REQUEST FOR PROPOSALS
Monitoring Services

Proposals will be received until
Friday, May 6, 2016
5:00 pm

This RFP is also available at our website
www.semca.org

Federal Contractor
Equal Opportunity Employer & Programs – Minorities/Women/Disabled/Veterans
Reasonable accommodations will be made upon request.
A. DESCRIPTION OF SOUTHEAST MICHIGAN COMMUNITY ALLIANCE

The Southeast Michigan Community Alliance (SEMCA) is a public non-profit corporation whose service area encompasses all of Monroe County and Wayne County, excluding the City of Detroit. SEMCA is a designated Michigan Works Agency that delivers and/or procures employment, education, and training services from public and private organizations throughout the region. Most of SEMCA’s programs are funded by the Workforce Development Agency State of Michigan (WDASOM) and delivered by SEMCA contractors. SEMCA’s customers include employers and unemployed or underemployed persons and youth from our designated service area.

SEMCA also provides administrative and management services to the Workforce Intelligence Network (WIN), which receives funding from foundations and state/federal agencies, including the American Apprenticeship Initiative Grant.

B. GENERAL INFORMATION

SEMCA has issued this Request for Proposal (RFP) to secure a qualified Certified Public Accounting firm to provide the following services:

- Annual fiscal monitoring of Workforce Development service contractors
- Annual program monitoring of Workforce Development service contractors
- Annual compliance monitoring related to the Workforce Development Agency Policy Issuance 13-23 (Equal Opportunity Policy Guide)

Knowledge in the following areas is desirable: Workforce Development Agency, State of Michigan (WDASOM) Rules, Regulations and Policy Issuances; United States Department of Labor Office of Federal Contract Compliance Programs Regulations; Federal Fiscal Management Regulations, including the OMB; and any other relevant accounting policies to ensure that contractors are maintaining accurate accounting records.

C. GENERAL SUBMITTAL GUIDELINES

1. All proposals must be submitted to:

   Southeast Michigan Community Alliance
   Attn: Monitoring RFP
   25363 Eureka Rd.
   Taylor, MI 48180

   The deadline for submission is 5:00 p.m., Friday, May 6, 2016. Proposals received after this time will only be considered if it is in the best interest of SEMCA to do so. All proposals must be submitted in a sealed envelope. SEMCA will time stamp and record each proposal as it is received. SEMCA will not be responsible for delays caused by the method of delivery chosen by the bidders.
All questions must be submitted via email to judy.lukitsh@semca.org no later than Friday, April 29, 2016.

This RFP does not commit SEMCA to the awarding of any contract and/or the payment of any costs including, but not limited to those incurred in the preparation of proposals under this request. SEMCA reserves the right to accept or reject any or all proposals received as a result of this request, to negotiate with all qualified bidders, and/or to cancel in part, or in it’s entirely, this RFP if it is in the best interest of SEMCA to do so.

SEMCA may, solely at its discretion, require the bidder selected to participate in negotiations to submit additional information, provide clarification or make revisions to their proposal, which may result from negotiations. All items submitted in a proposal are subject to negotiation.

2. An Original and four (4) hard copies of the proposal must be submitted. The proposal must include a Proposal Signature Sheet (see Attachment 1) bearing the original signature of the chief official of the submitting organization attesting to the commitment to perform the services described. In addition, proposals must include the Debarment, Suspension Certification (see Attachment 2), and the Certification on Prohibited Lobbying Activities (see Attachment 3).

3. All statements made in the proposal are to be considered final and, if the proposal is accepted, may be used as the basis of an agreement.

4. All proposals become public information after the award decision and may be open for public scrutiny, upon written request.

5. Proposals become the property of SEMCA upon submission and will not be returned to the bidder.

6. Proposals must be submitted in the legal name of the organization. Proposals should not be submitted in the name of a project. SEMCA will only contract with the legal entity named in the proposal.

7. Monitoring services will be conducted for the year ending 2016; however, SEMCA may extend the contract for up to two additional years. Therefore, projected costs for 2017 and 2018 monitoring should be included in the proposal.

