

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



**REQUEST FOR PROPOSALS (RFP)**

**Workforce Investment Act (WIA), Title 1, Adult and  
Dislocated Worker**

Sacramento Works Training Centers (SWTCs)

**Program Years 2014-2018**

**Release Date: March 8, 2013**



Sacramento  
Employment and  
Training  
Agency



**SACRAMENTOWORKS**

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**Sacramento Employment and Training Agency (SETA)**

**Workforce Investment Act (WIA) Title I**

Program Year 2014-2018

**PLANNING CALENDAR**

(Dates and Times are subject to change)

<b>DATE</b>	<b>EVENT</b>
Monday, April 22, 2013	One month public notice of Local Plan begins
Wednesday, May 15, 2013, 8:30 a.m.	Sacramento Works, Inc., Planning Committee – Approve of the Sacramento Works WIA Local Plan
Wednesday, May 22, 2013, 8:00 a.m.	Sacramento Works, Inc. Approve of the Sacramento Works WIA Local Plan
Thursday, March 7, 2013, 10:00 a.m.	Governing Board Review and approval of the Request for Proposals (RFP)
<b>Friday, March 8, 2013, 1:00 p.m.</b>	<b>Release of Request for Proposals</b>
<b>Wednesday, March 20, 2013, 1:30 p.m. Bidder's Conference</b>	
Tuesday, March 26, 2013, 4:00 p.m.	Pre-qualification requirements due at SETA
<b>Thursday, April 25, 2013 3:00 p.m.</b>	<b>Proposals due at SETA</b>
Friday, June 7, 2013, 1:00 p.m.	Publish SETA staff funding recommendations
Friday, June 14, 2013, 1:00 p.m.	Deadline to file protest of staff funding recommendations
Thursday, June 20, 2013, 10:00 a.m.	Governing Board Review and Approval funding decisions
Monday, July 1, 2013	Program year begins

**Note:** All meetings will be held in the SETA Board Room, 925 Del Paso Boulevard, Sacramento, CA 95815. Telephone: (916) 263-3800

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)  
REQUEST FOR PROPOSALS  
Workforce Investment Act (WIA)**

**Sacramento Works Training Centers**

**SECTION I**

**GENERAL INFORMATION/GUIDELINES**

**SACRAMENTO EMPLOYMENT AND TRAINING AGENCY (SETA)  
REQUEST FOR PROPOSALS  
Workforce Investment Act  
Sacramento Works Training Center**

1. BACKGROUND

This Request for Proposals (RFP) was developed on the basis of the Workforce Investment Act (WIA) of 1998, and its implementing regulations published in the Federal Register, August 11, 2000, and on the California Work Opportunity and Responsibility to Kids Act (CalWORKs) and its applicable regulations. Funded agencies will be required to comply with all applicable rules, regulations, and policies. Respondents should be aware that SETA's activities, as well as those of any SETA-funded subgrantee or contractor, are subject to any modifications required by the WIA and its regulations, Federal and State legislation and their regulations, the Governor and/or the State Workforce Investment Board, the County of Sacramento Department of Human Assistance, and SETA policies and procedures.

Funds for this RFP are provided to SETA by: the U.S. Department of Labor (DOL) via the State of California, under the auspices of the State Workforce Investment Board, pursuant to the Workforce Investment Act under Title I; the U.S. Department of Health and Human Services (DHHS), Temporary Assistance for Needy Families program, pursuant to the Personal Responsibility and Work Opportunities Reconciliation Act (PRWORA), as amended by the Deficit Reduction Act of 2005; and by the Sacramento County Department of Human Assistance (DHA) under CalWORKS.

SETA will determine, in its sole discretion, whether to fund a proposal and/or any augmentation of funded programs. Applicants will be required to adhere to the statutes, regulations, or policies applicable to the funding that is provided.

Services solicited under this RFP will support the transition from the current One-Stop Career Center system to another that places a priority on academic and vocational skills development, attainment of industry-recognized credentials and degrees for, and promotion of career pathways in, high-demand/ middle skill occupational clusters. Over the course of the next five years, the Sacramento Works Career Center (SWCC) system will implement and support this change that aligns with the California Workforce Investment Board's (CWIB) State Strategic Workforce Development Plan, promotes a regional approach to focus training on approved occupational clusters and places a priority on employer needs, coordinates, leverages and braids resources, and results in the sustainability of targeted workforce system investments.

2. PURPOSE OF SOLICITATION

The purpose of this Request for Proposals (RFP) is to solicit, from qualified applicant agencies, proposals designed to increase the marketability of job seekers by providing qualified training activities through Sacramento Works Training Centers (SWTC).

3. QUALIFIED APPLICANT AGENCIES

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

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

4. AVAILABLE FUNDS

At this time, the amount of funds available for allocation is unavailable. The amount of funding anticipated to be available in this RFP in PY 2013-14 is:

WIA Title I: \$3,166,600

CalWORKS: \$1,600,000

WIA Title I, Dislocated Worker Discretionary: \$2,000,000

5. FORMAL SUBGRANT

All successful proposers will be required to enter into a standard form subgrant agreement with SETA. A copy of the most recent form of this subgrant agreement is available for review at SETA. Subgrant agreements entered into under this RFP will be in similar form, subject to modification required by recent amendments in the WIA, the State Plan, and their Planning Guidelines or Regulations.

