

**Request for Proposals  
to provide Regional Operator Services  
to the South Central Region 8  
Workforce Board, Inc.  
RFP-8-5-RO**

**Release RFP  
September 15, 2014**

**Bidder Questions Deadline  
September 30, 2014**

**Proposal Submission Deadline  
October 20, 2014**

**Selection of Provider  
November 19, 2014**

**Contract Effective Date  
July 1, 2015**

**South Central Region 8 Workforce Board, Inc.  
C/O Carla Crowe  
3815 River Crossing Parkway, Suite 300  
Indianapolis, IN 46240  
carla.crowe@crowehorwath.com**

## **Background**

The South Central Region 8 Workforce Board, Inc. (WIB) is a registered 501(c)(3) not-for-profit corporation which has oversight of employment and training programs in the following eight counties: Brown, Daviess, Greene, Lawrence, Martin, Monroe, Orange and Owen. The WIB serves as a pass through entity providing employment and training programs in the Economic Growth Region 8 (Region 8) using a variety of state and federal grant resources, including those available through the Workforce Investment Act (WIA), and several other grants. The Workforce Innovation and Opportunity Act (WIOA) was signed into law on July 22, 2014 and will supersede the Workforce Investment Act of 1998.

The WIB is governed by a volunteer board that will initiate program directives and provide oversight and guidance on program operations. The Regional Operator (RO) shall serve as the administrative arm of the WIB. RO staff shall attend all board meetings, presenting performance data, any administrative concerns and new programs that fit into the WIB's strategic planning. The RO shall attend all state directed meetings. No Regional Operator staff person shall be a member of the WIB. Crowe Horwath, LLP serves as Fiscal Agent with full time staff and records located in Indianapolis, Indiana.

## **Purpose**

The purpose of this solicitation is to secure Regional Operator services for the Workforce Investment Board (WIB) of Region 8. The successful bidder will enter into negotiations for a two year contract with an optional one year extension at the discretion of the WIB. The WIB is soliciting bids for a single entity to provide regional operator services for Region 8, which consists of the following counties: Brown, Daviess, Greene, Lawrence, Martin, Monroe, Orange and Owen counties.

## **Funding**

The funding for these services will primarily come from Federal Workforce Innovation and Opportunity Act, which supersedes the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973. In general, WIOA takes effect on July 1, 2015, the first full program year after enactment, unless otherwise noted. The State Unified Plans and Common Performance Accountability provisions take effect July 1, 2016. The U.S. Department of Labor (DOL) will issue further guidance on the timeframes for implementation of these changes.

Attachment A shows program year 2014 WIA funding levels for Region 8. While funding can fluctuate, Attachment A provides a reasonable guideline for expected funding levels.

## **Contract Negotiations**

Successful respondents to this RFP will be expected to participate in contract negotiations to establish the exact services to be provided and the payment terms for those services. Costs and services will be negotiated based on information contained in this RFP and in the proposal(s) selected for contract negotiations.

## **Disclosure**

Respondents to this RFP should note that the contents of their response to this RFP or other information submitted to the WIB are subject to public release upon request, except those items specifically exempt from disclosure. All such proprietary or confidential material should be so marked.

## **Subcontracts**

Bidders may subcontract for all or part of the services to be provided, but the intentions to subcontract must clearly be stated in the response to this RFP. Any subcontracting not specifically specified in the proposal or in the contract must have WIB approval.

## **Proposal Format**

Proposals must be prepared and sequenced in accordance with the instructions outlined in this section. When completed, proposals are to be assembled in the following manner. All referenced attachments are included in this packet.

- Proposal Cover Page (Attachment B)
- Table of Contents
- Organizational Section –
  1. Organization Name
  2. Organization Address
  3. Organization Telephone Number(s)
  4. Contact Person
  5. Length of Time in Business
  6. Chief Executive Officer
  7. A Statement indicating the intent of the organization to provide services described in this RFP
  8. Legal Status of the Bidding Entity
  9. Mission or Purpose of the Organization
- Bidders Background & Experience
  1. Description of the Purpose of the Organization
  2. Description of the Management and Structure of the Organization
  3. A Listing of Similar Services Provided – Names and Contacts
  4. Brief Resumes for Key Personnel that will Provide the Services
  5. Copies of Monitoring Reports and Audit Reports for the Past Two Years for Similar Services
- Plan of Service
  1. Detail the Plan for Providing Regional Operator Services.
  2. Services Provided on Site versus Off-Site – Provide Details.
  3. Services Provided not Specifically Required in the RFP.
  4. Regional Operator Staff Availability – Full Time versus Part Time – Provide Details.
- Budget/Cost – Bids will be evaluated based on respondents' proposals to the RFP. Bidders must use the attached Budget Estimate Worksheet (Attachment E) to identify proposed costs.
- Non-Collusion Affidavit (Attachment C)

