

SOUTHEAST GEORGIA WORKFORCE INVESTMENT BOARD



Request for Proposal #15 For In-School Youth Services

SCHEDULE OF EVENTS:

RFP Package Available	January 9, 2012
Bidder's Conference*	January 20, 2012 – 10 am
Deadline for Proposals	February 29, 2012 – 2 pm
Review & Selection Period	February 29, 2012 – March 20, 2012
Notification to Proposers	April 12, 2012
Contract Negotiations	April 12, 2012 – May 29, 2012
Program Begins	July 1, 2012

***Registration is requested for the Bidder's Conference to be held at the Southern Georgia Regional Commission, 1725 South Georgia Parkway, West, Waycross, Georgia. Please call Camie Boatright at (912) 285-6097 or email her at crboatright@sgrc.us.**

For information and/or a proposal package, contact:

**Camie Boatright, Program Assistant, Workforce Development Division
Southern Georgia Regional Commission
1725 South Georgia Parkway, West
Waycross, Georgia 31503
Phone (912) 285-6097 Fax: (912) 285-6126
Email: crboatright@sgrc.us**

REQUEST FOR PROPOSAL

Table of Contents

Cover Page.....	1
Schedule of Events.....	2
Table of Contents	3-4
INTRODUCTION AND OVERVIEW	
Objectives.....	5
Eligibility	6-7
Role of Youth Council.....	7
Funds	7
Program Period	7
Outreach, Recruitment and Referrals	8
Performance Requirements.....	8
Program Elements.....	8-10
Dropout Prevention.....	8
Alternative Secondary Education.....	8
Summer Employment Opportunities.....	9
Work Experience	9
Occupational Skills Training	9
Leadership Development Opportunities	9
Supportive Services.....	9
Mentoring.....	9
Follow-Up Services.....	9-10
Guidance and Counseling	10
Incentive Payments	10
Funding Availability and Length of Project.....	10
Proposal Review.....	10-11
Proposal Submission.....	11
Contact Person.....	11
II. GUIDELINES FOR SERVICE DELIVERY	
Assessment and Customer Service Plan Development	11-12
Service Provider/Staff Duties.....	12
Participant Tracking in the Georgia Workforce System	12
Referrals.....	12
Program Activities.....	12-14
Case Management/Service Coordination/Counseling	12-13
Job Development/Job Placement.....	13
Post-Secondary Transition/Assistance	13
Assessment and Customer Service Plan	13-14
Service Provider/Staff Duties.....	14
Participant Tracking in the Georgia Workforce System (GWS)	14
Referrals.....	14

III. GENERAL REQUIREMENTS FOR PROPOSERS

Funding	14-15
Code of Conduct.....	15
Financial Requirements	15
Audit	15-16
Program Income	16
Invoices and Payments	16
Assurances, Certifications, and Indemnification	16
Nondiscrimination and Equal Employment Opportunities.....	16
Prevention or Fraud/Misapplication of Funds/Gross Mismanagement	17
Outreach, Recruitment, Eligibility Determination, and Assessment of Participants	17
Selection of Participants	17
Payments to Participants.....	17
Georgia Workforce System (GWS) and Participant Obligations Tracking	17
Monitoring and Evaluation	17
Internal Monitoring.....	18
Retention of Records.....	18
Type of Contract.....	18
Subcontracts.....	18
Fidelity Bond Insurance	18
Training Sessions and Meetings.....	18
Appeal Procedures	18
Debarment, Suspension, Ineligibility, and Voluntary Exclusion	19
Lobbying.....	19
Non-Duplication of Services	19

IV. SUBMISSION REQUIREMENTS FOR RFP #15

Eligible Contractors	19
Due Date	19
Number of Copies.....	19
Proposal Format.....	19-22
Proposal Cover Sheet	19
Project Narrative.....	20
Services/Activities to be Provided.....	20
Performance and Outcomes.....	20
Program Management.....	20-21
Financial Management	21
Coordination/Linkages/Collaboration	21-22
Certification Regarding Debarment	22
Certification Regarding Lobbying.....	22
Sub-Contractor Affidavit.....	22
Proposal Cover Sheet Form	23
Budget Forms	24-28
Review Criteria	29
Past Performance Evaluation for Contractors with SGRC	30
Appendix A – Statement of Financial Capability (Pages 1,2,3)	31-33
Appendix B – Certification Regarding Debarment (Pages 1,2,3).....	34-36
Appendix C – Certification Regarding Lobbying	37
Appendix D – Sub-Contractor Affidavit	38

REQUEST FOR PROPOSAL #15
For
In-School Youth Services

I. INTRODUCTION AND OVERVIEW

The purpose of this Request for Proposal (RFP) package is to solicit proposals to provide services under the guidelines of the Workforce Investment Act (WIA) of 1998. The Southern Georgia Regional Commission (SGRC), as administrative entity for the Southeast Georgia Workforce Investment Board (WIB), requests proposals to operate a program to assist WIA-eligible high school seniors, ages 17-21, to obtain a high school diploma. The programs must be operated in the nine county service area which includes the counties of Atkinson, Bacon, Berrien, Brantley, Charlton, Clinch, Coffee, Pierce and Ware. Program(s) may be operated in a single county, a combination of counties, or all counties.

This RFP does not commit SGRC to award a contract or to pay any costs incurred in the preparation of proposal(s) in response to this request. SGRC reserves the right to accept or reject any or all proposals received as a result of this procurement process.

Generally, the service provider will perform the following tasks:

1. Provide numerous services to individuals, including eligibility determination, assessment, referral, Customer Service Plan development, counseling, case management, job development/placement; occupational skills training, payment of support services, etc.;
2. Coordinate and collaborate with other organizations, partners or agencies to develop resources and provide the services needed by individuals, i. e., financial assistance to attend school, career counseling, guidance counseling, transportation, etc.;
3. Perform programmatic tasks, such as entering data into the online Georgia Workforce tracking system (GWS), maintaining participant files, tracking performance outcomes of participants, etc.;
4. Maintain and report financial data, including biweekly payments to participants, documentation of attendance in training by participants, documentation of expenditures, recording data in books of accounts, etc.;
5. Complete other tasks associated with program operation, such as personnel management, etc.

A. OBJECTIVES

Youth objectives are to achieve basic skills, work readiness, and occupational skills goals; to earn a diploma or equivalent; to enter post-secondary, advanced training, employment, military, or qualified apprenticeships; and to remain in one such activity.