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

6. TERM OF SUBGRANT

All subgrants will be awarded for a one-year term beginning July 1, 2013 and ending June 30, 2014. Subject to fund availability, SETA shall have the exclusive option to extend any subgrant awarded for four (4) additional one (1) year terms



(see paragraph 7, "Extension of Subgrants", for further details regarding subgrant extension). If extended, the additional terms would be as follows:

- July 1, 2014 and ending June 30, 2015;
- July 1, 2015 and ending June 30, 2016;
- July 1, 2016 and ending June 30, 2017;
- July 1, 2017 and ending June 30, 2018 (final term).

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

7. EXTENSION OF SUBGRANTS

Every subgrant will contain a provision permitting SETA, at any time prior to termination of the subgrant, the sole option to extend or renew the subgrant for additional periods of time, up to a total of four additional years. SETA may exercise such options prior to July 1 in any given year through and including July 1, 2017. The decision to exercise the option to extend or renew, and the length of time for any extension or renewal, shall be made by SETA in its sole discretion. If SETA exercises its discretion to extend the subgrant for an additional term(s), based upon subrecipient performance and the existing conditions, SETA may, in its sole discretion, condition extensions on program performance or budget modifications. In addition, extended subgrants may be modified as identified in paragraph 16 of the RFP.

8. PREQUALIFICATION REQUIREMENTS/SUBMITTAL DEADLINE

**This is a mandatory requirement that MUST BE MET BY ALL RESPONDENTS PROPOSING SERVICES UNDER THIS RFP.**

A copy of SETA's Pre-qualification Requirements is included in Section III of this RFP. Please note that the deadline for submission of all pre-qualification documents to the SETA Contracts Unit is 4:00 p.m., Tuesday, March 26, 2013.

Any respondent that is a recent or current provider or contractor for SETA and has previously met pre-qualification requirements may rely on its previous documentation already on file with the SETA Contracts Unit. In order to do so, the respondent must contact Heather Luke, Contracts Analyst (916) 263-4072 by 4:00 p.m., March 26, 2013 to advise SETA of its intent to respond to this RFP based upon the documentation already on file with the Contracts Unit.

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

All respondents, whether SETA funded or non-SETA funded, will then have until 4:00 p.m., Friday, April 5, 2013, to submit any missing, incorrect, or incomplete pre-qualification documents.

**FAILURE OF A RESPONDENT TO SUBMIT INITIAL PRE-QUALIFICATION DOCUMENTS OR TO NOTIFY STAFF OF ITS INTENT TO REPLY ON PREVIOUSLY SUBMITTED DOCUMENTS BY 4:00 P.M. ON TUESDAY, MARCH 26, 2013 AND/OR THE FAILURE TO PROVIDE COMPLETE AND CORRECT PRE-QUALIFICATION DOCUMENTS BY 4:00 P.M. ON FRIDAY, APRIL 5, 2013, WILL DISQUALIFY SUCH RESPONDENT FROM ANY FURTHER FUNDING CONSIDERATION FOR THE FUNDING PERIOD COVERED BY THIS RFP. POSTMARKS AND OTHER PROOFS OF MAILING WILL NOT BE ACCEPTED.**

9. **REQUIRED RESPONSE FORMAT**

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

10. **RFP OFFEROR'S CONFERENCE**

SETA will conduct one Offeror's Conference. The conference is provided so that proposers may have the opportunity to raise any questions they may have pertaining to the development of their proposals. The Offeror's Conference, which will include a review of the RFP and a question and answer period, will be held on:

**Date:** Wednesday, March 20, 2013  
**Time:** 1:30 p.m.  
**Place:** SETA Board Room  
925 Del Paso Blvd.  
Sacramento, CA 95815

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

11. **PROPOSAL DEADLINE AND SUBMITTAL PROCEDURE**

All proposals must be in the SETA office and time-stamped by the SETA receptionist no later than **3:00 p.m., P.S.T., Thursday, April 25, 2013.** Proposals mailed to SETA must be received in the SETA office and time-stamped by the SETA receptionist no later than 3:00 p.m., P.S.T. April 25, 2013. In accordance with the policy of the SETA Governing Board, proposals delivered after 3:00 p.m., P.S.T., April 25, 2013 will not be accepted - **NO EXCEPTIONS. NO APPEALS WILL BE ACCEPTED FOR LATE PROPOSALS.**

To be considered for funding, agencies must submit ONE complete copy in electronic format and EIGHT (8) separate reproducible written copies of their proposal developed in response to this RFP.

- (a) ONE (1) copy must have original signature(s) and be identified as the original.
- (b) The remaining SEVEN (7) copies may be reproductions of the original and need not include the "References" page(s).
- (c) Submit the electronic copy on a compact diskette (CD) or flashdrive. Do not submit a "zip" file.

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 submitted:

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

## 12. SELECTION/EVALUATION PROCEDURE AND CRITERIA

Final selection of service providers is the responsibility of the SETA Governing Board. In order to assist the SETA Governing Board in making funding decisions, SETA staff will evaluate each proposal and provide the SETA Governing Board with the results of their evaluations. The SETA staff recommendations will be based upon an evaluation of each proposal submitted and the applicant agency's past program performance, if applicable. Agencies with no recent record of past performance with SETA will supply references that will be contacted by SETA staff.

