308 of the Political Reform Act and 2 Cal. Adm. Code Sections 18438.1 - 18438.8. For more information, contact HEATHER LUKE, Workforce Development Analyst III, Sacramento Employment and Training Agency, 925 Del Paso Blvd., Sacramento, California, 95815-3608, (916) 263-4072, 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.

Participant Disclosure Form SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

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 HEATHER LUKE, Workforce Development Analyst III, Sacramento Employment and Training Agency, 925 Del Paso Blvd., Sacramento, California, 95815-3608, (916) 263-4072, or the Fair Political Practices Commission, 428 J Street, Suite 620, Sacramento, California, 95814, (916) 322-5660.

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

Sophia Scherman

Public Representative
Elk Grove, CA 95624

e-mail: scherman@sophia-elkgrove.com

Vice Chair

Councilmember Jay Schenirer

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

e-mail: jschenirer@cityofsacramento.org

Supervisor Patrick Kennedy

County of Sacramento
700 "H" Street, Suite 2450
Sacramento, CA 95814
Phone: 874-5481 (Maria)
Fax: 874-7593

e-mail: kennedy.supervisor@saccounty.net

Supervisor Don Nottoli

County of Sacramento
700 "H" Street
Sacramento, CA 95814
Phone: 874-5465 (Samantha)
Fax: 874-7593

e-mail: nottolid@saccounty.net

Councilmember Allen Warren

City of Sacramento
915 "I" Street, 5th Floor
Sacramento, CA 95814
Phone: 808-4752 (Alisa)
Fax: 808-7680

e-mail: awarren@cityofsacramento.org

Current as of January 6, 2015

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

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

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS FOR CERTIFICATION)

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

Name and Title of Authorized Representative

Signature

Date

Instructions for Certification

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

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions.

Signature

Typed Name and Title of Authorized Signatory

Organization

Date

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

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

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

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

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMB
0348-0046

Reporting Entity: _____ Page ____ of ____

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

Certification Regarding Drug-Free Workplace

The undersigned certifies that it will or will continue to provide a drug-free workplace by:

- (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the subrecipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (B) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The subrecipient's policy of maintaining a drug-free workplace;
 - (3) Any available counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (C) Making it a requirement that each employee to be engaged in the performance of any subgrant be given a copy of the statement required by paragraph (A);
- (D) Notifying the employee in the statement required by paragraph (A) that, as a condition of employment under the subgrant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer, in writing, of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five (5) calendar days after such conviction;
- (E) Notifying the Sacramento Employment and Training Agency (hereinafter referred to as the SETA), in writing, within ten (10) calendar days after receiving notice under paragraph (D)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every subgrant officer or other designee on whose subgrant activity the convicted employee was working, unless the SETA has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected subgrant;
- (F) Taking one of the following actions, within thirty (30) calendar days of receiving notice under paragraph (D)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.
- (G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (A), (B), (C), (D), (E) and (F).

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

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

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 PREQUALIFICATION

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

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)

ALL NEW AGENCIES APPLYING FOR FUNDING MUST SUBMIT THIS DOCUMENT. IF THIS DOCUMENT IS NOT SUBMITTED, THE AGENCY WILL NOT BE CONSIDERED FOR FUNDING.

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

ATTACHMENT #8

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)

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

(Applicable to all SETA-funded programs)

(Pursuant to SETA Governing Board Action on 4/21/88)

(Revised 5/3/2007)

Prior to contract execution, commencement of program performance and disbursement of any funds, SETA shall receive from each funded agency's insurer an ORIGINAL, computer-generated, or faxed certificate of insurance and copies of required endorsements.