### **Exhibits**

1. Budget Narratives and Budget Detail pages
2. Bidder's Annual Report/Financial Statement
3. Resumes of the Key Staff to be Involved
4. Organizational Charts
5. Recent Audits and Monitoring Reports from Similar Initiatives

Each section and exhibits must be clearly labeled. Responses to this RFP must be typed on 8 1/2" by 11" paper with no less than one inch margins. The proposals must be no longer than 30 pages in length not counting the exhibits.

Starting after the cover page and the table of contents, number each page at the bottom center using the format "page x of x". The completed attachments B, C, and D from this RFP must be included with your proposal. The cover page, table of contents and these required attachments do not count as part of the maximum 30 pages. Submittals must include one original and three (3) copies. The original must have original signatures. An electronic version should also be submitted to the email provided.

### **Scope of Work**

The Workforce Investment Board for Region 8 is publishing this Request for Proposal (RFP) to seek responses for a Regional Operator in Region 8 which consists of the following counties: Brown, Daviess, Greene, Lawrence, Martin, Monroe, Orange and Owen counties. The selected respondent from among the proposals for funding will be Workforce Investment Board contractors.

- Indiana has currently been divided into eleven Regional Workforce Service areas. Each area has a Workforce Investment Board that will be responsible for the delivery of workforce services in that geographic region.
- The Regional Operator will provide support services for the Workforce Investment Board and will provide operational oversight and management for the WorkOne offices in the region.

Eligible grantees for the Regional Operator include:

- Private or public not-for-profit organizations, including faith-based or community- based organizations.
- Private or public for-profit organizations or entities.

The Regional Operator may not provide workforce development services in the region in which they are the Regional Operator. The Regional Operator may provide such services in the regions where it is not the Regional Operator.

### **Time of contract**

The period of the contract will be effective no later than July 1, 2015 through June 30, 2017. A one year extension may be granted by the Workforce Investment Board for exceptional performance.

## Key Dates

RFP Release	September 15, 2014
Q&A Deadline & Letter of Intent to Bid	September 30, 2014
Proposal Submission	October 20, 2014
Bidder Interviews	To be determined
Proposal Selection (Planned)	November 19, 2014
Contract Start (Planned)	July 1, 2015

All times shown are Eastern Standard Time (EST). The WIB reserves the right to adjust the schedule when it is in the best interest of the WIB or to extend any published deadline in this RFP upon notification to those who have requested an RFP.

Questions may be emailed regarding the RFP or proposal process to the Board's Contact. No phone calls will be accepted. No questions will be accepted after 3:00 PM (EST) on Monday, September 30, 2014. Answers to any questions will be posted by 3:00 PM (EST) on Friday, October 3, 2014, or as soon as possible, to the Board's website located at <http://www.southcentral8.org>. Therefore, bidders are encouraged to view the website frequently to ensure they are fully aware of the most current information. All answers issued in response to the bidder questions become part of the RFP and the RFP process.

It is requested that a Letter of Intent to Bid be received by the Board Contact at the address listed below on or before September 30, 2014. Said letter does not commit bidder to submit a proposal. The Letter of Intent should contain the company name, address, contact person, and contact information. The Letter of Intent can also be e-mailed to the Board Contact. All of the Letters of Intent to Bid will be kept confidential and will be released upon written request and only after a selection has been made for the Regional Operator.

