

Lincoln Trail Workforce Investment Board
Request for Proposals
ARRA – Summer Youth Program
Green Entrepreneurial Leadership Institute – “GEL-IN”

The Lincoln Trail Area Development District (LTADD) administrative entity for the Lincoln Trail Workforce Investment Board seeks proposals from an organization(s) to assist the Board in establishing a summer youth initiative as outlined in the American Recovery and Reinvestment Act of 2009 in each of the eight counties of the Lincoln Trail Workforce Investment Area.

SCOPE OF WORK

1. Project Schedule, Implementation and Period of Performance:

Request for Proposal Issued: March 30, 2009
Proposal Submission Deadline: April 30, 2009
Contract awarded: On or About May 20, 2009

2. General Background:

Purpose of WIA: The purpose of the Workforce Investment Act of 1998 (WIA) is to provide workforce investment activities, through statewide and local workforce investment systems, that increase the employment, retention, and earnings of participants, and increase occupational skill attainment by participants, and, as a result, improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the Nation. WIA provides the framework for a unique national workforce preparation and employment system designed to meet the needs of the nation’s businesses and the needs of job seekers and those who want to further their careers. The legislation is based on the following principles:

- + Customer focus – easy access
- + Accountability
- + Focused on the One-Stop System
- + Universal access for all job seekers
- + Programs designed and managed at the local level
- + Demand driven – Action engagement of the business community

The Lincoln Trail Workforce Investment Area covers eight counties – Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson and Washington.

The American Recovery and Reinvestment Act of 2009 (ARRA) is an unprecedented effort to jumpstart our economy, create or save millions of jobs and put a down payment on addressing long-neglected challenges so our economy can thrive in the 21st century. Specifically the bill:

- ✚ Preserves and create jobs;
- ✚ Assists those impacted by the recession;
- ✚ Spurs technological advances in science and technology;
- ✚ Invests in transportation, environmental protection and other infrastructure for long-term benefit;
- ✚ Stabilizes state and local government budgets; and
- ✚ Provides tax relief and benefits to spur private sector investments and consumer confidence.

3. Project Background:

The Recovery Act provides \$1.2 billion of WIA Youth Supplemental Funding. While it does not mandate the use of the funds for only summer youth employment, there is a strong Congressional inference that funds be used to create summer opportunities for youth. The program shall be of high quality and should include a “green” focus if at all possible. The Act also includes two other significant changes - the age eligibility is increased from 16 - 21 to a maximum of 24 years old and designates the workforce readiness indicator will be the only indicator to assess the effectiveness of summer employment. Finally, the period of “summer” has been designated as May 1 to September 30. Summer employment is defined as any set of allowable services that occur during the above referenced summer months as long as it includes a work experience component. Work experience is defined under WIA regulations at 20 CFR 664.460.

4. Broad Goal of Project:

The Lincoln Trail Workforce Investment Board (LTWIB) is seeking an entity to develop a Summer Youth Training/Work Experience Institute that will focus on the following: Green, Entrepreneurial, and Leadership “GEL-IN”. Project start date is June 15, 2009 and end date is July 31, 2009. For purposes of this summer initiative, the Lincoln Trail WIB will be serving only 18 – 24 year olds. We are looking to make the next evolutionary commitment in the entrepreneurial arena - the establishment of a youth entrepreneurial pipeline in the region. A critical component of this process is the establishment of a sound “green-focused” entrepreneurial and leadership training/work experience component. This component will provide the foundation for the development of green ideas/jobs/concepts that can be replicated throughout the region.

We need to unleash the entrepreneurial spirit of our youth and in our communities. We want our youth to think and work “Outside the Box” in developing initiatives that will make our communities/programs/services “greener” within the Lincoln Trail region. We want the program to also be developed and implemented in an “outside the box” approach as well – traditional classroom activities are not expected. The project should be developed with a hands-on approach, engaging and encouraging new ideas and ways of doing business or providing programs and services. Ideally,

we want the youth to be engaged in researching, creating and implementing green projects in each county.

At the conclusion of the project, it is desirable to develop two “rewards” – one a performance benchmark (criteria should be established) with the reward being possibly a Kentucky Colonel commission and the second, a competition between the teams to highlight their projects and how that project might be replicated in other communities. The desired reward here is new Mac laptop computers for each member of the winning team. It is even more desirable if community agencies, businesses, entrepreneurs will provide the computers or cash contributions towards the purchase of the computers. These incentives will encourage participation beyond just collecting a paycheck.