The following, but not limited to, is a summary of the evaluation criteria:

### I. Statement of Need & Program Synopsis

The synopsis of the proposed training activities and services is linked to the participant outcomes and is clearly written. It includes:

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

II. Allowable Activities - Sacramento Works Training Center:

- The proposer adequately described its capability to supervise the staff and activities of a Sacramento Works Training Center.
- The proposer adequately described its ability to coordinate with one or more One-Stop Career Centers and included information on its Training Center collaborative partners.
- The proposer demonstrated its ability to develop collaborative partnerships with the following:
  - Educational Institutions/Training Providers
  - Employers
- The proposer included information on leveraged resources and adequately described how they will expand the training services offered to job seekers.
- The proposer demonstrated that it can comply with the Sacramento Works Five Year Strategic Goals and is capable of complying with the Responsibilities of a Sacramento Works Training Center as described in this RFP.
- The proposer adequately described its ability to operate a Sacramento Works Training Center offering at least one work preparedness and one functional training activity from the chart below:

<b>Work Preparedness Training</b>	<b>Functional Training</b>
Job Readiness	On-the-Job Training/Subsidized Employment (OJT/SE)
Vocational English as a Second Language (VESL) (linked with Functional Training)	Customized Training
General Education Diploma (GED) Preparation (linked with a qualified functional training activity)	Occupational Skills Sector Initiative(s)
Adult Basic Education (linked with a qualified functional training activity)	

Descriptions of Training Activities -

- 1) Job Readiness training, focuses on critical occupational clusters approved by Sacramento Works, Inc., the Local Workforce Investment Board. Job Readiness training includes services that teach skills needed to be

successful in the workplace rather than skills needed to get into the workplace.

- 2) On-the-Job Training/Subsidized Employment (OJT/SE) and Customized Training conducted in an approved occupational sector/cluster with a commitment by an employer or group of employers to employ job seekers upon successful completion of the training
- 3) General Education Diploma (GED) Preparation, Vocational English as a Second Language (VESL), and/or Adult Basic Education (ABE) and literacy activities *provided in conjunction* with one or more of the functional training activities reflected in the chart above. At a minimum, applicant agencies must offer one of the three literacy activities.
  - The proposer included information that demonstrates that its training programs/services will lead to:
    - An industry recognized credential, or degree, and
    - The skills or competencies needed for a specific job, occupation, or occupational group in one of the Occupational Clusters approved by Sacramento Works, Inc.
  - If proposing OJT/SE or Customized Training, the proposer demonstrated that it can develop jobs with prospective employers, maintain oversight of OJT/SE and Customized Training contracts, ensure that training is appropriate and targets an approved occupational sector/cluster, and that the training prepares participants for full-time employment.

### III. Collaborative Partnership and Program Management

- The history, purpose, staffing, services provided and experience of the organization is clearly described and indicates successful provision of workforce development programs and services.
- There is a clear and valid demonstration of established partnerships and leveraged resources.
- The organization's internal fiscal system and fiscal controls are clearly described and capable of meeting WIA/CalWORKS reporting and monitoring requirements.
- The process used to evaluate and monitor the organization's proposed services is clearly described and is consistent with federal and state requirements
- The organization's information technology infrastructure is clearly described and is adequate to provide access to and use of the SacWorks Virtual One Stop System (VOS) for electronic case management and all other technology related functions. This includes a demonstrated ability to provide technical and functional support for applicant agency-supported high speed internet access, computers and printers for customers and

- staff, internal wiring, and all required connections.
- The proposed budget and budget narrative aligns with the proposed services and is appropriate and reasonable.

#### IV. Demonstrated Performance

##### A. SETA-Funded Operators

In addition to the evaluation criteria outlined above, all proposers who are either current or past (pre-July 1, 2011) SETA-funded program operators will be evaluated on their overall past program performance and ability to meet contractual performance standards for up to the last three fiscal years. The data used to evaluate programs will be provided by SETA's Program Monitoring, Fiscal Monitoring and Information System Units.

##### B. Proposers with no past/current SETA program experience

Other organizations not currently or previously funded by SETA, and service providers who received SETA funds prior to July 1, 2011, will be evaluated based on information obtained from references submitted in the "References" section of the RFP. This funding will not support the infrastructure development and start-up of a new organization. References will be asked to provide an assessment of program performance and capabilities, including:

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

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

#### 13. PUBLISH STAFF FUNDING RECOMMENDATIONS

Staff funding recommendations will be published on Friday, June 7, 2013 at 1:00 p.m.

#### 14. PROTEST PROCEDURES TO RESOLVE PROCUREMENT DISPUTES

All protests to resolve disputes concerning this RFP shall be written, must specify in detail the grounds of the protest, the facts and evidence in support thereof and the remedy sought. The written protest must be delivered to the Clerk of the

Boards at SETA within the time limits provided below. In the absence of a timely and properly submitted written protest, no party responding to this RFP shall be eligible for any remedy.

Any proposer desiring to protest a funding determination concerning this RFP or the recommendation of the SETA One-Stop Operator's staff must file a protest, in writing, with the SETA Governing Board by Friday, June 14, 2013 at 1:00 p.m. The SETA Governing Board shall resolve any protest based upon the written protest and any oral or written response thereto provided by staff. Any SETA Governing Board resolution shall be made prior to any funding determination under this RFP. The SETA Governing Board's decision is final.

15. LIMITATION

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

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

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

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 as set forth in the subgrant, or
- (b) The Federal or State Government increases, reduces, or withdraws funds allocated to SETA under WIA Title I, 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 Investment Board or SETA are amended, revised or modified.