8. SEMCA may request technical assistance on an as needed basis for any issues or questions that arise during the year. The cost for technical assistance services on an hourly basis should be identified separately in the proposal.

D. PROPOSAL SPECIFICATIONS

The successful bidder shall provide written monitoring reports to SEMCA. The report should include areas monitored with a copy of the monitoring tool. In addition to the
written reports, the selected agency may be requested to be present at designated board meetings to provide information as needed.

1. A copy of a prior monitoring report is available upon request.

2. WIOA and ES programs to be monitored operate on a July 1-June 30 schedule. Welfare and Trade programs operate on an October 1-September 30 schedule.

3. Monitoring shall be performed in accordance with SEMCA’s Program Monitoring & Evaluation Guidelines for Employment & Training Programs (attached hereto as Exhibit A); all applicable WDA Policy Issuances, Rules and Regulations; United States Department of Labor Office of Federal Contract Compliance Programs Regulations; Federal Fiscal Management Regulations, including OMB; and any other applicable federal, state, and local laws, rules, and regulation.

4. Sample copies of monitoring tools that will be used by the bidder for this project should be included in the proposal.

5. An entrance meeting will be held with all necessary representatives from the successful bidder and SEMCA to establish procedures and protocols to be followed during the monitoring. SEMCA will make all necessary information available to the firm as requested at the entrance meeting.

6. The successful bidder will be responsible for contacting each provider and scheduling the monitoring to allow completion of all monitoring within the specified time frames. A copy of the scheduled meeting dates must be sent to SEMCA prior to the monitoring.

7. An exit meeting will be held after completion of all monitoring where the contractor will provide SEMCA with the final reports and the SEMCA Monitoring Tracking Form (See Exhibit B). All findings and areas of concern related to any provider will be discussed at this time.

8. If any major findings that could result in disallowed costs are revealed during the monitoring, SEMCA’s Chief Financial Officer, or her designee, must be contacted immediately.

9. If any major program issues are revealed during the monitoring, SEMCA’s Chief Operating Officer, or her designee, must be contacted immediately.

10. All proposals must include detailed information regarding the firm and individuals who will work on this monitoring. This should include the number of staff to be involved, staff hours by classification, time anticipated for each activity required, travel reimbursement and any other anticipated out of pocket costs.

E. SCORING CRITERIA FOR RATING PROPOSALS

Proposals will be scored based on the criteria listed below.
Selection of the winning bid will be made based on the outcome of the combined scores of all reviewers. This method of proposal evaluation may result in the bid being awarded to other than the lowest priced proposal.

1. **Experience (45 points)**
   Evaluators will examine the relevant experience of the proponent with regard to monitoring of the administration and fiscal operation of the programs indicated. Experience with other similarly regulated federal and state programs will be of prime importance.

2. **Staff Qualifications (15 points)**
   Evaluators will review the relevant experience of the staff identified as intended providers of monitoring services. If proponent cannot identify specific staff qualifications for this project, then generic qualifications of each level of staff to be involved should be provided. Specific individual information will be given greater weight.

3. **Monitoring Tools (25 points)**
   Evaluators will examine monitoring tools to determine that all relevant components are included. Scores in this area will be based on overall comprehensiveness and scope of proposed monitoring tools.

4. **Cost (15 points)**
   Evaluators will examine projected costs relevant to the anticipated value and utility of proposed services. While lowest overall cost is desirable, the proposed mix of services and staff will be reviewed consistent with the anticipated needs of SEMCA. Proponents should provide their best assessment of the services necessary to effectively insure administration and programmatic compliance with relevant laws and regulations.

**F. NOTICE TO PROSPECTIVE VENDORS/SUBCONTRACTORS**

SEMCA is a federal contractor obligated to take affirmative action to employ women, minorities, disabled individuals, and veterans. SEMCA is also required to inform those with whom it conducts business that they, too, may have such obligations.