Questions and Letters of Intent to Bid are to be addressed to the Board Contact:

South Central Region 8 Workforce Board, Inc. Fiscal Agent  
c/o Carla Crowe  
3815 River Crossing Parkway, Suite 300  
Indianapolis, IN 46240  
[carla.crowe@crowehorwath.com](mailto:carla.crowe@crowehorwath.com)

**Other than as specified above, all members of the South Central Region 8 Workforce Board, Inc. staff, authorized representatives, or agents of the Board are precluded from entertaining or responding to questions concerning this RFP or the procurement process.**

## **Regional Operator Responsibilities**

Regional Operator responsibilities include:

### **1. *Providing executive support services for the WIB and providing operational oversight and management for the WorkOne offices in the region.***

The WIB is an active, business-led, volunteer board that establishes policy and drives the region's strategy for workforce development. Regional Operator staff must provide proactive support to this board. Staff providing direct support functions to the RWIB must be approved by the WIB, and cannot be changed by the Regional Operator without the WIB's prior approval. The purpose and role of Regional Operator staff is to:

- a. Assist the WIB to think strategically regarding the development of a comprehensive workforce system and alignment of the workforce system with economic development and education;
- b. Assist the WIB to develop into a dynamic, cooperative, and positive team with the capacity to achieve established goals;
- c. Cultivate a climate that actively engages Regional Operator staff members as well as WIB members, so that value-added results are seen and individuals sense the benefits of participating;
- d. Assist the WIB in developing and using an industry cluster approach to workforce, education, and economic development policy and practice;
- e. Identify and use a local planning process that will produce both short and long-term plans, resulting in visible and efficacious results;
- f. Ensure that the WIB meets its responsibilities with respect to contracts in force (e.g. Business Consultant contract);
- g. Provide data-based performance reports to the WIB on a regular basis;
- h. Compile and publish data-based performance indicators in graphic form on a regular basis;and
- i. Assist the WIB in the development and execution of a regional-based outreach and marketing plan.

### **2. *Leading and managing the delivery of an integrated client services system in accordance with federal and state legislation and regulations, state policy, and the Indiana Strategic State Plan.***

### **3. *Ensure adherence of the system to state policies. Policies of the Indiana Department of Workforce Development may be found at <http://www.in.gov/dwd/2482.htm>.***

### **4. *Directing and coordinating the flow and delivery of services in each WorkOne Center located in the region, in accordance with state policies.***

- a. Perform duties identified for the One-Stop Operator in federal and state legislation, regulations, policies and procedures.
- b. Direct and coordinate the flow and delivery of services in each WorkOne located in the region in accordance with state policy. While the Regional Operator directs the flow and functionally supervises the staff, staff of the Regional Operator entity may NOT provide core, intensive or training services or other direct workforce services in the region where they are the Regional Operator, as provided in Indiana Code.
- c. Provide technical assistance to the workforce service providers in the WorkOne system, including the non-procured partners in the one-stop system.

- d. In collaboration with the WIB, determine which approved training providers are utilized to provide training programs within the Region. The state's eligible training provider policy may be found at [http://www.in.gov/dwd/files/DWD\\_Policy\\_2009-13.pdf](http://www.in.gov/dwd/files/DWD_Policy_2009-13.pdf).
  - e. Create a budget, cost allocation plan, and procurement policy for the WIB's approval, including budgeting for the work of the WIB.
  - f. Ensure compliance with the region's procurement policy, including execution of all contracts.
  - g. Provide participant reporting and data validation functions, in conjunction with the WIB.
  - h. Coordinate / Cooperate with the Region's Fiscal Agent concerning fiscal and financial reporting formats and processes.
5. ***Seeking additional funding sources and partnering opportunities*** that will enhance the region's ability to provide workforce development services. Staff will be expected to go beyond basic one-stop system oversight and continually look for ways to strategically grow jobs, employment and personal income in the Region. Staff must be able to form coalitions and partnerships to achieve these results.
6. ***Promoting the efforts of the WorkOne System and the Boards initiatives.***
- a. Develop strategy for keeping the Region in top quartile performance standards for all state regions or workforce service areas.
  - b. Receive, along with the WIB, technical assistance and support from the Indiana Department of Workforce Development.
  - c. Implement a plan to proactively recruit worker and employer participation in and utilization of the services provided within the workforce investment system.
  - d. Conduct robust outreach to regional employers to ascertain their needs, and ensure services provided within the Region reflect the employer feedback.
  - e. Work vigorously with regional employers to meet their recruitment and training needs.
  - f. Provide direct management and supervision to regional WorkOne business consultants, ensuring business consultants proactively engage regional employers and economic development organizations, and provide information, guidance, and superlative assistance of regional and state workforce development programs, including, but not limited to, on-the-job training.
  - g. Execute the WIB's outreach and marketing plan.
  - h. Develop RFPs for service providers, as necessary, and all other contractors in coordination with the Fiscal Agent and oversee the evaluation and selection process.