Programs should increase accessibility to and broaden green entrepreneurial and leadership education, training and work experience through a variety of methods. For example, they should provide experiential, hands-on, applied learning strategies that engage and expose individuals to the full gamut of the entrepreneurial and leadership culture. Individuals should be exposed to the necessary skills and knowledge to start and grow a business as well as identifying the local infrastructure for small business financing assistance. It should also include exposure and access to existing entrepreneurs who act as mentors to provide guidance, as well as support in building the framework for new business.

The project will serve 20 - 25 youth per county and must be delivered in each of the eight counties of the Lincoln Trail Workforce Investment Area. These individuals will already be identified prior to the project start. They will be certified as WIA eligible by Lincoln Trail Workforce Investment Area case management staff during the period of May 11 – 20, 2009. All youth must be most in need including: out-of-school youth and those most in risk of dropping out, youth in and aging out of foster care, youth offenders and those at risk of court involvement, homeless and runaway youth, children of incarcerated parents, migrant youth, Indian and Native American youth and youth with disabilities. Priority for participation will also be given to veterans age 21 to 24 and eligible spouses pursuant to the Jobs for Veterans Act at 73 Fed Reg. 78132. The project shall start on June 15, 2009 and conclude on July 31, 2009. The youth will be paid \$7.25 per hour for their participation in the project and the Lincoln Trail WIA staff will handle all payroll activities. Three checks will be issued – July 15th, July 31st and August 15th. Timesheets will be required for each participant (Lincoln Trail WIA will provide) and must be completed daily. Timesheets will be due on June 30th, July 15th and July 31st and must be delivered to the Lincoln Trail WIA staff within two working days after the pay period end. The Lincoln Trail WIA will also provide workers’ compensation coverage for any work-related activities.

Projects can be developed for either a six or seven-week period. A six-week project can be developed for either a 30, 35 or 37.5 hour week. The seven-week project must be developed for a 30-hour week. Again, applicants are encouraged to develop the

project in an “outside the box” manner that fosters thinking, acting and working in a different environment.

Projects must also develop a mechanism to measure work readiness achievement at the conclusion of the project. Also for reporting purposes, the project will be required to track the number of participants enrolled in summer employment and the completion rate of those in summer employment (i.e., # youth who complete their summer work experience/ # of youth who participate in summer employment) x 100%.

5. GEL-IN Objectives:

- ✚ Provide a general overview of starting a business and leadership skills required.
- ✚ Provide a tiered education/training/work experience project – from basic (introductory entrepreneurial) and leadership development. At a minimum, all levels should include information on entrepreneurial readiness, business plan, marketing, cash flow, legal structure, regulations, licensing and insurance, financial management, pricing and break-even analysis and business financing.
- ✚ Provide a mechanism for the development of green strategies/programs/services for communities/counties.
- ✚ Establish partnerships/relations with other organizations to bring available resources and expertise.
- ✚ Provide a mechanism to measure work readiness at the end of the project. (i.e., pre-program measure for work readiness might be never exposed to entrepreneurial opportunities and never completed a business plan and post measure might be the development and presentation of a business plan for the team’s project).
- ✚ Provide workshops on computer/internet use, including but not limited to e-commerce, Quick Books, database management, word processing and presentation packages.
- ✚ Develop an end of the project competition for each team to come together and present their projects. It is anticipated that competition will be held on or around July 31st.

6. Project Activities and Deliverables:

- ✚ Develop up to five teams (minimum number for each team is 5 youth) in each county to develop “green” ideas and projects.
- ✚ Identify one primary project site for each county in project submission.
- ✚ Develop worksite opportunities agreements for any “work-related” activities. Participating worksites must have ample supervision as well as introduce and reinforce the rigors, demands, rewards and sanctions associated with holding a job. (Sample worksite agreement is incorporated in Exhibit C.
- ✚ Work closely with LTWIA Staff on required reporting procedures. Because of the transparency requirement of ARRA, this could require weekly reporting. NOTE:

more information will be available when requirements are released by the U.S. Department of Labor.

- ✚ Develop strategy and mechanism to meet and measure established work readiness performance.
- ✚ Provide entrepreneurial and leadership education/training activities.
- ✚ Develop strong relationships/partnerships within each county to identify work experience opportunities for “green” projects. You may select to work with public, private or non-profit organizations.
- ✚ Develop competition plan to be held at the conclusion of the program (ideally on July 31st) that will allow each team to bring their ideas and projects to determine best practices/ideas. It is desirable to provide some type of incentive for the winners of the competition. Suggested incentive is a Mac Laptop Computer for each member of the winning team.