B. ELIGIBILITY

Service providers are responsible for determining and documenting eligibility for WIA. Eligibility determination must be completed in accordance with the Workforce Investment Act and regulations found in 20 CFR parts 660-671. SGRC staff will provide eligibility training for youth service provider staff.

Youth must meet the following requirements/conditions to be eligible as an in-school youth:

1. Are between the ages of 17 and 21, meaning that they have reached their 17th birthday at the time of registration, but have not attained their 22nd birthday at the time of registration, AND
2. Attending secondary school (high school or alternative school) at the time of registration, meaning that participants must be determined eligible prior to high school graduation, AND
3. Is low income as defined in WIA section 101(25):
 - a. An individual who receives or is a member of a family who receives cash payments under a Federal, State, or local income based public assistance program, OR
 - b. An individual who received an income, or is a member of a family that received a total family income, for the six month period prior to application for the program (exclusive of unemployment compensation, child support payments, payments from public assistance programs, and old-age and survivor benefits received under section 202 of the Social Security Act 42 U.S.C. 402) that, in relation to family size, does not exceed the higher of- (i.) the poverty line for an equivalent period; or (ii.) 70 percent of the lower living standard income level for an equivalent period, OR
 - c. An individual who is a member of a household that receives (or has been determined within the six month period prior to application of the program involved to be eligible to receive) food stamps pursuant to the Food Stamp Act of 1977, OR
 - d. An individual who qualifies as homeless, OR
 - e. An individual who is a foster child on behalf of whom State or local government payments are made, OR
 - f. An individual with a disability whose own income meets the above requirements but who is a member of a family whose income does not meet the requirements of this program.

AND

4. Are within **one** or more of the following categories:

- a. Deficient in basic literacy skills (assessment reflects that math and/or reading skills are below ninth grade level); OR
- b. Homeless, runaway, or foster child; OR
- c. Pregnant or parenting; OR
- d. Offender; OR
- e. An individual (including a youth with a disability) who requires additional assistance to complete an educational program, or to secure and hold employment in accordance with Southeast Georgia Workforce Investment Area 19 policy.

C. ROLE OF YOUTH COUNCIL

The Southeast Georgia Youth Council is a “subgroup” of the local Workforce Investment Board. The Youth Council has a significant role in planning and implementing area youth programs and makes recommendations to the Workforce Investment Board. The Youth Council’s duties include overseeing the youth planning process, pinpointing gaps in service, recommending youth vendors and programs, and monitoring program outcomes. Youth service providers will be expected to work closely with the Youth Council to establish linkages with other organizations serving youth in the area.

D. FUNDS

Approximately \$100,000 is available for an in-school youth program to assist high school seniors in earning a diploma. Organizations preferring to serve small groups are encouraged to submit proposals. In fact, small pilot programs might be the best method for the provision of the types of youth services. However, it is generally anticipated that an organization proposing a small pilot program will request considerably less funding in its proposal budget as opposed to an organization proposing to serve youth in several counties. Proposals requesting all, or part, of the total amount of available funds will be accepted. The Workforce Investment Board reserves the right to increase or decrease available funds.

E. PROGRAM PERIOD

The contract funded as a result of this RFP process will be for one year with the possible extension for additional years. Continuation of a contract beyond one year will be based on satisfactory performance during the previous year, resolved monitoring and/or auditing issues, successful contract negotiations, funding availability, and the Workforce Investment Board approval. *In submitting a proposal, only the budget information for operational costs for one year should be included.*

The scheduled begin date for the proposal selected for funding is July 1, 2012. However, the SGRC reserves the right to fund proposals received from this solicitation at a later date without the issuance of an additional request for proposal package. Furthermore, this RFP does not commit the SGRC to award a contract or to pay any costs incurred in the preparation of a proposal in response to this request. The SGRC reserves the right to accept or reject any or all proposals received as a result of this procurement process.

F. OUTREACH, RECRUITMENT AND REFERRALS

Outreach activities may include radio spots, public service announcements, newspaper advertisements, and fliers. Referral procedures must be developed to ensure appropriate youth are referred and served.

G. PERFORMANCE REQUIREMENTS

The required performance measures and a brief explanation of performance goals are provided below.

The service provider must plan to meet or exceed the following performance measures:

Placement in Employment or Education	65%
Attainment of a Degree or Certificate	80%

- a) Placement in Employment or Education - To successfully meet this goal, a youth, must be employed, in the military, or enrolled in post-secondary education and/or advanced training, and/or occupational skills training in the first quarter after the exit quarter. Excludes those who are in post-secondary education or employment (including the military) at the date of participation.
- b) Attainment of a Degree or Certificate: To successfully meet this goal, a youth must obtain a diploma, GED, or certificate by the end of the third quarter after the exit quarter. Youth must be enrolled in education at the date of participation, or at any point during the program.

H. PROGRAM ELEMENTS

Proposers are encouraged to submit program designs that are innovative and “hands-on” in their approach. Programs should be designed to instruct and enhance ability to obtain a high school diploma.

The Workforce Investment Act includes a list of ten program elements that must be available for youth participants. A list of these activities, with a brief explanation of each, is provided below. *Proposers should review the list carefully and use it as a guide for planning activities to be included in program designs. It is not necessary to directly offer all, or even most, of the activities in the planned program design. Proposers must include plans for guidance and counseling and follow-up, but may choose to provide any combination of the remaining eight elements, in addition to any services not listed.*

1. Dropout Prevention - The proposer should describe any planned activities (tutoring, study skills training, etc.) related to dropout prevention.
2. Alternative secondary Education – (Providing access to this program element/coordinating the provision of this service is mandatory). Identify alternative secondary education possibilities (i.e., adult literacy agencies for older youth, Job Corps for those over age 16, Georgia National Guard’s Youth Challenge Academy, etc.) for youth who drop out of high school during program participation, the circumstances in which these programs will be accessed, and plans for coordinating their provision, sharing case management responsibilities, etc.