**SECTION II**

**SACRAMENTO WORKS FIVE YEAR STRATEGIC GOALS**

**PROPOSED CHANGES IN THE WIA ADULT/DISLOCATED WORKER SERVICE  
DELIVERY SYSTEM**

**ALLOWABLE ACTIVITIES**

**PERFORMANCE MEASURES**

**PRICE/COST REASONABLENESS/JUSTIFICATION**

**JOINT VENTURE/SUBCONTRACTING**

**PROGRAM AND REPORTING REQUIREMENTS**



## **I. SACRAMENTO WORKS FIVE YEAR STRATEGIC GOALS**

The Workforce Investment Act (WIA) Five Year Strategic Workforce Plan will be finalized and presented to Sacramento Works, Inc. and the SETA Governing Board for approval in May and June, 2013, respectively. The Plan will align with the California State Strategic Workforce Plan approved by the California Workforce Investment Board in December 2012 and the Next Economy Capital Region Prosperity Plan. SETA staff and the Sacramento Works, Inc. Planning and Oversight Committee have been actively seeking public and stakeholder input into the planning process since September, 2012 and many of the recommendations presented to and approved by the Planning/Oversight Committee have been integrated into this Request for Proposals document.

### **Proposed Strategic Goals for the WIA Adult/Dislocated Worker program:**

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

## **II. PROPOSED CHANGES IN THE WIA ADULT/DISLOCATED WORKER SERVICE DELIVERY SYSTEM**

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

Center/America’s Job Center (SWCC/AJC) services are customer-driven, easily accessible, and customized to meet the specific needs of employers in the region. Services are comprehensive, customer-focused and performance-based.

The SWCC/AJC system unites business, education, community and public agencies to meet the needs of employers and job seekers through a comprehensive range of workforce development activities and strategic partnerships. Career Center job seekers have universal access to a variety of tools and services including assessments, career coaching, labor market information, job search assistance, education and skills training (including customized and on-the-job training, and Individual Training Accounts/Scholarships). Career Center staff provide services and outreach to job seekers, including special populations, such as dislocated workers, veterans, parolees, immigrants, refugees, high-risk youth, low-income and the disabled.

Since 1996, SWCC/AJCs have been strategically located throughout Sacramento County. Originally 15 neighborhood based career centers provided a “no wrong door” approach to meeting the workforce needs of employers. At the time, the economy was expanding and industries faced labor shortages and most workers only needed support in finding new employment in which they could use their existing skills.

In today’s economy, workers are facing a much tighter labor market and a skills mismatch between unemployed workers and available openings. What today’s workers need most is the opportunity to gain skills obtained through advanced education and training resulting in labor market relevant credentials that are valued by employers. To respond to the needs of today’s employers and unemployed/underskilled workers, SETA/Sacramento Works is seeking to transition from operating 12 SWCC/AJCs in Sacramento County to 4-5 SWCC/AJCs, and an undetermined number of Sacramento Works Training Centers.

The following is a list of five SWCC/AJCs in the Sacramento Workforce Investment Area, hosted by SETA and EDD, that are expected to operate for PY 2014 through 2018:

SWCCs	Addresses	Phone #s
Franklin	7000 Franklin Blvd., Ste. 540 Sacramento, CA 95823	(916) 563-5151
Galt*	1000 C Street, Ste. 100 Galt, CA 95632	(209) 744-7702
Hillsdale	5655 Hillsdale Blvd., Suite 8, Sacramento, CA 95842	(916) 263-4100
Mark Sanders	2901 – 50 <sup>th</sup> Street Sacramento, CA 95817	(916) 227-0301
Rancho Cordova	10381 Old Placerville Road, Ste. 150 Sacramento, CA 95827	(916) 563-5147

\*The SWCC/AJC in Galt will convert to a SWTC, but, because of its location in Galt, will also provide universal access services to job seekers.

### **III. ALLOWABLE ACTIVITIES: SACRAMENTO WORKS TRAINING CENTERS (SWTCs)**

Sacramento Works Training Centers (SWTCs) are designed to develop the workforce and will partner with the SWCC/AJCs to recruit and identify low-skilled job seekers and at-risk vulnerable populations, and provide them with training activities necessary for entry into career pathways in high demand or high growth industry sectors/clusters in the region. SWTCs will provide training services that will result in:

- an industry recognized credential or degree, and employment in an approved sector/cluster.
- attainment of the skills/competencies needed to successfully enter into and completion of post-secondary education, apprenticeship, or career technical education program in an approved sector/cluster.

Services being solicited through this RFP are those that will prepare low-skilled adults and/or dislocated workers to successfully enter and complete post-secondary education and/or a career in an approved cluster/sector. Proposers seeking funds under this RFP must be able to demonstrate that the training services proposed are necessary and will integrate with One-Stop Services provided at SWCC/AJCs.

#### **A. Sacramento Works Training Centers Allowable Services and Activities:**

- 1) Job Readiness training** focusing on an approved sector/cluster. Job Readiness training includes services that teach skills needed to be successful in the workplace and in a particular occupational cluster rather than skills needed to get into the workplace. For example, job readiness training courses could teach job seekers skills such as how to communicate in an office environment, how to function as part of a team, how to work in a deadline-driven workplace, cluster specific terminology, use of cluster related tools, and safety training. It can also provide information on career pathways or lattices within an occupational cluster. In each of these instances, the focus of the training would be on competencies needed to succeed while on the job. The provision of this activity requires State approval for inclusion on the State of California's Eligible Training Provider List (ETPL).
- 2) On-the-Job Training/Subsidized Employment (OJT)** is an activity designed to place low-skilled adults who are either unemployed or receiving public assistance through the CalWORKs program, into full-time jobs in high skill occupations on a "hire first" basis where supervision and training are provided by the employer. OJT affords customers the opportunity to be trained or retrained while acquiring the work skills necessary to succeed in and retain employment while contributing to an employer's productivity.