7. Deliverables – Major Benchmarks:

- a. RFP issued – March 30, 2009
- b. Proposals due –April 30, 2009– 12:00 pm (EDT)
- c. WIB Consideration on or about May 20, 2009
- d. Contract award – On or about June 1, 2009
- e. Project Begins – June 15, 2009
- f. Project Ends – July 31, 2009
- g. Contract ends – August 15, 2009

8. Bidder Qualifications/Requirements:

The Lincoln Trail Area Development District seeks experienced entities to develop and successfully operate a green entrepreneurial leadership summer youth program that will offer individuals the necessary skills, resources and leadership development opportunities to start and grow their own businesses and make our communities /programs/services greener. The LTADD contract manager must approve any changes to key staff assigned to the project.

In your response, please provide the following:

- ✚ Experience of your agency in operating similar projects/programs.
- ✚ Experience of your agency in entrepreneurial/leadership activities for similar projects/programs.
- ✚ Your strategy for developing a replicable program in the Lincoln Trail Workforce Investment Area, the Commonwealth of Kentucky and the country.
- ✚ Partnerships that you will develop and utilize for the program.
- ✚ Financial and non-financial resources you will bring to the project.
- ✚ Strategy on how you will track, collect and exceed required WIA performance measures.
- ✚ Examples of successes in similar projects.

9. Collaborative Projects/Subcontracting:

Specify in your proposal, the name and qualifications of any “subcontractor(s)” that you plan to use to provide some of the services/deliverables for this project. Subcontractors will be held to the same terms and conditions as the contractor in order to meet the statement of work, method of payment and deliverables. Any subcontractor must make available to the Contractor and Lincoln Trail ADD, if requested, copies of personnel records and documentation of employee’s compliance with the contract as it is written.

10. Period of Performance:

Any contract awarded as a result of this procurement is contingent upon the availability of funds.

The period of performance for any contract resulting from this RFP is tentatively scheduled to begin on or about June 1, 2009 and to end on August 15, 2009. Amendments extending the period of performance, if any, shall be at the sole discretion of the Lincoln Trail ADD.

11. Budget/Available Funds:

In developing your proposal, please provide a line item budget and budget narrative that provides a menu of program offerings. Up to \$200,000 is available for this project. We are also requesting that for purposes of the planned competition, you solicit either cash donations or actual Mac laptops computers for the winning team.

GENERAL INFORMATION FOR BIDDERS

RFP Coordinator:

The RFP Coordinator is the sole point of contact at the Lincoln Trail Workforce Investment Area for this procurement. All communications between the Vendor and the Lincoln Trail ADD upon receipt of this RFP shall be with:

Name: Sherry L. Johnson, Associate Director
Address: Lincoln Trail Area Development District
P. O. Box 604, 613 College Street Road
Elizabethtown, KY 42702-0604
Phone: 270-769-2393
Fax: 270-769-2993
E-mail address: sherry@ltadd.org

Any other communication will be considered unofficial and non-binding on the Lincoln Trail ADD. Vendors should rely on written statements, including e-mail,

issued by the RFP Coordinator. Any communication directed to parties other than the RFP Coordinator may result in disqualification.

Eligibility/Target Groups:

Lincoln Trail Client Services Managers must certify all participants in the project as WIA eligible. All participants will be identified prior to the project start date.

WIA Required Performance Measures:

All projects will be required to track participant progress through the program period as well as meet or exceed the WIA performance measures. Descriptions of the measures and how they are calculated is provided in Exhibit C. Those measures are:

Summer Youth Measures

-  Work Readiness Indicator

Note: Once the U.S. Department of Labor issues guidelines on required reporting requirements, these will be made available either as an addendum to this solicitation or during contract negotiation.

ISSUANCE OF QUESTIONS AND ANSWERS

Written questions should be submitted to the RFP Coordinator during the open RF period. All questions must be submitted via email. All responses will be issued by email. Emails will be sent individually to each vendor. The Lincoln Trail Add shall be bound only to written answers to questions.

SUBMISSION OF PROPOSALS

Vendors are required to submit two sets (one electronic and one original signature hardcopy - unbound) of the proposal. The original must contain original signatures. The proposal whether mailed or hand delivered, must arrive at the LTADD no later than 12:00 pm (EDT) on April 30, 2009. The proposal is to be sent to the RFP Coordinator at the appropriate address listed above. If mailed, the envelope should be clearly marked to the attention of the RFP Coordinator.