3. Summer Employment Opportunities – n/a
4. Work Experience - Paid or unpaid work experience, utilizing public or private employers, may be an option as an after-school or Saturday activity (i. e., two hours after school through April 2013. Work experience must be conducted in compliance with Child Labor Laws as outlined at www.dol.state.ga.us. Students must acquire work permits. Sites must be carefully chosen to ensure safety and to match the needs of individual youth, augment academic learning experiences, and coincide with or stimulate occupational interests. A detailed plan should be provided including a list of potential worksites, skills to be learned, and the total number to be served in this activity. Work experience wages shall not exceed \$7.25 per hour. The training plan for this activity should be for a minimum of 100 hours and should not exceed 360 hours. Service provider(s) will be required to monitor work sites for compliance and safety, to document participant progress, to resolve problems, to provide counseling, and to identify and record skills learned as a result of this experience. If the provider plans to provide work experience, payment methodology must be explained in detail in the proposal.
5. Occupational Skills Training - Participants should be encouraged to obtain occupational skills training following high school graduation or, if appropriate, jointly enroll in occupational skills training and high school. Identify the provider(s) and the circumstances under which occupational skills training will be accessed, and outline plans for coordinating the provision of occupational skills training by outside providers, i.e., local technical colleges. If the proposer intends to directly provide occupational skills training, a curriculum must be provided, along with other details of the training.
6. Leadership Development Opportunities - Describe any leadership development opportunities to be provided, including involvement in community service projects, school projects, and clubs with civic responsibility. Leadership development opportunities are rather limited in Southeast Georgia, so innovative leadership ideas are encouraged.
7. Supportive Services – May include the services listed in §664.440;
 - a. Linkages to community services;
 - b. Assistance with transportation;
 - c. Assistance with child care and dependent care;
 - d. Assistance with housing;
 - e. Referrals to medical services; and
 - f. Assistance with uniforms or other appropriate work attire and work-related tools, including such items as eye glasses and protective eye gear.
8. Mentoring - Mentoring must last a minimum of 12 months. Also, this service might be provided during program participation and follow-up (see #9 below). If mentoring is to be provided, explain how it will be accomplished, mentor recruitment procedures, plans to match mentors with youth participants, planned mentoring activities, etc.
9. Follow-up Services - In accordance with the Workforce Investment Act, follow-up services must be provided for a minimum of twelve months after a participant exits the

program. Therefore, follow-up services must be provided for twelve months or until the end of the contract period, whichever is sooner. Depending upon the needs of the individual participant, follow-up services are likely to include one or more of the other nine program elements including mentoring, guidance and counseling, and leadership development. The proposal should include details of plans for follow-up.

10. Guidance and Counseling - Guidance and counseling is required for every youth participant from the time of registration through the completion of follow-up. The connotation of guidance and counseling in this instance is not clinical therapy. Youth that require or request professional help for a mental, behavioral, substance abuse, or other problem must be referred to an appropriate, licensed, individual or partner agency. In this context, guidance and counseling means establishing a dialogue, giving suggestions and information to aid the youth in decision making and planning for the future, discussing problems and resolutions, goal setting, and other things of this nature in the course of identifying and meeting the needs of the individual. Guidance and counseling will most likely be provided by the staff of the service provider(s) but may sometimes be shared with partner agencies.

Proposers should outline details regarding the specific program elements they intend to provide directly, as well as how they plan to coordinate the provision of any remaining elements. For instance, a proposer may not plan to provide mentoring activities directly, but will utilize the services of a partnering agency or organization to ensure that mentoring is available, when appropriate. Evidence of this type of partnership should be documented in the proposal.

I. INCENTIVE PAYMENTS

In addition to support payments, incentive payments for recognition of achievements, attaining goals, or reaching benchmarks in a customer service plan are allowed (Sec.129 of WIA). If the service provider plans to offer incentive payments, written policy and procedures must be submitted with the proposal.

J. FUNDING AVAILABILITY AND LENGTH OF PROJECT

Total funding available is approximately \$100,000. Funding must cover operational costs and participant costs associated with the successful completion of a high school diploma, i. e., instructor costs, training materials and participant support. Contracts as a result of this RFP process may be funded through June 30, 2013 with possible extensions.

A bidder's conference will be held at the Waycross office of the Southern Georgia Regional Commission, 1725 South Georgia Parkway, West, Waycross, Georgia 31503 on Friday, January 20, 2012 at 10:00 a.m. Please register by calling Camie Boatright at (912) 285-6097 or by email at crboatright@sgrc.us.

Proposal Review

Two levels of review will be conducted. First, proposals will be reviewed to determine responsiveness. The following criteria must be met for a proposal to be considered responsive:

- Proposal must be received by the deadline
- Proposal must be in the required format (pages xx-xx)
- Seven copies (original and six copies) must be submitted

Second, responsive proposals will be evaluated for competitiveness. A committee will conduct individual reviews and score proposals using the Review Criteria form provided in this RFP package, (Page 29). A total score of 65 or higher on the Review Criteria and the Past Performance Evaluation combined is necessary for a proposal to be deemed competitive. The WIB will only consider competitive proposals (those scoring above 65); however, proposals with the highest score may not necessarily be selected.

Proposal Submission

Seven (7) copies, one with original signature(s) must be submitted. Proposals are due by 2:00 pm on Wednesday, February 29, 2012. Proposals must be officially received at the Southern Georgia Regional Commission office, 1725 South Georgia Parkway, West, Waycross, Georgia 31503. Proposals must be mailed or hand delivered to the SGRC. Proposals received via fax or email will not be considered.

Contact Person

Clarifying questions about this package and the RFP process may be directed to Camie Boatright, Program Assistant, Southeast Georgia RC, 1725 South Georgia Parkway, West, Waycross, Georgia 31503, and (912) 285-6097 or by email at crboatright@sgrc.us.

II. GUIDELINES FOR SERVICE DELIVERY

The purpose of this Request for Proposal (RFP) package is to solicit proposals to provide services under the guidelines of the Workforce Investment Act (WIA) of 1998. The Southern Georgia Regional Commission (SGRC), as administrative entity for the Southeast Georgia Workforce Investment Board (WIB), requests proposals to operate a program to assist WIA-eligible high school seniors, ages 17-21, to obtain a high school diploma.

1. Recruitment of applicants; determination of eligibility; verification of core and intensive services, registration in the GWS, documentation of all applicable information in the GWS, assessments to determine suitable training occupations, career guidance and counseling, implementation and ongoing update of the Customer Service Plan, case management, and class-size training instruction;
2. Assessing participant's progress during the training to assure participant success;
3. Maintain and report financial data, including payments to participants on a bi-monthly basis, documentation of participant attendance in training, documentation of expenditures, recording data in books of account, etc.;
4. Complete other tasks associated with program operation, such as personnel management, etc.; and
5. Follow-up services, as applicable, for not less than 12 months.