OJT operators use SETA's standardized OJT contract form, and employers may be eligible for reimbursement of up to 90 percent of the wages paid to customers to compensate for the employer's costs for additional supervision and training

related to the OJT. An OJT contract must be limited to the period of time required for a customer to become proficient in the occupation for which the training is being provided. In determining the appropriate length of the contract, consideration should be given to the skill requirements of the occupation, the academic and occupational skill level of the customer, prior work experience, and the customer's Individual Employment Plan.

Successful proposers will be required to coordinate services with SETA and the County Department of Human Assistance (DHA) to recruit and serve eligible CalWORKs customers and to ensure that OJT services provided to eligible CalWORKs recipients are consistent with Welfare-to-Work Plans and/or other service agreements between DHA and respective CalWORKs recipients.

- 3) Vocational English As A Second Language (VESL), General Education Development/High School Completion Services (GED Preparation) and/or Adult Basic Education (ABE)** and literacy activities *provided in conjunction with one or more of the other training services listed above*. At a minimum, applicant agencies must offer one of the three literacy activities.

**VESL** curriculum must integrate job search and vocational skills. Curriculum must provide customers the basic knowledge of vocational English that is necessary to obtain a job and may include, but is not limited to, a review of American work ethics, employment seeking techniques and strategies, identifying employers, review of employer expectations, employer/employee rights, resume preparation, job interviewing, vocational terminology, use of tools and equipment, and safety procedures. Curriculum may be offered as beginner, intermediate and advanced classes to meet the needs of different levels of learners. Instructors of VESL are required to hold a current valid California Teaching Credential in academic subjects.

**GED Preparation** consists of five subjects: social studies, science, reading, mathematics and language arts. GED Preparation services are designed to improve the skills of clients who did not graduate from high school, and assist them in passing the GED battery of tests. Passing the GED provides an opportunity for adults to participate in higher educational programs, as well as more employment opportunities, advanced workplace training and increases income potential. It ensures that the employer's basic reading, writing, math and critical thinking skills have been met. Applicant agencies must describe how it will ensure access to the GED exam for its GED Preparation customers.

**ABE** develops skills in reading, writing, math, speaking/listening in English, GED and Adult High School preparation and computer literacy in a contextual environment where academics are blended with career technical education. It is designed to provide educational opportunities for individuals who need assistance in acquiring and improving their literary skills to be successful in post-secondary education, training and employment. Instructors of adult literacy are required to hold a current valid California Teaching Credential for academic subjects.

- 4) Customized Training** is designed to meet the special occupational requirements of an employer or group of employers and is conducted with a commitment by an

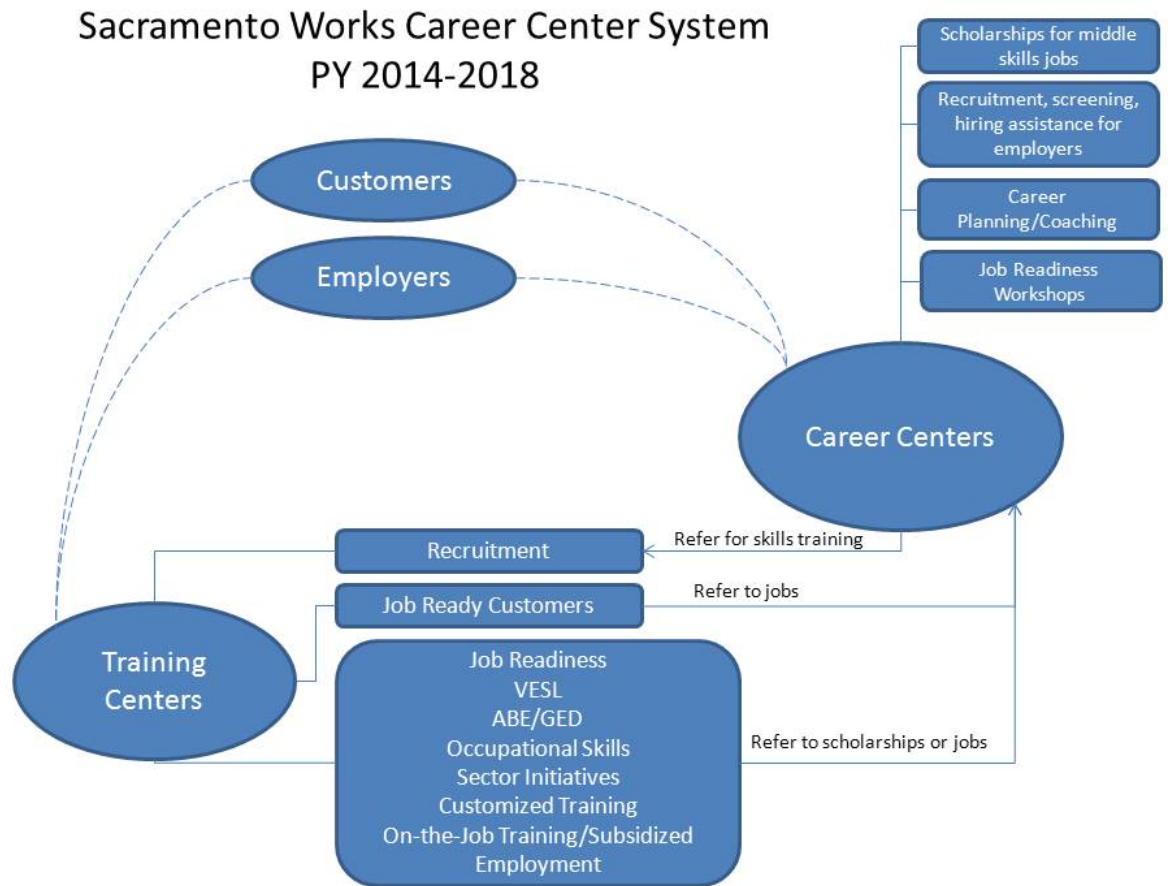
employer or group of employers to employ individuals upon successful completion of the training. Customized Training allows individuals to gain employment opportunities in targeted career pathways. Customized training is generally conducted as cohorts in classroom settings with employer involvement in the curriculum design and delivery.