GENERAL REQUIREMENTS:

1. CERTIFICATES OF INSURANCE MUST INCLUDE:

- A. Insuring Company's Name;
- B. Full Mailing Address of Insurance Company's Issuing Branch Office;
(this item may be added to certificate by SETA staff)
- 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. As respects General Liability Coverage, statement 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:

When completing certificates of insurance, the following wording must be stricken from the standard statement:

"Should any of the above-described policies be canceled before the expiration date thereof, the issuing company will ~~endeavor to~~ mail 30 days written notice to the certificate holder named to the left, ~~but failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representatives.~~"

NOTE: Upon receipt of an acceptable certificate and endorsements, a cover letter will be sent to each insurance carrier indicating SETA's reliance on the certificate as evidence that insurance was indeed issued and is currently in force. A copy of the letter will be sent to both the broker/agent and the operator.

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

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY

INSURANCE REQUIREMENTS

(Continued)

2. **REQUIRED INSURANCE ENDORSEMENTS: MUST HAVE POLICY NUMBER TYPED ON ENDORSEMENTS.**

3. 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 a funded agency to reduce or eliminate such deductibles or self-insured retentions as respects SETA, its officers, employees and volunteers.

NOTE: No SETA funds may be used to fund or otherwise pay for any deductibles, self-insured retentions and/or self-insurance.

4. SETA reserves the right to require funded agencies to obtain additional insurance coverage should the program activities provided require additional coverage. This is especially true for multi-funded agencies. Additional coverage might include 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.
5. SETA reserves the right to require funded agencies to provide SETA with complete copies of all insurance policies including endorsements.
6. All coverages shall be procured through a carrier satisfactory to SETA. If any coverage is canceled, revoked, reduced, or in any manner questioned or compromised, SETA shall not make any further disbursements to funded agency 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.
7. In the event insurance coverages expire at any time or times during the term of the subgrant, the program operator agrees to provide, at least thirty (30) calendar days prior to said expiration date, a new certificate(s) of insurance evidencing insurance coverage(s) as provided for herein for not less than the remainder of the term of the subgrant. New certificates of insurance are subject to review for content and form by SETA.

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY
INSURANCE REQUIREMENTS

(Continued)

REQUIRED COVERAGES

1. FIDELITY AND DEPOSITORS' FORGERY COVERAGES

A. Required Limits:

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

B. Required Endorsements:

1. "The Sacramento Employment and Training Agency is named as a loss payee as its interest may appear," and,
2. "This insurance shall not be canceled, limited, or non-renewed until after fifteen (15) 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."

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 Endorsements:

1. "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," and,
2. "It is agreed that any insurance and/or self-insurance maintained by the Sacramento Employment and Training Agency shall apply in excess of and not contribute with insurance provided by this policy."

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY
INSURANCE REQUIREMENTS

(Continued)

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

Subcontractors 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 subcontractor's Commercial General Liability Insurance. SETA is to be named as an additional insured for this coverage.

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. "The Sacramento Employment and Training Agency and its officers, employees and volunteers are named as an additional insured;;
2. "It is agreed that any insurance and/or self-insurance maintained by the Sacramento Employment and Training Agency shall apply in excess of and not contribute with insurance provided by this policy;" and,
3. "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."

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY
INSURANCE REQUIREMENTS
(Continued)

4. VEHICLE LIABILITY COVERAGE

A. Required of all Program Operators

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 program operator 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. "The Sacramento Employment and Training Agency and its officers, employees and volunteers are named as an additional insured;"
2. "It is agreed that any insurance and/or self-insurance maintained by the Sacramento Employment and Training Agency shall apply in excess of and not contribute with insurance provided by this policy;" and,
3. "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."

5. PROFESSIONAL LIABILITY COVERAGE

A. Required of all program operators who 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.

SACRAMENTO EMPLOYMENT AND TRAINING AGENCY
INSURANCE REQUIREMENTS

(Continued)

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:

"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."

7. SELF-INSURANCE

If any coverage is provided by self-insurance, SETA requires a letter from the funded agency stating that:

- A. It agrees to SETA's insurance requirements as stated above;
- 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 contract.

A sample letter will be provided.