Vendors mailing proposals should allow normal delivery time to ensure timely receipt of their proposals by the RFP Coordinator. Vendors assume the risk for the method of delivery chosen. The LTADD assumes no responsibility for delays caused by any delivery service. Late proposals will not be accepted and will be automatically disqualified from further consideration. All proposals and any accompanying documentation become the property of the LTADD and will not be returned.

REVISIONS TO THE RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be provided to all potential vendors who have received the RFP. For this purpose, the published questions and answers document and any other pertinent information shall be provided as an addendum to the RFP.

RESPONSIVENESS

All proposals will be reviewed by the RFP Coordinator to determine compliance with administrative requirements and instructions specified in this RFP. Failure to comply with any part of the RFP may result in rejection of the proposal as non-responsive.

CONTRACT AND GENERAL TERMS & CONDITIONS

The successful vendor will be expected to enter into a contract, which contains the same general, terms and conditions attached as Exhibit B. In no event is a vendor to submit its own standard contract terms and conditions in response to this solicitation. The vendor may submit exceptions as allowed in the Certifications and Assurances section, Exhibit A to this solicitation. The LTADD will review requested exceptions and accept or reject the same at their discretion.

COSTS TO PROPOSE

The LTADD will not be liable for any costs incurred by the vendor in preparation of a proposal submitted in response to this RFP, in conduct of a presentation, or any other activities related to responding to this RFP.

NO OBLIGATION TO CONTRACT

This solicitation does not obligate the LTADD to contract for services specified herein.

REJECTION OF PROPOSALS

The LTADD reserves the right at its sole discretion to reject any and all proposals received without penalty and not to issue a contract as a result of this RFP.

COMMITMENT OF FUNDS

Wendell C. Lawrence, Executive Director is the only individual who may legally commit the LTADD to the expenditures of funds for a contract resulting from the RFP. No cost chargeable to the proposed contract may be incurred before the execution date specified in the contract.

PROPOSAL FORMAT

Each proposal should include in the following sequence:

- ✦ Summary of qualifications of responding organization(s), including experiences of individuals involved with the organization(s).
- ✦ Description of proposal to produce desired product.
- ✦ Project timeline. Should include timeframe for working with LTWIB and staff.
- ✦ Project budget – Should include individual fees and other costs associated with proposal. **A detailed line item budget is required.**
- ✦ Proposals must be signed by an authorized official of the bidder's organization and must contain all required forms and signatures as specified. Contact person for follow up questions should also be identified (email address is requested).
- ✦ Letter of Submittal (Cover letter) – One original letter of submittal and the attached Certifications and Assurances form (Exhibit A to this RFP) must be signed and dated by a person authorized to legally bind the Vendor to a contractual relationship, e.g., the President or Executive Director if a corporation, the managing partner if a partnership, or the proprietor if a sole proprietorship. Along with introductory remarks, the Letter of Submittal is to include by attachment the following information about the vendor and any proposed subcontractors:
 - ✦ Name, address, principal place of business, telephone and fax numbers, email address of legal entity or individual with whom contract would be written.
 - ✦ Name, address, and telephone number of each principal officer (President, Vice-President, Treasurer, Chairperson of the Board of Directors, etc.).
 - ✦ Legal status of the vendor (Sole proprietorship, partnership, corporation, etc.) and the year the entity was organized to do business as the entity now substantially exists.
 - ✦ Federal Employer Tax Identification Number or Social Security Number.
 - ✦ Location of the facility from which the vendor would operate.
 - ✦ Identify any LTADD employees or former LTADD employees employed or on the vendor's governing board as of the date of the proposal. Include their position and responsibilities within the vendor's organization. If following a review of this information, it is determined by the LTADD that a conflict of interest exists, the vendor may be disqualified from further consideration for the award of a contract.

EVALUATION PROCEDURE

Responsive proposals will be evaluated strictly in accordance with the requirements stated in this solicitation and any addenda issued. An evaluation team, designated by the Lincoln Trail Workforce Investment Board (LTWIB), which will determine the ranking of the proposals, shall accomplish the evaluation of proposals. The LTWIB, at its sole discretion, may elect to select the top-scoring vendors as finalists for an oral presentation during the evaluation period of May 1 – 18, 2009 at the LTADD.

EVALUATION WEIGHTING AND SCORING

A review panel will evaluate all proposals that pass the initial compliance review. Each reviewer will independently review and score proposals on a 100-point scale using the following criteria:

Experience in entrepreneurial and leadership field. 15 points

Must have at least three years experience. Must have prior entrepreneurial/leadership experience. Include examples of work, clients, and references, etc.