You should know that, by operation of law, as well as by this notification, the Equal Employment Opportunity Clause required under Executive Order 11246, (41 C.F.R. 60-1.4), the affirmative action commitment for special disabled veterans and veterans of the Vietnam Era set forth in 41 [C.F.R. 60-300.44(f)(1)(ii)], the Affirmative Action Clause for Section 503 of The Rehabilitation Act of 1973 set forth 41[C.F.R. 60-741.44(f)(1)(ii)], and the related regulations of Secretary of Labor, (41 C.F.R.), Chapter 60, are incorporated in all of our contractual relationships.

This notification does not necessarily mean that your business has any or all of the affirmative action obligations referenced above. This will depend upon a number of factors, including the dollar amount of our transaction(s) and the size of your workforce. This provides that if the laws’ jurisdictional requirements are met, you will abide by any and all of your affirmative action responsibilities. The governing agency on affirmative action requires
that we maintain this type of documentation to show that SEMCA is in compliance with the law itself.

Upon submission of this proposal, the vendor agrees that it will comply with the Federal Civil Rights Act of 1964, as amended; the Federal Civil Rights Act of 1991, as amended; the Americans with Disabilities Act of 1990, as amended; the Elliot-Larson Civil Rights Act, Article 2, Act No. 453, Public Act of 1976, as amended; the Michigan Handicapper’s Civil Rights Act, Article 2, Act No. 220; Public Act of 1976, as amended; and all other applicable Federal, State, and Local laws and regulations. Specifically, contractors and service providers are required not to discriminate against any employee or applicant for employment with respect to such person’s hire, tenure, terms, conditions, or privileges of employment, or any other matter directly or indirectly related to employment because of such person’s race, color, religion, national origin, ancestry, age, sex, or disability as defined by law. Breach of this covenant may be regarded as material breach of the contract or purchase agreement and may be processed as provided under the State of Michigan laws.
Fiscal & Program Monitoring and Evaluation Guidelines
For Employment and Training Programs

SEMCA is required by their funding sources to conduct monitoring on all service contractors to ensure high quality services to clients, adequate documentation for audit purposes and contract compliance. To ensure that internal operations meet the same high standards SEMCA elects to have the contractors internal procedures monitored as well. Contractors are monitored during the third and fourth quarters of each program year. Additional issues are monitored as needed.

Monitoring may be conducted through the use of internal SEMCA staff or an independent CPA firm. Contractors are responsible for certain aspects of the monitoring. They must monitor all On-the-Job Training (OJT), Post Employment and Training (PET), and Work Experience (WE) sites. If there are any concerns regarding the safety of participants they must immediately correct the situation or remove the participant from the site. The SEMCA monitor will review a sample of this monitoring for compliance and completeness. SEMCA’s monitor will also review a sample of the contractors monitoring procedures to ensure that the required components are included.

Results of contractor monitoring will be reported to the contractor and SEMCA’s Executive Director or his designee. Results of the internal monitoring will be reported to SEMCA’s Executive Director, Chief Financial Officer, Chief Operating Officer and Program Managers. A summary of all contractors monitoring will be provided for the WDB Chairperson.

I. Planning

The contractor will receive written notice of the date and time of the monitoring site visit. This notice will include:

1. The potential length of review.
2. The monitoring staff names.
3. The names or titles of contractor staff that must be available during the visit.
4. A list of documentation and/or records that will be reviewed.

A monitoring schedule must be submitted to SEMCA in advance of the site visits. The monitor must notify SEMCA if there are any revisions to this schedule.

II. The Process

The monitor will:

1. Hold an entrance conference.
2. Review documentation of specific areas identified.
3. Complete all monitoring forms.
4. Copy any documentation related to problematic areas.
5. Provide brief explanation(s) for problem areas identified during the review.
6. Discuss specific findings and problematic issues with the Director and program staff and allow for explanations and documentation of current corrective action or justification rationale.
7. Hold an exit conference with the same staff present at the entrance conference.
8. Complete a monitoring summary report of findings.
9. Mail a copy of the final report to the contractor and supply SEMCA with two copies of the final report.