- 5) Occupational Skills Sector Initiatives** provide training solutions in approved occupational clusters that are in demand and/or demonstrate substantial growth. Sector training must result in industry-recognized certificates or credentials, will incorporate traditional classroom Occupational Skills Training (OST) may include supported work or apprenticeships, or *may be linked to OJT*.

Sector strategies align industry relevant education with the specific workforce needs of regional employers to produce workers that possess the skills and credentials that ensure they can secure and retain employment. Sector strategies offer a mechanism to focus scarce resources on industries that are major employers in the area facing skill and talent gaps, as well as to concentrate comprehensively on the workforce skills lacking in the regional economy.

Applicant agencies must demonstrate local employer engagement in proposed sector initiatives. An example of employer engagement is the involvement of local employers in the development of and/or review and approval of sector training curriculum. Additionally, the provision of this activity requires State approval of the training program for inclusion on the State of California's ETPL.

**B) Diagram of SWCC System PY 2014-18**



**C) Responsibilities of SWTCs - The SWTCs must:**

**1. Maintain a collaborative partnership with the following:**

- A SWCC/AJC to coordinate recruitment, registration and enrollment; to develop an action plan; and to support customers in their effort to complete training and meet their employment goals.
- An education and/or training provider (“training” includes OJT providers, ETPL providers, community colleges and Adult Education)
- Local employers and business associations (if proposing sector training, must include employers within that sector)

**2. Ensure knowledge and understanding of the mission and vision established by the Sacramento Works, Inc. Strategic Plan.**

- SWTC staff is aware of local area service priorities
- The Local Board’s Strategic Plan mission, goals, and objectives are understood by staff.
- Staff is aware of the occupations with the best projected local demand and the approved occupational sectors/clusters.

3. **Ensure that clear job seeker pathways exist between SWCC/AJC and the SWTC.**
  - The SWTC follows the One-Stop system customer flow.
  - A shared case management system exists for co-casemanaging job seekers enrolled in training.
  - The SWTC coordinates the supportive services needs of the customer while in training.
  - The SWTC utilizes SacWorks Virtual One Stop System (VOS), maintains adequate information technology infrastructure, and provides adequate related information technology support. At a minimum, SWTC must provide high speed internet access, computers and printers for customers and staff, internal wiring, and all required connections.
4. **Be accountable for Training Center performance.**
  - All staff are trained and informed of anticipated performance outcomes.
  - Systems exist to measure performance, customer satisfaction and continuous improvement.
  - The SWTC performance goals and measures are met or exceeded.
  - Customers successfully retain employment and increase wages after training.
5. **Leverage resources and funding to expand and enhance services offered to job seekers.**
  - The SWTC leverages in-kind and/or cash contributions.
6. **Be customer and community-focused:**
  - The SWTC coordinates with the community, local employers and business associations.
  - The SWTC provides training services to individuals who are limited English-speaking and other special populations.
  - The SWTC adds value and resources to the SWCC system and the community.

**D) Customer Eligibility for Training Services**

Funding for the services included in this request for proposal comes from the Workforce Investment Act Title 1 Adult and Dislocated Worker programs and the CalWORKS program. Eligibility requirements for these programs are:

**WIA, Adult -**

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

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

#### **WIA, Dislocated Worker –**

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

#### **WIA Title I, 25% Additional Layoff Assistance Program:**

- SETA has included WIA Title 1 Additional Assistance Discretionary Grant funds received in this RFP. These funds will be used to fund applicants that propose Sacramento Works Training Centers that target workers laid off from 15 employers listed below.

#### **CalWORKS – (If accessing OJT services only)**

- Applicants must be on a federal (not-state-funded) CalWORKs grant, must be participating in the Welfare to Work program (WTW), and must be determined eligible by Sacramento County DHA.

### **E) PERFORMANCE MEASURES**

WIA Adult and Dislocated Worker Common Measures are:

1. **Entered Employment** – the number of customers who are employed in the first quarter after completion/exit.
2. **Employment Retention** - the number of customers who are employed in quarters 1, 2 and 3 after completion/exit.
3. **Average Earnings** – the average earnings of those customers who were employed in quarters 1, 2, and 3 after completion/exit.



**ANTICIPATED PY 2013-2014 WIA COMMON MEASURES –**  
**These measures are subject to change.**

<b>WIA Adult Measures</b>	<b>Goals</b>
Entered Employment Rate	65%
Employment Retention Rate	80%
Average Earnings	\$11,500 or \$11.06 per hour

<b>WIA Dislocated Worker Measures</b>	<b>Goals</b>
Entered Employment Rate	65%
Employment Retention Rate	81%
Average Earnings	\$15,500 or \$14.90 per hour

**Local Measures:**

Funded SWTCs will also be accountable to provide information on the progress of the Center in relation to other indicators of success identified by Sacramento Works. At a minimum the local measures will include:

- Actual cost per customer served and placed
- Number of employers utilized/market penetration
- Training completion rate (set at 85%)
- Attainment of industry recognized credentials and/or degrees
- Attainment of one year employment retention
- Training in Sacramento Works, Inc.'s approved Occupational Clusters for the region (currently set at 85%)
- Documentation of training services in the SacramentoWorks.org shared electronic database and tracking system
- Customer/employer satisfaction
- Submission of timely and accurate reports to SETA, both Fiscal and MIS
- The provision of access by customers and staff to and support of the SacWorks VOS, and the maintenance of the organization's information technology infrastructure supporting all SWTC technology related functions. At a minimum, SWTC infrastructure must include high speed internet access, computers and printers for customers and staff, internal wiring, and all required connections.

**F) PRICE/COST REASONABLENESS/JUSTIFICATION**

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

The proposed costs per customer must be justified in your narrative and budget. Merely stating that you will be serving a group with difficult barriers to overcome will not justify a high cost. You must describe the additional services you will provide to overcome these barriers and point out the extra cost items in your budget which are needed to provide these additional services.

**G) JOINT VENTURE/SUBCONTRACTING**

- 1) In the event that a respondent proposes to provide a joint venture proposal (proposals involving more than one service provider), the respective areas of responsibility germane to program administration, program operators, program cost and program performance (including job development and reporting) must be clearly delineated. Joint venture projects shall involve shared responsibility between entities and shall not allow one party to simply become a “pass-through” for funding. Joint ventures are jointly and severally liable for the program.
- 2) Subcontracting to another entity for the provision of training services is not allowable. All training services provided with SETA funding must be provided by the respondent’s staff. Subcontracting for specialized, technical portions of training services, may be permitted. In such instances, proposers must clearly delineate in the proposal any plans to subcontract, identify with clarity the nature and scope of any planned subcontracting activity, and identify and verify the capability of the proposed subcontractor(s). SETA reserves the right to approve the form and content of all subcontracts.

**H) PROGRAM AND REPORTING REQUIREMENTS**

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

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

- 2) Start-up and Program Operation  
The anticipated starting date for customers will be July 1, 2013

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

## I) RESOURCES

- 1) **SETA WIA Directives** - All training activities funded under this RFP must comply with applicable SETA WIA Directives. All Directives and any revised directives resulting from this RFP will be available on SETA's website at [www.seta.net](http://www.seta.net).

### 2) Sacramento Works Occupational Clusters

Since 2001, SETA/Sacramento Works has identified high demand occupational sectors/clusters to focus training efforts to ensure that job seekers are being trained with skills that will meet the needs of employers in the region. The WIA Adult and Dislocated Worker program focuses on occupations requiring short to moderate term post-secondary education and industry recognized credentials and degrees. Some occupations in these sectors/clusters reflect higher levels of education. These levels are not necessarily the only way an individual can become qualified to perform the duties of a given occupation. Other combinations of education, training, and/or experience may also be appropriate for job entry. The occupational sectors/clusters reflect employment projections according to education/training and have been identified as the fastest growing occupations and occupations with the most job openings. The list of occupational sectors/clusters recommended for PY 2013-14 are as follows:

### ***ADMINISTRATIVE and SUPPORT SERVICES***

This occupational sector/cluster is comprised of a diverse group of occupations. In addition to occupations directly related to office administration, clerical support, and finance and insurance, also included in this broad group are occupations that provide a wide variety of support-related activities and services, including firefighting and investigation and security related occupations.

### ***CONSTRUCTION/CLEAN ENERGY TECHNOLOGY***

This occupational sector/cluster is primarily comprised of occupations involved in the construction of buildings. Also included in this group are specialty trade contractors (e.g. Electricians, Painters, Carpet Installers, etc.), Cabinetmakers, Construction and Building Inspectors, Cost Estimators, and Welders. This includes numerous additional occupations that fall under Clean Energy (e.g., Home Energy Auditors, Solar Energy Technicians, etc.). Unfortunately, these occupations are not currently classified by the Standard Occupational Classification (SOC) system and, as such, do not have occupational forecast data available at the present time.

### ***HEALTHCARE (Life Sciences)***

This occupational sector/cluster is comprised of occupations employed by hospitals, nursing and residential care facilities, physicians' offices, dental offices, outpatient care centers, and medical/diagnostic laboratories. This group also includes biomedical and health related businesses.

### ***INFORMATION and COMMUNICATION TECHNOLOGY***

This occupational sector/cluster is comprised of occupations involved in the design, production, and administration of computer hardware and software systems and networks. As with Administrative and Support Services related occupations, many of the occupations in this category are employed, to some degree, across most industries.

### ***INSTALLATION, MAINTENANCE, and REPAIR***

This occupational sector/cluster is primarily comprised of occupations involved in restoring machinery, equipment, and other products to working order as well as occupations that typically provide general or routine maintenance or service on products to ensure that they work efficiently and to prevent breakdown and unnecessary repairs.