**Project Team Structure/Internal Controls
Staff Qualifications/Availability. 15 points**

The Vendor must commit that staff and/or subcontractors identified in its proposal will actually perform the assigned work. The Vendor must be in communication with the Lincoln Trail WIB's Summer Youth staff on a continuing basis to ensure quality of the ongoing project. Any staff substitution must have prior approval of the LTADD.

Proposed Methodology 35 points

Specify how Vendor will organize and execute the work described in Project Activities and Deliverables. The RFP evaluation process is designed to award this procurement not necessarily to the vendor of least cost, but rather to the vendor whose proposal best meets the creative requirements as stated in this RFP. Bidders will be required to describe in detail how project will be implemented so that proposals can be evaluated on such criteria as comprehensiveness of approach, responsiveness of proposed method, desired outcomes, community/investor engagement, timeframes, creativity of project design, regional perspective, etc.

Overall Responsiveness to the RFP 30 points

The RFP evaluation process will review each proposal with the ultimate goal in mind of developing the foundation for the Summer "GEL-IN". Project should generate knowledge, interest, and aptitude for green entrepreneurial leadership projects while serving as the foundation and driver for this initiative.

Budget Justification 5 points

Vendor is to submit a budget including staff costs and any travel or other expenses necessary to accomplish the tasks and to produce the deliverables under the contract. Cost reasonableness, and competitiveness will be evaluated as one factor, but lowest bid will not be the decisive factor. Please include itemized information in the budget on costs such as salaries, benefits, equipment, travel, contractor costs, facilities, etc.

Total: 100 Points

CERTIFICATIONS AND ASSURANCES

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.
2. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.
3. The attached proposal is a firm offer for a period of 60 days following receipt, and it may be accepted by the Lincoln Trail Area Development District without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 60-day period.
4. In preparing this proposal, I/we have not been assisted by any current or former employee of the Lincoln Trail Area Development District whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)
5. I/we understand that the Lincoln Trail Area Development District will not reimburse me/us for any costs incurred in the preparation of this proposal. All proposals become the property of the Workforce Investment Area, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.
6. Unless otherwise required by law, the prices and/or cost data that have been submitted have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by him/her prior to opening, directly or indirectly to any other Proposer or to any competitor.
7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to this document.

8. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

Signature of Proposer

Vendor

Title

Date

GENERAL ASSURANCES AND CERTIFICATIONS

Any agency awarded federal funds through the Workforce Investment Act of 1998 must be in compliance with numerous laws and regulations. Most of these will be addressed in a contract. However you will need to submit statements of assurance/certification on the following with your proposal:

A. Nondiscrimination and Equal Opportunity Certification -

As a condition to the award of financial assistance under WIA from the Department of Labor, Kentucky Education Cabinet, Department for Workforce Investment, Office of Employment and Training, Division of Workforce and Employment Services, and the Lincoln Trail Workforce Investment Board, the grant applicant assures with respect to operation of the WIA-funded program or activity and all agreements or arrangements to carry out the WIA-funded program activity, that it will comply fully with the nondiscrimination and equal opportunity provisions of the Workforce Investment Act of 1998, including the Nontraditional Employment for Women Act of 1991; title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; The Age Discrimination Act of 1975, as amended; title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including but not limited to 29 CFR Part 34. The United States has the right to seek judicial enforcement of this assurance.

B. Compliance with the Americans with Disabilities Act, 1990, Public Law 101-336.

Submit a compliance state in accordance with the Americans with Disabilities Act. The Lincoln Trail Workforce Investment Board requires all providers to be structurally and programmatically accessible to serve individuals with disabilities. You must identify any structural or programmatic barriers to serving individuals with disabilities. If such barriers exist, describe your plan of action (along with a time frame) that would ensure your program and facility would be in compliance. You may contact LTADD or the Department of Vocational Rehabilitation for an Accessibility Checklist. This checklist must be submitted with your proposal.

C. Administrative Systems - All applicants must submit documentation ensuring that their financial systems provide fiscal controls and accounting procedures that are in accordance with generally accepted accounting principles. A copy of the applicant's latest agency-wide audit or a statement from an independent audit should be included with the proposal. A financial capability certification form is included in the attachments to be completed and signed.