III. Entrance Conference

The monitor shall hold an entrance conference with the service contractor’s Program Director or their designee and other staff deemed appropriate by the Program Director or requested by the monitor. The entrance conference will identify:

1. Program staff that will assist the monitor with their review.
2. The sequence and information for review.
3. The process for the review.
4. The potential for immediate resolution or justification of problematic issues that are discovered.
5. An approximate time for the exit conference.

IV. Monitoring Categories

Areas to be reviewed include:

Contractor Guidelines
1. Contractor Agency Policies
   a. EO/ADA Compliance
   b. Grievance/Complaint Procedures
2. Fiscal Policies and Procedures
3. Internal Monitoring
   a. Internal Controls (Segregation of Duties)
   b. Cost Allocation and Allowable Cost Classification
   c. Expenditure Reporting
   d. Procurement and Contracting
   e. Cash Management
   f. Inventory – Equipment Management
4. Client Files/Case Notes
5. Monitoring of the following:
   a. On-The-Job Training (OJT)
   b. Work-Site Monitoring
   c. Classroom Training/Individual Training Account (ITA)
6. WIA Youth Components
   a. Youth Training Monitoring Form
   b. Work-Site Monitoring
7. MIS Information

V. Exit Conference

The monitor(s) shall hold an exit conference with the contractor staff that attended the entrance conference to inform them of finding(s) and problematic areas that will appear in the monitoring report.
VI. Monitoring Report

A monitoring report will be issued within ten (10) business days after the monitoring visit. If the report includes findings and requires corrective action, a preliminary report will be issued and the contractor must comply with the Follow-Up and Final Letter procedures (See Section VII & VIII below). A preliminary report requires a final determination letter and copies of corrective action response(s) to be considered complete. These documents must be submitted to the contractor and SEMCA.

If no findings are issued the monitor will issue a final report to the contractor and provide SEMCA with two copies of the final report.

VII. Follow – Up

Contractors are required to submit a corrective action response to the findings identified in the monitoring report within twenty (20) business days of receipt of the report from the monitoring firm. The responses must clearly explain and substantiate the contractor’s corrective action taken to resolve all findings. Supporting documentation to verify that corrections have been made should be included whenever possible. If the contractor does not comply with the follow up procedures or final letter procedures, SEMCA must be notified immediately so that further action can be taken.

VIII. Final Letter

SEMCA, or, if agreed by SEMCA, the monitor will respond to the contractor’s corrective action with a letter either accepting the corrective action or requiring further corrective action within fifteen (15) business days of receipt. If further information is requested the contractor has ten (10) business days to respond to the final determination letter. Depending on the nature of the finding(s) an on-site follow-up visit will be scheduled to evaluate the corrective action taken by the contractor.
SEMCA EMPLOYMENT & TRAINING MONITORING SCOPE

The following categories will be monitored on an annual basis:

1. **Contractor Agency Policies**
   
a. Review the contractor’s Civil Rights Policy to assure compliance with Title VI of the Civil Rights Act of 1964. Is a person designated to oversee compliance with this policy? Has the contractor agency received any formal complaints? Were they handled in accordance with applicable laws, policies and procedures?

b. Review the contractor’s Grievance Policy. Is there an assigned Grievance Officer? Has the contractor received any formal complaints? If so, were they handled in accordance with applicable laws, policies and procedures? Are the Complaint and Grievance procedures posted in areas where administration and program services are provided?

c. Are the contractor’s facilities in compliance with the ADA? List any deficiencies.

d. Review advertisements, brochures and other published information for nondiscrimination and ADA language to assure compliance with Section 188 of the Workforce Investment Act, the Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973.

e. Review the contractor’s policy on the Drug-Free Workplace Act.

f. Review the contractor’s policy on Conflict of Interest.

g. Review the contractor’s Procurement/Cost allocation Policy.

h. Review the contractor’s Personnel Policies/Hiring Practices.