### ***AGRICULTURE, FOOD and HOSPITALITY***

This occupational sector/cluster is primarily comprised of occupations involved in growing and distributing food and providing accommodations and food service related occupations.

### ***TRANSPORTATION, PRODUCTION and MANUFACTURING***

This occupational cluster is comprised of a diverse group of occupations directly related to the actual manufacturing and/or production of goods, as well as the manufacturing of industrial machinery, recycling, and green

energy manufacturing efforts. Also included in this category are occupations related to the storage, distribution, and transportation of manufactured goods.

**3) WIA Title I, 25% Additional Assistance Grant** – The following is a listing of Qualifying Employers and Affected Occupations for the 25% funding only.

<b>EMPLOYER</b>	<b>AFFECTED OCCUPATIONS</b>
Assembly Rules Committee	Clerical; Legislative Analyst
Bank of America	Banking (Mortgage)/Loan Officers
California Department of Corrections and Rehabilitation	Correctional Officers; Justice, Public Order and Safety Activities
Campbell Soup	Clerical; Compliance Auditor; Controller; Cook; Coordinator; Customer Service Representative; Data Entry; Engineer; Forklift Operator; General Labor; Human Resources; Inventory Technician; Lab Technician; Machine Operator; Manager; Mechanic; Operations Manager; Packer, Payroll Accountant; Plant Services; Power Plant Mechanic; Production Worker; Quality Control; Seam Inspector; Shipping/Receiving; Sorter; Systems Network; Warehouse Worker
Comcast	Administrative Services; Analyst; Customer Technical Support, Human Resources; Manager; Supervisor Customer Technical Support; Workforce Scheduling Coordinator
First Data Gov. Solutions	Clerical; Customer Service Representative; Data Entry; Data Processor; Mail Clerk; Operations Supervisor; Receptionist; Research Assistant; Technical Support
Foster Farms Dairy	Clerical; Driver; Freezer; Freezer Foreman; Machine Operator; Manager; Mechanic; Packer; Quality Assurance; Supervisor
Hostess Brands, Inc.	Accounts Payable; Accounts Receivable; Baker; Clerical; Dough Mixer; Driver; Finance Officer; Machine Operator; Manager; Mixer; Packer; Production Worker; Retail Clerk; Route Driver; Route Sales; Sanitation Worker; Shipping/Receiving; Sorter; Store Manager; Transport Driver; Warehouse Worker
Microsemi	Assemblers; Production Technicians
Raley's/Bel Air	Baker; Clerk; Courtesy Clerk; Deli Clerk; Food Service Department Head; Meat Cutter; Produce Manager
Sacramento City Unified School District	Certificated Teachers; Classified Staff (janitors, clerical)
San Juan Unified School District	Certificated Teachers; Classified Staff (janitors, clerical)
Senate Rules Committee	Clerical; Legislative Analyst
Verizon	Account Liaison; Account Services; Administrative Assistant; Analyst-Customer Service; Customer Service; Director of Customer Service; IT Computer Technician; Supervisor Customer Service; Technical Coordinator
Xyratex	Computer Storage Device Manufacturing

**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.

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**CONTRACT POLICY**

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

A. Audit

Before any funds are issued under any subgrant/agreement, funded agency shall submit to SETA a copy of the reports generated in connection with the most recent audit of its financial systems. These reports shall be in a form which complies with requirements of Office of Management and Budget (OMB) Circular A-133.

## 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.

**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.

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

**Party Disclosure Form**

SACRAMENTO EMPLOYMENT AND TRAINING  
AGENCY

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

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

(Street)

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

\_\_\_\_\_  
(State)

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

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

\_\_\_\_\_

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

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

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

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

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

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

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

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

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

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

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

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

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

(Use additional sheet, if necessary)

No contributions made.

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

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

SACRAMENTO EMPLOYMENT & TRAINING AGENCY  
Governing Board

**Chair**

**Supervisor Jimmie Yee**  
County of Sacramento  
700 "H" Street  
Sacramento, CA 95814  
Phone: 874-5481  
Fax: 874-7593  
e-mail: [jyee@saccounty.net](mailto:jyee@saccounty.net)

**Vice Chair**

**Council Member Jay Schenirer**  
City of Sacramento  
915 "I" Street, 5<sup>th</sup> Floor  
Sacramento, CA 95814  
Phone: 808-7005  
Fax: 808-7680  
e-mail: [jschenirer@cityofsacramento.org](mailto:jschenirer@cityofsacramento.org)

**Supervisor Don Nottoli**

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

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

**Council Member Allen Warren**

City of Sacramento  
915 "I" Street, 5<sup>th</sup> Floor  
Sacramento, CA 95814  
Phone: 808-7002  
Fax: 808-7680

e-mail: [awarren@cityofsacramento.org](mailto:awarren@cityofsacramento.org)

**Sophia Scherman**

Public Representative  
Elk Grove, CA 95758

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

*Current as of February 7, 2013*

**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, 29 CFR Part 98, Section 98.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

(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.

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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 of Labor (DOL) 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 DOL.
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 suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the DOL may pursue available remedies, including suspension and/or debarment.

**CERTIFICATION REGARDING LOBBYING**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

\_\_\_\_\_  
Signature

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

\_\_\_\_\_  
Organization

\_\_\_\_\_  
Date





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

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

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

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

**DISCLOSURE OF LOBBYING ACTIVITIES  
CONTINUATION SHEET**

Approved by OMB  
0348-0046

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

INSURANCE 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 \_\_\_ 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.