## Evaluation Process and Rating Criteria

There are 100 points available under this RFP.

The WIB may, at its sole discretion, waive minor errors or omissions in a Technical Proposal and/or a Cost Proposal when those errors do not unreasonably obscure the meaning of the content. Further, the WIB, where appropriate, reserves the right to request clarifications from bidder of any information in their proposals/forms, and may request such clarification as it deems necessary at any point in the proposal evaluation process.

The applicants' bids will be evaluated on 5 criteria each carrying a unique weighting:

	Possible points
• Experience of Bidding Organization and Staff	25
• Plan of Service	40
• Partnerships and Coordination	15
• Staffing Plan and Organization	10
• Budget and Financial Management	10

### Experience of Bidding Organization and Staff (25 Points)

The Regional Operator must have the requisite experience working in a workforce development, human services, education, economic development, or other similar setting in order to successfully perform the duties required by the WIB. Scoring of this criterion will be based on:

- Demonstrated previous experience directly managing, coordinating, overseeing, and/or developing workforce development, human services, education, or economic development programs;
- Demonstrated previous success in the management, coordination and/or oversight of workforce development, human services, education, or economic development programs;
- Demonstrated knowledge and understanding of state and regional policies and priorities for workforce investment programs;

### Plan of Service (40 points)

The Regional Operator must have a detailed plan for successfully completing the many duties of a Regional Operator, as outlined in this RFP. It is of key importance that the Regional Operator's plan strongly coheres to the goals and objectives established by the WIB within its local plan.

Scoring of this criterion will be based on the following:

- The efficacy, relevance, and quality of the bidder's responses to the requirements identified in Regional Operators Responsibilities section of this RFP.

### Partnerships and Coordination (15 points)

The Regional Operator serves a key role in serving as the partnership liaison for the WIB, and the primary facilitator and coordinator of regional workforce development, education, and economic development partnerships within The Region. Scoring of this criterion will be based on the following:

- Demonstrated knowledge and understanding of the required role of a "One-Stop" Operator;
- The efficacy and relevance of the bidder's plan and approach to promoting the need for life-long learning, educational attainment, and career aspirations within The Region; and;
- The efficacy of the bidder's approach towards providing the necessary outreach to employers within The Region.



#### Staffing Plan and Organization (10 points)

The Regional Operator will be providing executive staffing to the WIB and will be directing and coordinating the delivery of workforce services in the WorkOne Centers and Express sites located in the region. In order for the Regional Operator to be successful, it must organize its staff in order to maximize the quality of services it provides to the WIB and to the WorkOne system. Scoring of this criterion will be based on the following:

- Appropriate number of staff and organizational plan to achieve the required roles of a Regional Operator;
- Appropriate staff and/or organizational credentials and experience; and;
- Demonstrated understanding and vision for “seamless service delivery;” and;
- Quality of plan for managing communications and disseminating information to the WIB and Service Providers.

#### Budget and Financial Information (10 Points)

Specify the cost for the Region Operator services using the cost worksheet included in the document. Scoring of this criterion will be based on the following:

- Cost for the Regional Operator functions.
- Identify costs in the same manner based upon the amounts provided and how you calculated those costs.

## **Award Administrative Information**

### **Administrative Program Requirements**

All contractors will be subject to all applicable Federal and State laws (including provisions in appropriations law), regulations, and the applicable Office of Management and Budget (OMB) Circulars. The applicants selected under the RFQ will be subject to the following administrative standards and provisions, which include, but are not limited to:

- a) Workforce Investment Boards – 20 Code of Federal Regulations (CFR) Part 667.220 (Administrative Costs).
- b) Non-Profit Organizations – Office of Management and Budget (OMB Circulars A-122 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).
- c) Educational Institutions – OMB Circulars A-21 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).
- d) State and Local Governments – OMB circulars A-87 (Cost Principles) and 29 CFR Part 97 (Administrative Requirements).
- e) All entities must comply with 29 CFR Parts 93 and 98, and where applicable, 29 CFR Parts 96 and 99.
- f) In accordance with Section 18 of the Lobbying Disclosure Act of 1995, Public Law 104-65 (2 U.S.C. 1611) non-profit entities incorporated under Internal Revenue Code Section 501(c) (4) that engage in lobbying activities will not be eligible for the receipt of Federal funds and grants.
- g) 29 CFR part 2, subpart D--Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- h) 29 CFR part 30--Equal Employment Opportunity in Apprenticeship and Training.
- i) 29 CFR part 31--Nondiscrimination in Federally Assisted Programs of the Department of Labor--Effectuation of Title VI of the Civil Rights Act of 1964.
- j) 29 CFR part 32--Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance.
- k) 29 CFR part 33--Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of Labor.
- l) 29 CFR part 35--Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- m) 29 CFR part 36--Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- n) 29 CFR part 37--Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 (WIA).
- o) Regional Integration Policy, DWD Policy 2007-20

### **Inquiry/Protest Procedures**

Bidders who desire a debriefing must submit a written request within ten (10) business days of the receipt of the Board's notification of the procurement decision. In the debriefing, the bidder will obtain information on the procurement process and how their proposal or offer was reviewed and ranked. If after the debriefing, the appealing party wishes to continue with the appeal process, they must submit to the Board, a written Notice of Appeal within ten (10) business days of the date of the appealing party's debriefing. Inquiries shall be directed to the Board Contact referenced throughout the RFQ.

The appeal must indicate the specific grounds and the violation, which forms the basis for the appeal, and shall be signed by the appellant organization's authorized representative. Email transmittals will be accepted. The filing of the appeal within the time frame is a condition precedent. Hearings shall be conducted in accordance with Board procedures.

# **ATTACHMENTS**

## Attachment A

### Program Year 2014 WIA Allocations

<b>Program</b>	<b>Total</b>
WIA Adult	\$ 711,343
WIA Dislocated Worker	957,258
WIA Youth	735,775
<b>Totals</b>	<b>\$ 2,404,376</b>

Region 8 WIB also anticipates additional funding in Program Year 2014 to support Business Consultants, WorkINdiana program, Jobs for America's Graduates program, and Integrated Services.

### Program Year 2013 Expenditures (rounded)

<b>Program</b>	<b>Total</b>
WIA	\$ 2,003,000
Other Funding	
Business Consultant	111,000
WorkINdiana	110,000
Jobs for America's Graduates	147,000
Integrated Services	51,000
<b>Totals</b>	<b>\$ 2,422,000</b>

\*WIA funding expended in the above table for Program Year 2013 expenditures includes carryover of unused funding from the prior year.

**Attachment B**

**APPLICATION COVER SHEET**

Organization's Legal Name:

Contact person:

Address:

Telephone:

E-mail:

Federal ID #:

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Authorized Signature

Date

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

# Attachment C

## Non-Collusion Affidavit

State of Indiana

County of \_\_\_\_\_

The respondent is hereby giving oath that it has not, in any way, directly or indirectly, entered into any arrangement or agreement with any other respondent or with any officer or employee of the Region 9 workforce Board whereby it has paid or will pay to such other respondent or officer or employee any sum of money or anything of real value whatever; and has not, directly or indirectly, entered into any arrangement or agreement with any other respondent or respondents which tends to or does lessen or destroy free competition in the letting of the agreement sought for by the attached response; that no inducement of any form or character other than that which appears on the face of the response will be suggested, offered, paid, or delivered to any person whomsoever to influence the acceptance of the said response or awarding of the agreement, nor has this respondent any agreement or understanding of any kind whatsoever, with any person whomsoever, to pay, deliver to, or share with any other person in any way or manner any of the proceeds of the agreement sought by this response.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Print of Type Name

Subscribed and sworn to me this day \_\_\_\_\_ of \_\_\_\_\_

\_\_\_\_\_  
Notary Public

County of \_\_\_\_\_

Commission Expiration Date \_\_\_\_\_

## Attachment D

### **ASSURANCES AND CERTIFICATIONS**

Workforce Investment Act (WIA) recipients are obligated to maintain the following assurance for the period during which WIA Title I financial assistance is extended as stated in 29 CFR 37.21. Each request for proposal, proposal and application for financial assistance under WIA Title I shall contain the following assurances as required by 29 CFR 37.20.

“As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the recipient assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

Section 188 of the WIA, which prohibits discrimination against all individuals in the United States on the basis 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; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color or national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against individuals with disabilities; the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the bases of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.”