A. ASSESSMENT AND CUSTOMER SERVICE PLAN DEVELOPMENT

A comprehensive assessment, along with the development of a customer service plan, is required for each customer served in the program. The academic levels, skill levels, and service needs of each participant must be evaluated during the assessment process. The

assessment shall include a review of basic skills, prior work experience, occupational skills and interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs (WIA Section 129(c)(1)(A)). However, if a recent assessment (or partial assessment) has been conducted prior to registration, applicable portions of the prior assessment should be utilized to prevent duplication.

Within 30 days of registration, it is mandatory that participant's be assessed to determine reading and math levels, or basic skills levels. Service provider staff will conduct assessment. SGRC staff will provide training regarding assessment. The tests may be administered during group sessions or on an individual basis. Again, if comparable tests have been recently administered, results of the comparable tests are acceptable

Based on the assessment outcomes, the case manager/service coordinator and the participant will work together to develop a customer service plan to serve as a management tool to guide, track, and document the participant's progress in attaining goals. Topics of discussion will include test results, employment goals, training options (WIA and non-WIA), and the participant's family/support network.

B. SERVICE PROVIDER/STAFF DUTIES

Proposals must specify staff positions to be included in the program and outline the duties and qualifications of proposed staff members. At a minimum, each provider must have on staff one individual who will determine eligibility, provide comprehensive assessments, counseling, job development, placement services, and post-employment services, when applicable. The individual(s) should have a high school diploma, possess excellent oral and written skills, and possess two years experience working directly with the public. The individual will be responsible for entry of participant data into the on-line GWS. He/she will also document all pertinent information, including attendance, in participant files. He/she must provide follow-up services for twelve months after a participant is placed in unsubsidized employment or until the end of the contract period, whichever is sooner. He/she will be responsible for collecting, compiling, and reporting requested performance data. He/she must possess the ability to collaborate and coordinate services with numerous partner agency representatives and to communicate with individuals from a variety of ethnic, cultural, and socioeconomic backgrounds.

C. PARTICIPANT TRACKING IN THE GEORGIA WORKFORCE SYSTEM

The service provider is responsible for the correct completion and entry of online GWS forms to record eligibility, registration, assessment results, exit, and follow-up information. Also, the GWS will be utilized to record case management notes and to document the provision of services. Staff of the SGRC will provide GWS training for service provider staff.

D. REFERRALS

Applicants and participants must be referred to appropriate services. Referrals and the result of the referrals must be documented.

E. PROGRAM ACTIVITIES

1. Case Management/Service Coordination/Counseling

Whenever possible, a single individual should provide case management throughout a participant's WIA participation period. Case management (or service coordination) is the

planning, coordination, and monitoring of the steps needed for an individual to reach the desired goals stated in the Customer Service Plan. The case manager must contact participants *at least once per month* to provide counseling or other services, if needed, and to document progress and/or assist with problems. More frequent contacts are recommended. Follow-up services must be made available for twelve months after a participant is placed in unsubsidized employment or until the end of the contract period, whichever is sooner. Case management notes regarding contacts and counseling must be consistently documented in the GWS and in the customer file.

2. Job Development/Job Placement

Service provider staff will assist with job development and placement. However, to prevent excessive contacts with employers, staff will coordinate all efforts related to job development and placement with staff of the local DOL career center and placement personnel at local technical colleges. The service provider will work with career center staff and one-stop partners to establish and maintain relations with area employers and facilitate the location of suitable employment sites. Issues such as hours, wages, budgeting, satisfaction, and potential for advancement will be taken into consideration.

3. Post-Secondary Transition/Assistance

Service provider staff will assist with the youth's potential transition to post-secondary education. Participants should be encouraged to obtain occupational skills training following high school graduation or, if appropriate, jointly enroll in occupational skills training and high school. Identify the provider(s) and the circumstances under which occupational skills training will be accessed, and outline plans for coordinating the provision of occupational skills training by outside providers, i.e., local technical colleges. If the proposer intends to directly provide occupational skills training, a curriculum must be provided, along with other details of the training.

4. Assessment and Customer Service Plan Development

A comprehensive assessment, along with the development of a customer service plan, is required for each customer served. The academic levels, skill levels, and service needs of each participant must be evaluated during the assessment process. The assessment shall include a review of basic skills, prior work experience, occupational skills and interests, aptitudes (including interests and aptitudes for nontraditional jobs), supportive service needs, and developmental needs (WIA Section 129(c)(1)(A)). However, if a recent assessment (or partial assessment) has been conducted prior to registration, applicable portions of the prior assessment should be utilized to prevent duplication.

Within 30 days of the date of participation, it is mandatory that youth be assessed to determine reading and math levels, or basic skills levels. The TABE may be administered to determine reading and math levels. Level 2 of the Career Decision Making System, Revised (CDM) may be used to identify interests, abilities, and values. The Career Ability Placement Survey (CAPS) will be administered to identify aptitudes. The tests may be administered during group sessions or on an individual basis. Again, if comparable tests have been recently administered, results of the comparable tests are acceptable. Requests to routinely use other testing instruments to assess reading and math levels, interests, and aptitudes will

be given consideration. However, the SGRC will stock the TABE, CDM, and CAPS and furnish these testing instruments at no cost to the contractor.

During assessment and the development of the Customer Service Plan, staff of the service provider will conduct a one-on-one, face-to-face interview with the participant. Topics of discussion will include test results, employment goals, training options (WIA and non-WIA), and the participant's family/support network.

Based on the assessment outcomes, the case manager/service coordinator, and the participant will work together to develop a plan to serve as a management tool to guide, track, and document the participant's progress in attaining educational and career goals.

5. Service Provider/Staff Duties

Proposals must specify staff positions to be included in the program and outline the duties and qualifications of proposed staff members. At a minimum, each provider must have on staff one individual who will determine eligibility, provide comprehensive assessments, counseling, service coordination, job development, placement services, and post-employment services, when applicable. The individual(s) should have a high school diploma, possess excellent oral and written skills, and possess two years' experience working directly with the public. The individual will be responsible for entry of participant data into the on-line Georgia Workforce System (GWS). He/she will also document all pertinent information, including attendance, in participant files. He/she must provide follow-up services for twelve months after a participant is placed in unsubsidized employment or until the end of the contract period, whichever is sooner. He/she will be responsible for collecting, compiling, and reporting requested performance data. He/she must possess the ability to collaborate and coordinate services with numerous partner agency representatives and to communicate with individuals from a variety of ethnic, cultural, and socioeconomic backgrounds. The case manager must develop a rapport with local technical and community college personnel in order to fulfill the contract responsibilities.

6. Participant Tracking in the Georgia Workforce System (GWS)

The service provider is responsible for the correct completion and entry of online Georgia Workforce System (GWS) forms to record eligibility, participation, and assessment results. Also, the GWS will be utilized to record case management notes and track the provision of services. Staff of the SGRC will provide GWS training for service provider staff.

7. Referrals

Customers should be referred to any agency, organization, employer, etc. that offers a service needed by an individual. All referrals must be documented.

III. GENERAL REQUIREMENTS FOR PROPOSERS

This section includes the requirements for proposers and contractors. Proposers should read it carefully before developing a proposal.

A. FUNDING

A proposal funded under this Request for Proposal package will be funded under provisions of the Workforce Investment Act, Public Law 105-220. Funding is contingent upon the

availability of WIA funds. Proposers must comply with requirements of Public Law 105-220, the Workforce Investment Act (WIA), as amended, USDOL Regulations 20 CFR Parts 626-631 and 637, and 29 CFR, OMB Circulars A-87, A-21, A-102, A-122, A-110, and/or A-133.

The Workforce Investment Board (WIB) reserves the right to fund proposals under funding sources (if available) other than the sources identified in this Request for Proposal package.

B. CODE OF CONDUCT

The proposer shall avoid conflicts of interest, real or apparent, and shall adhere to the following code of conduct. Proposers found violating this code of conduct will not be funded. No officer, employee, or agent of the proposer shall:

- 1) Solicit or accept gratuities, favors, or anything of monetary value from suppliers or potential suppliers, including subcontractors under recipient contractor; or
- 2) Participate in the selection, award, or administration of a procurement supported by WIA funds where, to the individual's knowledge, any of the following has a financial or other substantive interest in any organization which may be considered for award:
 - a. the officer, employee, or agent;
 - b. any member of his or her immediate family;
 - c. his or her partner; or
 - d. a person or organization, which employs, or is about to employ, any of the above.

C. FINANCIAL REQUIREMENTS

Proposers must complete Appendix A, Statement of Financial Capability, and submit it with the proposal. The proposer who is awarded a contract must maintain financial records in accordance with generally accepted governmental accounting principles and all applicable Federal and State laws and regulations. All accounting records must be fully supported by appropriate documentation; such as invoices, purchase orders, etc. An adequate internal control structure must exist within the organization. Upon submission of a proposal, the proposer accepts responsibility for establishing and maintaining an internal control structure that will provide assurance that assets are safeguarded against loss from unauthorized use or disposition, that transactions are executed in accordance with management's authorization and recorded properly to permit preparation of financial statements in accordance with generally accepted governmental accounting principles, and that federal financial assistance programs are managed in compliance with applicable laws and regulations.

Proposers must demonstrate the ability to repay disallowed costs. Proposers must provide assurance that all financial personnel are bonded. Resumes/qualifications of all financial and accounting personnel must be submitted with the proposal. Financial resources and capacity must be fully explained in the proposal. A pre-award survey of new contractors will be conducted prior to the execution of a contract.

D. AUDIT

One copy of the proposer's most recent audit must be attached to the proposal with an original signature. It is not necessary to attach a copy of the audit to each copy of the proposal. Prior to contract negotiation, SGRC staff and/or the SGRC's auditor will review the audit. If your organization is not required (by its current funding source or the Single Audit

Act) to have an audit, please submit a compilation report on the organization's financial statement. The compilation report must be prepared by a certified public accountant and must be completed for the most recently completed fiscal year.

Any proposer that is awarded a contract and expends more than \$500,000 must submit, within 90 days of the close of its fiscal year, an audit in compliance with OMB Circular A-133. This includes commercial (private-for-profit) organizations. WIA regulations 20 CFR 667.200(b) (2) (ii) require that commercial organizations that expend more than \$500,000 threshold of OMB Circular A-133 conduct either an organization-wide or a program-specific audit. The cost for the audit may be included in the proposal budget.

Local educational agencies and state agencies must submit the audit upon completion by the Department of Audits.

E. PROGRAM INCOME

Program income earned on any contract must be used to further program objectives only. Program income is defined as income received by the service provider directly generated by an activity or earned only as a result of the contract. Such earnings include fees from services performed or from conferences, sale of commodities or items fabricated, income from the use or rental of real or personal property acquired with grant funds, revenues earned by a governmental or private non-profit contractor in excess of actual costs incurred in providing services, and interest income.

The service provider must account for program income and report this income to the SGRC monthly. The service provider may retain the program income, provided it is used only for purposes that are authorized under the contract. If contractors cannot use the program income as described above, it must be paid to the SGRC with the submission of the closeout invoice.

F. INVOICES AND PAYMENT

The proposer who is awarded a contract will submit a monthly invoice to the SGRC to collect funds earned against the contract. The SGRC will provide the invoice form. The invoice is due by the 10th calendar day of the following month. If no errors are found on the invoice, the contractor should expect to receive a check by the end of the month. A final invoice is due to the SGRC no later than 15 calendar days after the end of the contract period.

G. ASSURANCES, CERTIFICATIONS, AND INDEMNIFICATION

The proposer who is awarded a contract must sign a standard contract document. The document specifically outlines federal laws and regulations along with the responsibilities of the service provider. Proposers may request a sample copy for review. Any proposed changes must be submitted with the proposal.

H. NONDISCRIMINATION AND EQUAL EMPLOYMENT OPPORTUNITIES

Service providers shall comply with the Civil Rights Act of 1964 and its amendments which state that no person in the United States shall, on the grounds of race, color, religion, gender, national origin, age, handicap or political affiliation or belief be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity from which the recipient receives federal financial assistance.

I. PREVENTION OF FRAUD/MISAPPLICATION OF FUNDS/GROSS MISMANAGEMENT

To ensure the integrity of WIA programs, special efforts are necessary to prevent fraud and other program abuses. Fraud includes, but is not limited to, indications of bribery, forgery, extortion, embezzlement, theft of participant checks, kickbacks from participants or employers, intentional payments to a contractor without the expectation of receiving services, payments to "ghost participants," etc.

Misapplication of funds includes, but is not limited to, ineligible enrollees, conflict of interest, nepotism, use of participants for political activities, etc. Gross mismanagement includes, but is not limited to, situations arising from management ineptitude or oversight which leads to major violations of contract provisions, etc., which includes unsupported costs, payroll discrepancies, lack of internal control procedures, unsuitable records, highly inaccurate fiscal and/or program reports, etc. Proposers found violating abuse standards will not be funded. Proposers awarded contracts will be required to immediately report any violations in these areas or in problem areas that may be defined later. If service providers violate these abuse standards, the SGRC may cancel the contract.

J. OUTREACH, RECRUITMENT, ELIGIBILITY DETERMINATION, AND ASSESSMENT OF PARTICIPANTS

Service providers will be responsible for outreach, recruitment, eligibility determination, and assessment of participants, where applicable. Eligibility determination shall be in compliance with the WIA and the Southeast Georgia area's local policies and procedures.

K. SELECTION OF PARTICIPANTS

Operating within the parameters of WIA eligibility requirements and local policies and procedures, the service provider will be responsible for the selection of participants.

L. PAYMENTS TO PARTICIPANTS

Service providers are responsible for preparation of checks for payments to participants. The amount and type of payments to participants will vary depending upon the program activities selected and the proposer's planned program design.

M. GEORGIA WORKFORCE SYSTEM (GWS) AND PARTICIPANT OBLIGATIONS TRACKING

Service providers will be responsible for entering data into the statewide online GWS. Service providers are responsible for collecting, verifying, and transmitting timely, accurate, and complete data including application information, registration information, customer service plan, program/activity changes, case management notes, and exit information. Statewide online forms will be utilized.

N. MONITORING AND EVALUATION

The SGRC staff will monitor and evaluate programs and activities throughout the contract period. A minimum of one on-site visit will occur during the contract period. Monitoring visits may be scheduled in advance or may be unannounced. Service providers must allow SGRC staff full access to all files and records relating to WIA programs. The SGRC will send written reports to service providers identifying areas reviewed, summary of findings, recommendations, and required corrective actions. Service providers must develop corrective action plans and respond in writing to required corrective actions.

O. INTERNAL MONITORING

Service providers must periodically monitor all of their activities. Programmatic, performance, financial, and compliance monitoring must be completed and documented. Proposers must explain their monitoring plans, including how, when, and who will monitor WIA activities in their organization.

P. RETENTION OF RECORDS

Service providers shall maintain copies of all financial records, including cancelled checks, invoices, purchase orders, payroll register, books of account, and any other financial record. Appropriate records of a client's participation in a WIA program, including verification of eligibility, referral information, etc. must be maintained. Service providers shall retain such records for a period of six (6) years from the end of the contract and/or the end of the program year in which the participant exited.

The service provider may give participant records to the SGRC for storage at the end of the contract period. In the event of litigation or audit involving any records relative to the contract, the service provider will retain the records until resolution of the audit or litigation.

Q. TYPE OF CONTRACT

Cost reimbursable contracts are requested. In a cost reimbursable contract, the service provider is reimbursed for the actual costs incurred in operating the program if those costs are consistent with the approved budget, which is incorporated into the contract.

R. SUBCONTRACTS

If a proposer anticipates using subcontractors to provide any service proposed, the proposal must clearly identify those subcontractors, their specific responsibilities, and the planned budget.

S. FIDELITY BOND INSURANCE

A copy of the proposer's fidelity bond must be submitted with the proposal. Proposers must ensure that every officer, director, agent or employee authorized to act on its behalf in receiving or depositing funds into program accounts or in issuing financial documents, checks, or other instruments of payment for program costs is bonded to provide protection against loss. Bond coverage shall be for \$50,000 or fifteen (15) percent of the contract amount whichever is greater, and must be maintained during the life of the contract.

T. TRAINING SESSIONS AND MEETINGS

The SGRC holds training sessions and meetings periodically. In addition to providing training, these meetings are to disseminate information, facilitate coordination among service providers, and obtain input from service provider staff about WIA programs in the local area. At least one staff member representing each service provider must attend these meetings.

U. APPEAL PROCEDURES

Proposers who wish to appeal the final funding decision may do so. Proposers must document specific factors (e.g., conflict of interest, nepotism), which put the aggrieved proposer at a competitive disadvantage and/or document violations of specific section(s) of the Act. Proposers may not appeal simply because they believe their program to be superior to the one selected. The Southeast Georgia WIB reserves the right to refuse to consider any appeal that does not identify specific procedural shortcomings.

V. DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION

Proposers must complete and include Appendix B, Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion, in each proposal submitted to the SGRC.

W. LOBBYING

Proposers must complete and include Appendix C, Certification Regarding Lobbying, in each proposal submitted to the SGRC.

X. NON-DUPLICATION OF SERVICES

Funds provided under the Workforce Investment Act shall not be used to duplicate facilities or services available in the area (with or without reimbursement) from Federal, State, or local sources, unless it is demonstrated that alternative services or facilities would be more effective or more likely to achieve the local area's performance goals.

IV. SUBMISSION REQUIREMENTS FOR RFP #15

ELIGIBLE CONTRACTORS

Local boards of education, technical institutes, community-based organizations, faith-based organizations, institutions of higher learning, community action agencies, private-for-profit companies, private non-profit companies, state agencies, and governmental agencies are eligible applicants.

DUE DATE

Proposals responding to this WIA Request for Proposal package #15 are due by 2:00 pm, **Wednesday, February 29, 2012**. Proposals must be officially received at the Southern Georgia Regional Commission, 1725 South Georgia Parkway, West, Waycross, Georgia 31503. **Proposals must be mailed or hand delivered to the SGRC. Proposals received via fax or email will not be considered.**

Proposals received after the deadline will be determined non-responsive and will not be considered for funding. (Proposals delivered at 2:01 p.m. on the deadline date will be determined non-responsive.)

NUMBER OF COPIES

Seven (7) copies, one with original signature(s), must be submitted. ***If this requirement is not met, the proposal will be determined non-responsive and will not be considered for funding.***

PROPOSAL FORMAT

The proposal must be in the following format. ***If this requirement is not met, the proposal will be determined non-responsive and will not be considered for funding.***

A. Proposal Cover Sheet

The first page of the proposal must be the Proposal Cover Sheet (see page 23 of this package). An official legally authorized to act on behalf of the proposing agency must sign the Proposal Cover Sheet. The signature of this individual will serve as certification that the cost data contained in the proposal is accurate and complete.

B. Project Narrative

The project narrative section should be limited to two pages and should be double-spaced using a font size of 12. In narrative form, summarize and describe the project in general terms.

C. Services/Activities to be Provided

The proposal must explain the following services/activities and how service delivery will be accomplished. Specify when the service/activity will occur, how it will occur, where it will occur, who is responsible, and any other information that will clearly explain the services and activities to be provided.

1. Outreach and Recruitment
2. Case Management/ Service Coordination/ Counseling
3. Job Development/Job Placement
4. Assessment and Customer Service Plan Development
5. Service Provider/Staff Duties (including data entry into GWS)
6. Participant Contact
7. Referrals

D. Performance and Outcomes

Identify planned performance for the program.

E. Program Management

1. Give a *brief* history and background of your organization. Include the purpose of your agency and the number of years of educational or job training experience.
2. Identify the job titles and required qualifications for staff that will be working in any aspect of the program. Attach job descriptions and the approximate number of hours annually to be spent each week in WIA activities.
3. Explain in detail your monitoring procedures. Include those responsible for monitoring; explain which activities they will monitor, and explain when monitoring will occur. Discuss how your monitoring will ensure compliance with WIA, Federal Regulations, and the contract. Include your agency's Equal Opportunity policy.
4. Provide a summary of your organization's past performance in the provision of similar/related services. Explain the type of service or program that was provided. List the name of the contracting agency, the dates of the contract(s), the amount of contracted funds, and the amount of expended funds. Describe the targeted population. Outline performance outcomes pertinent to the program described (i.e., number served vs. number planned to be served, completion rate, entered employment rate, retention rate, GED attainment rate, etc.). Provide the name and title of a reference with the ability to verify the past performance information. Furnish contact information for the reference, including an address and phone number.

5. Identify local office locations and provide telephone numbers. Identify the planned location of participant files during the contract period and after the contract ending date.
6. Identify any subcontractors to be used, the service(s) they will perform, and the cost for such services.

F. Financial Management

1. Complete Appendix A – Statement of Financial Capability and attach to the proposal.
2. Provide information about your financial resources. Provide the qualifications and technical skills of your financial staff.
3. Describe your financial management system, internal controls, and provisions for audit and record retention. Include your accounting procedures, type of accounting system used, and fiscal year. Identify where financial records will be maintained and who (by title) will prepare financial invoices for submission to the SGRC. Furnish business references. Include any other information that will clearly describe fiscal accountability and capacity. Include the name, address, and telephone number of the bank that will handle the program's account.
4. Fully explain any indirect rate, cost pools, and cost allocation plans.
5. Submit a list of owners, members of Board of Directors, and other officers of the corporation or organization.
6. Attach a copy of your fidelity bond and a copy of your most recent audit. It is not necessary to attach a copy of the audit to copies of the proposal. **Only one copy of the audit is needed, which should be attached to the proposal with the original signature.** If your organization is not required (by its current funding source or the Single Audit Act) to have an audit, please submit a compilation report on the organization's financial statement. The compilation report must be prepared by a certified public accountant and must be completed for the most recently completed fiscal year.
7. Attach a copy of your business license.
8. Briefly explain your procurement practices or attach a copy of your written procurement procedures if funds will be used to purchase goods and/or services.
9. Complete and include the applicable budget forms (pages 24-28) of this RFP.

G. Coordination/Linkages/Collaboration

Describe coordination arrangements with partner agencies and/or other agencies that will assist with this project. Describe how the program will interact with one-stop

partners identified in the Workforce Investment Act. Include any individuals, by title, to be involved with coordinating this program to ensure success.

Other appropriate linkages that will enhance the provision of services should be established and explained. Such linkages are highly encouraged and may be established with local technical colleges, business and labor organizations, volunteer groups, and other training, education, employment, and social service programs.

The Workforce Investment Act stresses the development of a genuine local workforce development *system*. Hence, strong proposals will give careful attention to the accomplishment of the goals of coordination, no duplication, maximization of resources, and seamless service delivery. Letters of support may be attached.

H. Certification Regarding Debarment

Complete the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions form (Appendix B of the RFP) and attach to the proposal.

I. Certification Regarding Lobbying

Complete the Certification Regarding Lobbying form (Appendix C of the RFP) and attach to the proposal.

J. Sub-Contractor Affidavit

Complete the Sub-Subcontractor Affidavit form (Appendix D of the RFP) and attach to this proposal.

PROPOSAL COVER SHEET

In-School Youth Program

Contract Period July 1, 2012 through June 30, 2013

Southeast Georgia Workforce Investment Board

Proposing Agency:

Mailing Address:

Contact Person: _____ Title: _____

Telephone: _____ Fax: _____ E-mail: _____

Check all that apply:

_____ Minority owned

_____ Female owned

_____ Less than 500 employees

ACCEPTANCE OF THE CONDITIONS OF THE REQUEST FOR PROPOSAL PACKAGE

(Agency name) _____ does hereby accept all the terms of the Request for Proposal Package and I certify that to the best of my knowledge and belief, the cost data in this proposal are accurate, complete, and current.

Typed or Printed Name of Authorized Person: _____

Signature of Authorized Person: _____ Date: _____

BUDGET SUMMARY

<i>Line Item</i>	<i>Total Cost</i>
Salary	
Fringe	
Travel	
Office Supplies	
Telephone	
Postage	
Rent*	
Utilities*	
Bond	
Audit	
Copying	
Indirect	
Advertising	
Participant Materials	
Incentives	
Other (Identify)	
Other (Identify)	
Other (Identify)	

NOTE: Complete pages 25-28 to explain costs on this budget page.

PERSONNEL SUMMARY

Position Title	Hourly Wage	Hours Charged to This Project	Total Amount Charged	Will this person charge time to another fund source?
TOTAL (Enter on salary line item on Budget Summary)				

FRINGE BENEFITS

Benefit	Salary Base	%	Amount Charge To Contract
FICA/Medicare			
Worker's Comp.			
Health Insurance			
Retirement			
U. I.			
Life Insurance			
Other (Identify)			
TOTAL (Enter on fringe line item on Budget Summary)			

TRAVEL

Mileage	Amount Charged to Contract
___ Miles x ___ Per Mile	
Lodging and Meals	
___ Nights x ___ Per Night	
___ Per Diem x ___ Days	
TOTAL	

PARTICIPANT PAYMENTS

Participant Payments	Amount	X # of Weeks	x # of Participants	Total
Training Costs Payments				
Support Payments				
Other (Identify)				
TOTAL				
(Enter on participant payments line item on Budget Summary)				

OTHER COSTS EXPLANATION

Explain how the amounts for line items were determined. Explain allocations, if applicable. Use additional sheets if necessary.

Office Supplies: _____

Telephone: _____

Postage: _____

Rent: _____

Utilities: _____

Bond: _____

Audit: _____

Copying: _____

Indirect: _____

Advertising: _____

Other (Identify): _____

Other (Identify): _____

Other (Identify): _____

Other (Identify): _____

REVIEW CRITERIA

Proposer Name: _____ Program: _____

Proposal # _____ Total Score _____

Financial Management Criteria

_____ X 4 = _____

1. Did the proposer include all the requested financial management/budget information?
2. Does the proposer have adequate financial resources?
3. Does the proposer have acceptable internal controls?
4. Was the budget information mathematically correct?
5. Will the accounting system and procedures adequately account for and report financial data?

Program Management Criteria

_____ X 4 = _____

1. Does the proposer have a history of providing employment and training services?
2. Did the proposer include all the requested program management information?
3. Does/will the staff have the necessary qualifications?
4. Do the monitoring procedures ensure that the activities and services will be in compliance with WIA and the contract?
5. Will the proposer have an office in the Southeast Georgia area?

Performance Criteria

_____ X 5 = _____

1. Does the proposer have sufficient educational and job training experience?
2. Was the requested past performance information provided?
3. Does the proposer's past performance indicate the capacity to perform the activities and services described in the proposal?
4. Is the proposed performance equal to or greater than the performance requested in the RFP?
5. Will the activities/services described in the proposal lead to achievement of the required performance measures?

Program Design Criteria

_____ X 4 = _____

1. Did the proposer clearly and completely describe the program design?
2. Were the planned services thoroughly explained?
3. Were the planned training activities thoroughly explained?
4. Did the program design include a combination of services/activities?
5. Did it appear that a needed service or training activity was not included in the program design?

Cost Criteria

_____ X 3 = _____

1. Does the cost seem reasonable?
2. Does the cost per participant compare favorably to other similar proposals?
3. Could the services/activities be provided at the cost proposed?
4. Does the proposed cost seem adequate for the number of individuals to be served?
5. Does any line item in the budget seem unusually high?

**Past Performance Evaluation
for
Contractors with the SGRC**

Proposer Name: _____ Points _____

Type of Contract with SGRC: _____

Contract Period(s): _____

1. Did the contractor meet the planned performance, i.e. number of enrollments, number of placements, number of certificates, etc.? _____ If no, explain:

2. Did the contractor determine eligibility appropriately? If no, explain: _____

3. Did the contractor report data timely and accurately in the data collection system? _____ If no, explain: _____

4. Did the contractor submit accurate invoices by the due date? _____ If no, explain: _____

5. Did the contractor meet the required expenditure level? _____ If no, explain:

6. Did the contractor submit an audit report timely and within the guidelines of the contract/agreement? _____ If no, explain: _____

7. Did the contractor resolve monitoring/auditing issues promptly? _____ If no, explain: _____

Note: Attach documentation as appropriate.

If a proposer has all "yes" answers, add 10 points.

If a proposer has two or more "no" answers without an acceptable explanation, subtract 10 points.

Signature: _____ Date: _____

STATEMENT OF FINANCIAL CAPABILITY

Proposer Name and Address: _____

Information in this statement must be completed by an independent certified public accountant or by the financial officer of the proposer if proposer is a state or local educational agency.

A. The proposer is a corporation: Yes: ____ No: ____
If yes, corporations and their affiliates must be listed and properly registered with the Secretary of State's office.
A copy of the registration certification is attached: Yes: ____ No: ____
If no, please explain: _____

B. Proposer is licensed in the county or city in which they are doing business:
Yes: ____ No: ____
A copy of the license is attached: Yes: ____ No: ____ (not applicable for state or local educational agencies).
Explain if proposer does not have license attached: _____

C. Proposer has a current fidelity bond and a copy is attached: Yes: ____ No: ____
Explain if proposer does not have a current fidelity bond attached: _____

D. Financial Condition as of the end of most recent fiscal year.

1.	Cash	\$	_____
2.	Current Assets	\$	_____
3.	Current Liabilities	\$	_____
4.	Net Working Capital	\$	_____ (number 1 + 2 - 3 = 4)

E. The proposer's Fiscal Year end is _____, 20____.

F. Workmen's Compensation Current? Yes: ____ No: ____

Name of Carrier: _____

Policy Number: _____

Period Covered by Policy: _____

Address of Carrier: _____

G. Has OSHA placed a fine on proposer (civil or criminal) in the past 24 months?
Yes: ____ No: ____ if yes, explain: _____

H. Are Federal, State and Unemployment Taxes Paid and Current: Yes: ____ No: ____

Federal Employer Identification Number: _____

Georgia Unemployment Insurance Number: _____

Georgia Withholding Tax Number: _____

In the past five (5) years, has the proposer had any Federal or State Tax levies?
Yes: ____ No: ____ if yes, describe the nature, circumstance of the levy, county filed,
and the date paid/resolved.

I. Circle the appropriate answer(s) to indicate the financial arrangements that are available to facilitate performance during initial phases of the contract.

1. Own Resources Yes: ____ No: ____

2. Bank Credit Yes: ____ No: ____

(If yes, name of bank and amount – include any Line of Credit):

(Name of Bank) (Amount of Credit)

3. Other Income Source Yes: ____ No: ____ (Specify source and amount)

(Source) (Amount)

(Source) (Amount)

J. The latest Audit statement was prepared on _____, 20____ and covers the period of _____, 20____, through _____, 20____. Name of auditor if audit conducted: _____.

(Please attach a copy of the most recent audit with proposal.) If the same CPA firm has audited company records for the past five (5) years, please check here _____. If a different CPA firm has audited during the past five (5) years then complete the information below:

First Year End	Firm Name and Address
_____	_____
_____	_____

If no audits have been performed in the past five (5) years then explain below. (If new organization, state the date the organization began business):

Information confirmed by: _____
(CPA Firm Representative or Financial Officer of Proposer)

K. Typed or printed name of individual authorized to act on behalf of agency:

_____	_____
Name	Title

Phone Number	

Signature of Authorized Person: _____
Signature Date

**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 ATTACHED
INSTRUCTIONS WHICH ARE AN INTEGRAL PART TO THE 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 any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Instructions for Certification

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds are 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 whom 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 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 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 of Nonprocurement 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/her knowledge and belief that:

- 1) No federal appropriated funds have been paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of a agency, a Member 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, 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 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 all sub awards at all tiers (including subcontracts, sub grants and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

Name of Proposer/Contractor Organization

Name of Certifying Officer

Signature of Certifying Officer

Date

*NOTE: "All" in the final rule is expected to be clarified to show that it applies to covered contract/grant transactions over \$100,000 (per OMB).