2. **Fiscal policies/procedures**

a. Review the cost allocation plan and/or the indirect cost plan and one month’s actual allocation. Does the plan meet the applicable OMB and WDA requirements for allowability and methodology? Are allocated costs supported by adequate documentation? Are cost charged to appropriate cost categories? Are staff costs supported by time sheets or other form of tracking hours worked? Is the allocation of time consistent with the individuals’ job duties?

b. For those contractors who submit cash request review a sample of cash request for each funding title/program. Verify supporting documentation is for allowable costs and that cash is only for immediate need. Trace year-to-date (YTD) receipts and disbursements to supporting documentation. Verify that deposits are made upon receipt of cash and that there is no excess cash on hand.
c. Review a sample of expenditures for allowability. Are checks supported by adequate documentation? Is there documentation of need for supportive service payments? Are there signed purchase orders or contracts as appropriate?

d. Have there been subcontractors other than for OJT and CRT?

e. Review an expenditure report for each funding title/program. Verify that the reported costs are supported by adequate documentation and can be traced to ledgers and/or trial balances. Check for inclusion of accruals for all sources. Verify that costs are reported correctly by category and funding source. Determine if the reports are submitted by the 10th of each month as required in the contract.

f. Review the accounting system and the internal controls of the contractor to make sure there is an adequate segregation of duties. Who is responsible for oversight of accounting functions? Is there a petty cash fund? What is the procedure for cash receipts and disbursements? What are the requirements for purchasing and receipt of goods? What are the payroll procedures?

g. Is an inventory of items maintained? When was the last physical inventory conducted? Review inventory records to make sure it contains the equipment number, description of equipment, tag number, serial number, funding source, vestment of title, date of purchase, cost, location and condition of equipment, program utilizing equipment, disposition approval date, disposition date and net proceeds of disposition. Select a sample of items from the inventory listing and verify that they exist and are as reported. Has the contractor submitted the proper forms to SEMCA for disposal of equipment? Is the equipment covered by insurance for theft and/or damage?

h. Has there been any program income? Was it reported to SEMCA and used to offset current expenditures?

3. Internal Monitoring

a. Review the internal procedure used to monitor OJT and WE sites. List any deficiencies.

b. Has the contractor conducted site visits on all OJT, PET and WE sites? Was the visit documented? Were any concerns discovered? Were they corrected or was the customer removed from the location?

c. Has the contractor followed up on all monitoring concerns?

4. Client Files

a. Select a sample of files from an updated WIA and WR 721 (OS-MIS report will be provided). Review the client’s individual Service Strategy (ISS) or Individual Employment Plan (IEP). Is it completed and current? Is the current ISS/IEP entered in OS-MIS? Is the client receiving services as outlined in the ISS/IEP? List and justify the variations.

b. Is the client receiving Supportive Services? Is the need documented in the client’s file?
5. **Individual Training Account (ITA)/On-the-Job Training (OJT)**
   
a. Review a sample of OJT and ITA contracts and Work-Site Agreements. Do they include all of the necessary elements, including worker’s compensation coverage for OJT’S? Is the training on line with the client’s ISS/IEP and with the Work-site Agreements?
   
b. Review the wage for OJT contracts and Paid Work Experience. Are the average wage and minimum wage equal to or above those specified in the contract?
   
c. Review a sample of payments made to OJT employers and Work-Site providers. Verify that the correct title/program was charged and a signed contract was executed. OJT payments should also be reviewed to insure employers were paid 50% of wages based on hours worked. Review the OJT voucher for signatures of both the employer and employee or a copy of the employee time card. Review CRT payments to insure PELL and other grants were charges prior to WIA funds.
   
6. **Youth Components**
   
a. Complete attached form for Youth Training Monitoring.
   
b. Complete attached form for Work Experience Customer Monitoring.
   
7. **MIS Information**
   
a. Select a sample of files from an updated WIA and WR 721 (OS-MIS report will be provided). Review the client’s file for completeness and eligibility. WIA files should contain all items listed in the WIA PMIG. Welfare Reform/PATH files should contain all items listed in the current policy issuances.
   
b. Monitor enrollments, placements and training outcomes to provide a current picture of provider performance.
   
c. Compare the most recent expenditure report with customer data to determine cost per customer. Is it in line with the planned amount?
   
d. Review timeliness of data entry for the Welfare Reform/PATH program to ensure prompt entry of orientation attendance and activity changes. Is the information entered on OS-MIS within two days of it becoming available?
   
e. Is the WIA Program client information submitted to SEMCA in a timely manner? If not, why?
   
f. Is the contractor meeting the work participation requirements with 50% of the active FIP cases they serve?
YOUTH TRAINING MONITORING FORM

GENERAL INFORMATION

Trainee Name: _________________________________

Training Program Title: _________________________________

Training Dates: _________________________________

MONITORING PROCEDURES

<table>
<thead>
<tr>
<th>Question</th>
<th>Compliance</th>
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<tbody>
<tr>
<td>1) Customer is eligible.</td>
<td>Yes</td>
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<td>2) ISS supports need for training.</td>
<td>Yes</td>
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<td>3) Pre-test scores appropriate and documented.</td>
<td>Yes</td>
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<td>4) Training conditions are adequate.</td>
<td>Yes</td>
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<td>5) Case management documented.</td>
<td>Yes</td>
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<tr>
<td>6) Training conditions are adequate.</td>
<td>Yes</td>
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<tr>
<td>7) Attendance is documented.</td>
<td>Yes</td>
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<tr>
<td>8) If training is complete, is certificate documented?</td>
<td>Yes</td>
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</tbody>
</table>

**Question 1:** Trace the customer to the MWA listing of active customers to verify enrollment and eligibility.

**Question 2:** Assure that the customer was objectively assessed and that the results are documented on the Individual Service Strategy form.

**Question 3:** Review the pre-test scores and documentation to assure that results indicate skills are at adequate level for training program.

**Question 4:** Review the training outline, curriculum, and other course material for adequacy of training and that it has a workplace context.

**Question 5:** Review case management notes to determine if adequate case management has taken place and been documented.
YOUTH EMPLOYMENT COMPETENCIES (YEC) MONITORING FORM, CONT’D.

Question 6: Tour and/or sit in on the training class to determine if the instruction and training conditions are adequate. Determine if class materials are being utilized as required.

Question 7: Review attendance records to document the required training activity.

Question 8: If training is completed, has the youth obtained a credential or certificate? Is a copy of the credential or certificate located in the customer’s file?
WORK EXPERIENCE (WE)
PARTICIPATION MONITORING FORM

GENERAL INFORMATION

Work Participant Name: ________________________________

Job Title: ________________________________

Work Experience Dates: ________________________________

Work Site Name: ________________________________

MONITORING PROCEDURES

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<thead>
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<th>Question</th>
<th>Description</th>
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<tr>
<td>1)</td>
<td>Customer is eligible.</td>
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<td>2)</td>
<td>Does ISS support the need for a Work Experience?</td>
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<td>3)</td>
<td>Time sheet requirements are met.</td>
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<td>4)</td>
<td>Requirements related to minors are met.</td>
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<td>5)</td>
<td>Payroll amounts calculate.</td>
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<td>6)</td>
<td>Case management is documented.</td>
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<tr>
<td>7)</td>
<td>Customer evaluation is documented.</td>
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Question 1: Trace the customer to the MWA listing of active customers to verify enrollment and eligibility.

Question 2: Assure that the customer was objectively assessed and that the results are documented on the Individual Service Strategy form. Determine if the ISS includes the required information (i.e., broad employment goal, achievement objectives, appropriate services, etc.)

Question 3: Pick a sample of payments and determine if the timesheets calculate correctly, include required signature and initials for changes, and include only actual time worked.

Question 4: For minors, assure they have received the required meal or rest period, and that a work permit is on file with appropriate signatures.
WORK EXPERIENCE (WE)
PARTICIPATION MONITORING FORM, CONT’D.

Question 5: Determine if the payroll register hours agree with the time sheet, pay rate is correct, and that the calculations of gross and net pay are correct.

Question 6: Review case management notes to determine if adequate case management has taken place and been documented.

Question 7: Determine if the work site supervisor completed an evaluation for the customer and whether it indicated achievement of skills.
<table>
<thead>
<tr>
<th>Contractor Name</th>
<th>Date of Monitoring</th>
<th>Provider Contact Person</th>
<th>Date Report Issued to Contractor</th>
<th>Receipt Date of Corrective Action Response</th>
<th>Date of Final Determination Letter</th>
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PROPOSAL SIGNATURE SHEET

Identification Data

Organization Name: _____________________________________________________________

Address: ______________________________________________________________________

______________________________________________________________________________

Phone Number: __________________________________________________________________

Signed Statement of Authority

I, ____________________________________, am the _____________________________________

(Type name of official)  (Type title of official)

of __________________________________________. I am authorized to make the following

(Type name of agency or organization)

proposal on behalf of __________________________________________________________

(Legal name of organization)

I hereby certify:

That the applicant organization understands and will comply with the specific assurances and

certifications contained in this proposal, and further; that the applicant organization understands

and will comply with the rules, regulations and policies of the Michigan Department of Energy,

Labor & Economic Development (WDA), the United States’ Department of Labor, the U.S.

Department of Health and Human Services, the Michigan Department of Community Health

Center for Substance Abuse Services and SEMCA.

I further certify that all responses to the Request for Proposal concerning the applicant

organization, its operation, and proposed program are true and accurate and that the applicant

organization understands that this proposal is application for funding and does not ensure

subsequent funding.

That if selected for funding, the applicant organization will be bound by the information

contained herein as well as by the terms and conditions of the resultant contract.

______________________________________________________________________________

Signature Date

______________________________________________________________________________

Typed Name Date
Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

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

(1) The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

Agency

________________________________________
Name and Title of Authorized Representative

________________________________________  ________________
Signature                                      Date
INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.

3. The prospective recipient of Federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective recipient of Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.

6. The prospective recipient of Federal assistance funds further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitation for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the List of Parties Excluded from Procurement or Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except the 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 voluntary excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.
Certification Regarding Lobbying
Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements), and that all subrecipients shall certify and disclose accordingly.

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

_________________________________________  ________________
Signature                                              Date
**DISCLOSURE OF LOBBYING ACTIVITIES**

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

1. Type of Federal Action: 
   - a. contract
   - b. grant
   - c. cooperative agreement
   - d. loan
   - e. loan guarantee
   - f. loan insurance

2. Status of Federal Action: 
   - a. bid/offer/application
   - b. initial award
   - c. post-award

3. Report Type: 
   - a. initial filing
   - b. material change

   For Material Change Only: 
   - year ______ quarter ______
   - Date of last report

4. Name and Address of Reporting Entity 
   - Prime
   - Subawardee

   Tier _____, if known:

   Congressional District, if known:

5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:

   Tier _____, if known:

   Congressional District, if known:

6. Federal Department/Agency:

7. Federal Program Name/Description: 
   - CFDA Number, if applicable:

8. Federal Action Number, if known:

9. Award Amount, if known: $

10. a. Name and Address of Lobbying Entity 
    (If individual, last name, first name, MI): 

    b. Individuals Performing Services (including address if different from No. 10a) 
    (last name, first name, MI): 

   (Attach continuation sheet(s) SF-LLL-A, if necessary)

11. Amount of Payment (check all that apply): 
    $ ____________  ____ actual  ____ planned

12. Form of Payment (check all that apply): 
    - a. cash
    - b. in-kind; specify: nature ________ value ____________

13. Type of Payment (check all that apply) 
    - a. retainer
    - b. one-time fee
    - c. commission
    - d. contingent fee
    - e. deferred
    - f. other, specify:

14. Brief description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment indicated in Item 11: 

   (Attach continuation sheet(s) SF-LLL-A, if necessary)

15. Continuation Sheet(s) SF-LLL-A Attached:  ____ Yes  ____ No

16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact which reference was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.D. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

   Signature __________________________

   Print Name __________________________

   Title ________________________________

   Telephone No. _________________________

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

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

1. Identify the type of covered Federal action for which lobbying activity is and or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawardee recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the subawardee. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-900-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award; loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code or the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate line(s). Check all lines that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate line(s). Check all lines that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-00-46), Washington, D.C. 20503.