The recipient also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the recipients operation of the WIA Title I-financially assisted program or activity, and to all agreements the recipient makes to carry out the WIA Title I-financially assisted program or activity. The recipient understands that the United States has the right to seek judicial enforcement of this assurance.

<p><b>Debarment, Suspension, and Other Responsibility Matters:</b> This certification is required by the Federal Regulations, implementing Executive Order 12549, Government-wide Debarment and Suspension, for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Parts 85), Department of Health and Human Services (45 CFR Part 76).</p>
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#### **The undersigned applicant certifies that neither it nor its principals:**

- (1) Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency;
- (2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction, violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses enumerated in Paragraph (2) of this section; and

- (4) Have not within a three-year period preceding this application had one or more public transactions terminated for cause or default.

**Nondiscrimination:** The undersigned applicant certifies that it shall comply with the nondiscrimination provisions outlined in the WIA of 1998 including Title I, Sec. 184 (f) and Sec. 188 (a); 20 CFR 667.266 (a) and 45 CFR 80 and 84.

**Conflict of Interest:** The undersigned applicant certifies that:

- (1) No manager, employee or paid consultant of the Proposer is a member of the Board of Directors, or an employee of the Board;
- (2) No manager or paid consultant of the Proposer is married to a member of the Board of Directors, or an employee of the Board;
- (3) No member of the Board of Directors, or an employee of the Board owns or has any control in the Proposer's organization;
- (4) No spouse of a member of the Board of Directors, or employee of the Board receives compensation from Proposer for lobbying activities;
- (5) Proposer has disclosed within the proposal response any interest, fact or circumstance which does or may present a potential conflict of interest;
- (6) Should Proposer fail to abide by the foregoing covenants and affirmations regarding conflict of interest, Proposer shall not be entitled to the recovery of any costs or expenses incurred in relations to any contract with the Board and shall immediately refund the Board any fees or expenses that may have been paid under the contract and shall further be liable for any other costs incurred or damages sustained by the Board relating to that contract.

**Lobbying:** This certification is required by the Federal Regulations, Implementing Section 1352 of the Program Fraud and Civil Remedies Act, Title 31 U.S. Code for the Department of Agriculture (7 CFR Part 3018), Department of Labor (29 CFR Part 93), Department of Education (34 CFR Part 82), Department of Health and Human Services (45 CFR Part 93).

The undersigned applicant certifies 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 any officer or employee of Congress, or an employee of a Member of Congress, or locally elected officials.
- (2) In connection with the awarding 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.
- (3) 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, any officer or employee of Congress, an employee of a Member of Congress, or locally elected officials in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit "Disclosure Form to Report Lobbying", in accordance with its instructions.

- (4) The undersigned shall require that the language of this certification be included in the award 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 provide disclosure accordingly.

**Drug-Free Workplace:** This certification is required by the Federal Regulations, Implementing Section 5150-5160 of the Drug-Free Workplace Act, 41 U.S.C. 701; for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Part 85, 668 and 682), Department of Health and Human Services (45 CFR Part 76).

The undersigned applicant certifies that it shall provide a drug-free workplace by:

- (a) Publishing a policy statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and specifying the consequences of any such action by an employee;
- (b) Establishing an ongoing drug-free awareness program to inform employees of the dangers of drug abuse in the workplace, the Contractor's policy of maintaining a drug-free workplace, the availability of counseling, rehabilitation and employee assistance programs, and the penalties that may be imposed on employees for drug abuse violations in the workplace;
- (c) Providing each employee with a copy of the Contractor's policy statement;
- (d) Notifying the employees in the Contractor's policy statement that as a condition of employment under this contract, employees shall abide by the terms of the policy statement and notifying the Contractor in writing within five (5) days after any conviction for a violation by the employee of a criminal drug statute in the workplace;
- (e) Notifying the Commission within ten (10) days of Contractor's receipt of a notice of a conviction of an employee; and,
- (f) Taking appropriate personnel action against an employee of violating a criminal drug statute or require such employee to participate in drug abuse assistance or a rehabilitation program.

These certifications are material representations 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.