- D. Assurance that all reports (both programmatic and financial) will be submitted in a timely manner and/or as prescribed by the American Recovery and Reinvestment Act of 2009.
- E. Drug-Free Workplace Policy - Submit a compliance statement specifying the agency has a Drug-Free Workplace Policy.
- F. Debarment, Suspension, Ineligibility and Voluntary Exclusion Certification - This certification is included in Appendix C - Miscellaneous Information.
- G. Campaign Finance Laws Compliance - Submit a sworn statement regarding compliance with the Campaign Finance Laws and Kentucky Model Procurement Code. A form that must signed and notarized is included in the application.
- H. Senate Bill 258 - Submit a sworn statement regarding the certification of Senate Bill 258 and specify any violations (if any) as stated in Senate Bill 258 within the last five (5) years. A form that must be signed by the agency's authorized representative is included in the application.
- I. Assurance that your organization has a client grievance procedure or that said procedure would be developed prior to funding.
- J. Code of Conduct - Submit a written statement stating that your agency will comply with Section 667.200 (4)(i)(ii) of the Final Regulations.
 - (i) A State Board Member or a Local Board member or a Youth Council member must neither cast a vote on, nor participate in any decision-making capacity, on the provision of services by such member(s) or any organization which that member(s) directly represents, nor on any matter which would provide any direct or financial benefit to that member or a member of his immediate family.
 - (ii) Neither membership on the State Board, the Local Board, the Youth Council nor the recipient of WIA funds to provide training and related services, by itself, violates these conflict of interest provisions.

FINANCIAL CAPABILITY CERTIFICATION

(Please Print Organization Name)

1. **Does the organization have a financial management system capable of tracking and accounting for funds received and disbursed?**

_____ Yes _____ No

If no, explain: _____

2. **Does the organization have the fiscal capability of providing services pending payment or reimbursement by the Agency?**

_____ Yes _____ No

If no, explain: _____

3. **Has the organization had findings with disallowed costs from prior monitoring or audit reviews?**

_____ Yes _____ No

If no, explain: _____

4. **Has the organization resolved all findings from all prior audits?**

_____ Yes _____ No _____ N/A

Explain the resolution: _____

I certify that the above answers are true and represent an accurate picture of this organization's financial capability.

Name and Title of Certifying Official

Signature

Date

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY
AND VOLUNTARY EXCLUSION
LOWER TIER COVERED TRANSACTIONS**

**(BEFORE COMPLETING CERTIFICATION, READ ATTACHED
INSTRUCTIONS WHICH ARE AN INTEGRAL PART OF THE
CERTIFICATION)**

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).

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 assistant funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Authorized Representative Signature

Date

Authorized Representative (Typed)

Title

Agency/Company

Instructions for Certification Regarding Debarment, etc.

1. By signing and submitting this proposal, the prospective recipient of federal assistance funds is providing the certification as set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered as erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction", "debarred", "suspended", "ineligible", "lower tier covered transaction", "participant", "person", "primary covered transaction", "principal", "proposal", and "voluntarily excluded", as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective recipient of federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.
6. The prospective recipient of Federal assistance funds further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction", 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 lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the List of Parties Excluded from Procurement or Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.

**SWORN STATEMENT REGARDING CAMPAIGN FINANCE LAWS
PURSUANT TO KRS 45A.395 AND/OR KRS 45A.400
OF THE KENTUCKY MODEL PROCUREMENT CODE**

The undersigned hereby swears or affirms under penalty of perjury, that neither he/she nor the Corporation which he/she represents, has knowingly violated any provision of the campaign finance laws of the Commonwealth of Kentucky, and that the award of a contract to him/her or the Company which he/she represents will not violate any provision of the campaign finance laws of the Commonwealth of Kentucky.

Signed this _____ day of _____, ____.

BIDDER/OFFEROR:

Authorized Representative's Signature

Title

Name of Company

Address of Company

City, State, Zip

State of _____) _____)SS

Company of _____)

The foregoing statement was sworn to me this ____ day of _____, ____, by

Notary Republic

**CERTIFICATION REGARDING
SENATE BILL 258**

Pursuant to the 1994 Senate Bill 258, the bidder/offeror shall reveal to the Commonwealth, prior to the award of a contract, any final determination of a violation by the contractor within the previous five (5) year period of the provisions of KRS Chapters 136, 139, 141, 337, 338, 341 and 342.

For the purpose of complying with the provisions of Senate Bill 258, please list any final determination(s) of violation(s) of KRS Chapters 136, 139, 141, 337, 338, 341, and 342, which have been rendered against the bidder or offeror within the five (5) years preceding the award of this contract. Please include, the date of the determination and the state agency issuing the determination. (Please use extra sheets if necessary.)

KRS VIOLATION	DATE	STATE AGENCY

The contractor is further notified that the 1994 Senate Bill 258 requires that for the duration of this contract, the contractor shall be in continuous compliance with the provisions of KRS Chapters 136, 139, 141, 337, 341 and 342, which apply to the contractor's operations. Senate Bill 258, further provides that the contractor's failure to reveal a final determination of a violation of KRS Chapters 136, 139, 141, 337, 341 and 342, or failure to comply with the above-cited statutes for the duration of the contract, shall be grounds for the Commonwealth's cancellation of the contract, and the contractor's disqualification from eligibility to bid or submit proposals to the Commonwealth for a period of two (2) years.

ORGANIZATION

SIGNATORY OFFICIAL	SIGNATURE	DATE
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- *Chapter 136 - Corporation and Utility Taxes
- 139 - Sales and Use Taxes
- 141 - Income Taxes
- 337 - Wages and Hours
- 338 - Occupational Safety and Health of Employees
- 341 - Unemployment Compensation
- 342 - Workers' Compensation

**LINCOLN TRAIL WORKFORCE INVESTMENT AREA (WIA)
GRIEVANCE PROCEDURE
FOR
WIA CUSTOMER/PARTICIPANT/INTERESTED PARTIES**

The WIA Grievance Procedures shall apply to alleged violations of the Act and Regulations from participants and other interested or affected parties. Except for complaints alleging discrimination and under WIA section 188(a) and nondiscrimination provisions in WIA section 188, which should be filed within one hundred eighty (180) days, you shall have within one year of the alleged occurrence(s) of the incident to file a grievance.

GRIEVANCE PROCEDURE:

The Lincoln Trail WIA grievance procedure for a WIA customer/participant begins with the service provider/contractor providing the service(s) that resulted in the grievance/complaint. The customer/participant must follow the grievance procedure outlined by the provider's/contractor's policies and procedures and request any decision/resolution in writing. If no resolution is reached within the timeframe specified by the provider's/contractor's policies and procedures of the customer/participant; the customer/participant should contact the Employment/Training staff of the Lincoln Trail Area Development District, P.O. Box 604, Elizabethtown, KY 42702-0604.

This must be done in writing and summarize the alleged grievance/complaint. You must also include a copy of the written decision reached through the provider/contractor's grievance procedures. An informal decision must be reached or a hearing completed by the LTADD staff within sixty (60) days of the filing of the grievance/complaint with LTADD. (An individual alleging a labor standards violation is allowed to submit the grievance/complaint to a binding arbitration procedure if a collective bargaining agreement covering the parties to the grievance so provides.)

If no decision is reached within sixty (60) days or either party is dissatisfied with the local hearing decision, either may appeal to the Kentucky Education Cabinet, department for Workforce Investment, Office of Employment and Training, Division of Workforce and Employment Services, 275 East Main Street, 2nd Floor, Frankfort, KY 40621. Policies required and/or issued by the Office of Employment and Training, Division of Workforce and Employment Services will govern this process.

The local grievance/complaint procedure for service providers or other interested parties affected by the Lincoln Trail Workforce Investment System begins by notifying the staff of the LTADD of the grievance/complaint in writing at the Lincoln Trail Area Development District, P.O. Box 604, Elizabethtown, KY 42702-0604. The service provider or other interested parties shall include in the written complaint, a summary of Grievance Procedure, the grievance/complaint and any informal steps taken to achieve

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satisfactory resolution. The LTADD staff will respond in writing to the filing of the grievance/complaint within sixty (60) days with an informal resolution or conduct a hearing that results in a decision.

If no decision is reached within sixty (60) days or either party is dissatisfied with the local hearing decision, either may appeal to the Kentucky Education Cabinet, Department for Workforce Investment, Office of Employment and Training, Division of Workforce and Employment Services, 275 East Main Street, 2nd Floor, Frankfort, KY 40621. Policies required and/or issued by the DTR will govern this process.

Failure to follow these steps and timeframes may result in your complaint being dismissed.

I have been instructed as to my rights and responsibilities under the WIA program and do hereby acknowledge my understanding of the same.

Customer/Participant/Interested Party Signature

Date

Signature of Lincoln Trail ADD Staff

Title

Date

Work Readiness Information, Worksite Requirements and Sample Agreement

Work Readiness Information – (Taken from US DOL Sponsored Webinar on March 24, 2009 and “Training and Guidance Letter No. 17-05, Attachment B).

Workforce Readiness Assessment Tools can be a supervisor evaluation, work readiness checklist administered by program staff, or portfolio assessments. You must determine some type of baseline at the start of summer and check to see if there was an increase at the end of the summer. Must include some type of methodology to determine pre and post status.

Workforce Readiness Skills Goal – A measurable increase in work readiness skills including world-of-work awareness, labor market knowledge, occupational information, values clarification and personal understanding, career planning and decision-making and job search techniques (resumes, interviews, applications, and follow-up letters). They also encompass survival and daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account and using public transportation). They also include positive work habits, attitudes, and behaviors, such as punctuality, regular attendance, presenting a positive appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticisms from supervisors and co-workers, showing initiative and reliability and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem-solving skills and acquiring an improved self-image.

(Please note: This term applies to the current WIA statutory youth measures only, it does not apply to the common measures.

Worksite Requirements - (Taken from U.S. Department of Labor “Training and Guidance Letter No. 14-08, issued on March 18, 2009).

Meaningful Work Experience. Work experience is the core component of a summer employment program. All states and local areas should ensure that participating worksites introduce and reinforce the rigors, demands, rewards and sanctions associated with hold a job. States and local areas should make an effort to match worksites with participants’ interests and goals. Some states and local areas have created work experience activities where the learning of work readiness skills is acquired on the job. This may be an acceptable model older youth who already possess the necessary academic skills. Also, as discussed further below, pre-apprenticeship programs are an effective way of training a youth for registered apprenticeship programs and can be a valuable component of summer employment opportunities for youth.

To succeed in the workplace, today’s jobseekers and current employees should be able to build relationships with peers, managers, and customers. Consequently, work experience

provided to summer employment participants should be structured to impart measurable communication, interpersonal, decision-making and learning skills.

Worksites. States and local areas should seek employers that are committed to helping participants receive the experience and training required to meet the work readiness goals set for summer employment participants. ETA recommends selecting employers that are willing to work closely with program staff. It is critical that local areas ensure proper worksite supervision in cooperation with both worksite supervisors and program monitors. Employers should be flexible in working with youth who have issues that may have barriers to employment. States and local areas should consider a combination of public sector, private sector and non-profit summer employment opportunities. This may also include project-based community services learning opportunities, worksite supervision, including participant to staff ratio, is critical. **(For purposes of the LTWIA GEL-IN project – appropriate participant to staff ratio is 5 to 1.)**

Attention should be given to ensure that work experience arrangements do not unfavorably impact current employees and do not impair existing contracts for services or collective bargaining agreements. In addition, the work experience of the participants should not replace the work of employees who have experienced layoffs (20 CFR 667.270 for non-displacement requirements.) Youth summer employment should be a work experience intended to increase work readiness skills of participants and not impact the profit margin of a for-profit company. ETA recommends adopting selection criteria to ensure that one employer is not favored at the expense of another employer.

Section 1604 of Division A of the Recovery Act states, “none of the funds appropriated or otherwise made available in this Act may be used by any state or local government, or any private entity, for any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool.” Therefore, states and local areas should not use Recovery Act funds to place youth in summer employment of work experiences outside the summer months in any of these facilities.

Sample Worksite Agreement

In return for having Workforce Investment Act eligible youth worker, at no cost, for the purpose of providing meaningful work experience, the Worksite agrees to provide adequate full-time supervision and to document, with proper signatures, the number of hours worked in a pay period, not to exceed (_____) hours per week and not to exceed a total of _____ hours during the summer months. It is the responsibility of the worksite to assure that there is sufficient equipment and/or materials for the job and in a sanitary and safe environment. It is the responsibility of the Worksite to report to the Contractor participant problems or injuries that may occur during the course of placement. The Worksite understands that the participant will be covered under Workers' Compensation by the Lincoln Trail WIA program. The Worksite also agrees to comply with all LTWIA guidelines, Federal Assurances and Certifications, and existing Child Labor Laws and the American Recovery and Reinvestment Act of 2009 and agrees to hold the Kentucky Education and Workforce Cabinet, the Lincoln Trail Area Development District and the Lincoln Trail Workforce Investment Board, harmless from any and all loss, claims, expenses, actions, causes of action, cost damages, and obligations arising from any and all acts of the Worksite.

Worksite: _____
Name Address City, State Zip Code

ADA Accessible: Yes No Planned

Worksite Supervisors: 1) _____
2) _____

Work Schedule: Days of Week: _____
Daily Hours: _____

Job Description: _____

Authorized Agency Representative

LTWA Signature

Date

Date