**WIA Sec. 184 (f): Discrimination Against Participants:** -- If the Secretary determines that any recipient under WIA Title I has discharged or in any other manner discriminated against a participant or against any individual in connection with the administration of the program involved, or against any individual because such individual has filed any complaint or instituted or caused to be instituted any proceeding under or related to WIA Title I, or has testified or is about to testify in any such proceeding or investigation under or related to WIA Title I, or otherwise unlawfully denied to any individual a benefit to which that individual is entitled under the provision of WIA Title I or the Secretary's regulations, the Secretary shall, within 30 days, take such action or order such corrective measures, as necessary, with respect to the recipient or the aggrieved individual, or both.

**WIA Sec. 188 (a):**

- (1) Federal financial assistance.** -- For the purpose of applying the prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), on the basis of disability under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), on the basis of sex under Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), or on the basis of race, color, or national origin under Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.), programs and activities funded or otherwise financially assisted in whole or in part under this Act are considered to be programs and activities receiving Federal financial assistance.
- (2) Prohibition of discrimination regarding participation, benefits, and employment.** -- No individual shall be excluded from participation in, denied the benefits of, subjected to discrimination under, or denied employment in the administration of or in connection with, any such program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability, or political affiliation or belief.
- (3) Prohibition on assistance for facilities for sectarian instruction or religious worship.** -- Participants shall not be employed under WIA Title I to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing service to participants).
- (4) Prohibition on discrimination on basis of participant status.** -- No person may discriminate against an individual who is a participant in a program or activity that receives funds under WIA Title I, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant.
- (5) Prohibition on discrimination against certain non-citizens.** -- Participation in programs and activities or receiving funds under WIA Title I shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.

**20 CFR §667.266 (a): WIA Title I funds may not be spent on the employment or training of participants in sectarian activities.**

**Further, the undersigned applicant certifies that it shall comply with the provisions outlined by the U.S. Department of Health and Human Services (45 CFR 80 and 84).**

With regard to Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), the provider agrees to comply with the implementing regulations that require that each program of training services, when funded in all or in part with federal funds, shall be accessible to qualified individuals with disabilities. The provider further agrees to meet all applicable requirements regarding facility access.

By signing, the applicant certifies that it will comply with all other regulations implementing the laws cited above. This assurance applies to the applicant's operation of the WIA Title I - financially assisted program or activity, and to all agreements, the applicant makes to carry out the WIA Title I-financially assisted program or activity. The applicant understands that the United States, Indiana Department of Workforce Development, and the Board have the right to seek judicial enforcement of this assurance. NOTE: WIA non-discrimination regulations are published at 29 CFR 37.

**Documentation of Financial Stability:** The undersigned applicant certifies that it shall comply with the Indiana Department of Workforce Development with regard to providing documentation of financial stability. As part of their local application requirements, the Board is to specify its local protocol for documentation and submission requirements.

**Reporting Requirements:** The undersigned applicant certifies that it shall comply with the provisions of Sec. 122 of the Workforce Investment Act of 1998 and the reporting and procedural requirements issued by the Indiana Department of Workforce Development.

**Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective recipient shall attach an explanation to this certification.**

**The undersigned Authorized Representative of the applicant herein certifies that the statements above pertaining to Debarment, Suspension and Other Responsibility Matters; Nondiscrimination; Conflict of Interest; Education Standards and Procedures; Documentation of Financial Stability and Reporting Requirements are true and correct as of the date of submission. This does not preclude the Board from requiring additional assurances as part of the local application requirements.**

**Further, the Authorized Representative acknowledges that if the information given to the Board by the applicant causes harm to a third party, then applicant will be held liable for any Board action resulting from reliance on that information.**

**The applicant must notify the Board in writing if the authorized signatory changes.**

**Certified by:**

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**Signature of Authorized Official**

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**Typed/Printed Name of Signatory**

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**Signatory's Official Title**

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**Proposer's Name**

**Date:**      /      /      (mm/dd/yyyy)

**Attachment E**  
**BUDGET ESTIMATE WORKSHEET**

Line Item	WIB Executive
Salaries	\$
Benefits	
Staff Development and Travel	
Occupancy (Rent, Utilities, etc.)	
Furniture and Equipment	
Supplies	
Contracted Admin (describe)	
Other (describe)	
<b>TOTAL</b>	\$

Note: The WIB Fiscal Agent pays the bills for all board costs and all sub-grantees such as Service Providers.

**Budget Narrative**

Salaries:

Benefits:

Staff Development and Travel:

Occupancy:

Furniture and Equipment:

Supplies:

Contracted Admin:

Other: