

# **Economic Growth Region 7**

## **Request for Proposals For Audit and Tax Preparation Provider**

**Western Indiana Workforce Investment Board, Inc.**

**Service Delivery Period: - July 11, 2022 - June 30, 2023\***  
**\*With a possible 2 year extension, based on performance**

<b>RFP Release Date:</b>	<b>June 16, 2022</b>
<b>Proposal Submission Deadline:</b>	<b>12:00 PM (Noon), local July 6, 2022</b>
<b>Award Notification:</b>	<b>No later than July 8, 2022</b>
<b>Contract Effective Date:</b>	<b>July 11, 2022</b>

### **Package Contents:**

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- Section 2. Proposal Statement of Work**
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## **Section I: General Information and Purpose of this Proposal**

### **Part A. General Information**

Western Indiana Workforce Investment Board, Inc. is a 501(c) (3) corporation authorized by the Indiana Department of Workforce Development to provide administration and oversight of WorkOne Western Indiana services including the Workforce Innovation and Opportunity Act (WIOA) and other workforce development services in Economic Growth Region 7 (hereinafter referred to as EGR 7) which includes the counties of Clay, Parke, Putnam, Sullivan, Vermillion and Vigo Counties in Indiana. Western Indiana Workforce Development Board, Inc. (hereinafter referred to as WDB) also serves as the fiscal agent for Workforce Innovation and Opportunity Act funds for EGR 7.

There is a WorkOne office in each county in the EGR. Within this group, there is one comprehensive center, located in Terre Haute. The vision of the Governor's Workforce Cabinet is to create a talent system that affords all Hoosiers equitable opportunities for lifelong learning and increased personal economic mobility and provides employers the talent to grow and diversify their workforce. The WDB is actively promoting this vision by reinforcing the importance of lifelong learning for all Hoosiers, and by offering relevant in-demand training opportunities to the citizens of EGR 7 that will result in the attainment of the skills needed to successfully perform high demand, high wage occupations.

Information on office locations, current services and offerings may be found at the WorkOne Western Indiana website at [www.workonewest.com](http://www.workonewest.com).

Specific business sectors have been identified as priority areas for the region. These sectors represent those business sectors in EGR 7 where there is a demand for jobs that require a high skill level, and in turn, pay higher wages. As priority areas, these sectors will be presented as premier career paths to our customers, will be highlighted in local workforce development stories and career profiles, and will be the focus, as possible, in the application for additional grant funding to the region. These sectors include:

- Advanced Manufacturing
- Healthcare
- Construction
- Logistics
- Information Technology and Business Services

Current services provided to customers include, but are not limited to:  
Employer Services:

- Candidate screening
- Access to thousands of job seekers through Indiana Career Connect.
- Job fairs and other recruitment services (customized and general).
- Workshops.

- Labor market information.
- Information on grants, WorkKeys, and tax credits.

#### Job Seeker Services

- Access to the State of Indiana's job matching system: Indiana Career Connect.
- Assessment tools to identify skills and interests.
- Training programs and workshops; including but not limited to, digital literacy, HSE, on-line resources, on-the-job training.
- Scholarship funding to attend occupational skills training.
- Special services for veterans and job seekers over 55 or people with disabilities.
- Registration for unemployment insurance.

#### Youth Services

- Career development services: work experience, job shadowing, mentoring.
- Jobs for America's Graduates in-school programs.
- Training programs and workshops; including but not limited to, digital literacy, HSE, on-line resources, on-the-job training.
- Scholarship funding to attend occupational skills training.

### **Part B. Purpose of this Solicitation**

This Request for Proposal (RFP) is to contract for financial and compliance audits for Western Indiana Workforce Investment Board, Inc. (d.b.a. Western Indiana Workforce Development Board, Inc.). Doing hereinafter referred to as WIWDB, covering fiscal years ending June 30, 2022, June 30, 2023, with possible third and fourth year options.

#### **EGR 7 Annual Allocation**

Funding for the program year beginning July 1, 2022 is expected to total approximately 5.5 to 6 million dollars. Expenditures during the past two program years; exceeded 6.4 million in PY'21 and exceeded 5 million dollars in PY'20.

### **Section II: Proposal Statement of Work**

#### **Part A. Scope of a Financial and Compliance Audit**

The purpose of this RFP is to obtain the services of a public accounting firm, whose principal officers are independent certified public accountants, certified or licensed by a regulatory authority of a state or other political subdivision of the United States, hereinafter referred to as the "Offeror" to perform financial and compliance audits for WIWDB.

*Government Audit Standards:*

Financial statement audits determine (1) whether the financial statements of an audited entity present fairly the financial position, results of operations, and cash flows or changes in financial position in accordance with generally accepted accounting principles, and (2) whether the entity has complied with laws and regulations for those transactions and events that may have a material effect on the financial statements.

**Scope of Work**

WIWDB's records should be audited through June 30, 2022 for the first year under the agreement.

The Offeror is required to prepare audit reports in accordance with the *Government Audit Standards*, and other state guidelines as applicable.

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## **SECTION III: General Instructions**

### **1. Proposal initially on most favorable terms.**

Offerors are cautioned to submit their proposals initially on the most favorable basis since an award may be based on the price and terms of the proposal as initially submitted, although Western Indiana Workforce Investment Board, Inc. reserves the right to negotiate with an offeror(s).

### **2. No Disclosure**

Except as to serve notice to unsuccessful offerors of the final awards by Western Indiana Workforce Investment Board, Inc for the services covered by this RFP, no use or disclosure of the price, terms or techniques contained in the proposal shall be made, except on a “need to know” basis for evaluation purposes. In the event of an award, the proposal submitted pursuant to the requirements of this agreement by the sub-recipient receiving the award may be disclosed, reproduced, etc., at the Western Indiana Workforce Investment Board, Inc. option.

### **3. Right to Reject**

Western Indiana Workforce Investment Board, Inc reserves the right to reject any or all proposals received through this RFP, and to readvertise for any or all of the listed services at its discretion, or cancel this RFP in part, or in its entirety, at any time Western Indiana Workforce Investment Board, Inc. will not pay for costs incurred in the preparation of bids.

### **4. Requirements**

It is required that bidders not be on a debarment list. Additionally, successful bidders must have proof of insurance. All RFP's must contain a clear outline of all the following elements:

1. Understanding of Need
2. Qualifications of the organization and key staff to deliver described services;
3. A clear description of the services to be provided; planning, processes, Implementation; and,
4. A line item budget of the services to be provided.

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## 5. Questions and Answers

To be considered for funding, each bidder must submit an offer (proposal) and other supporting documentation in strict accordance with these instructions. When evaluating a proposal, the WIWIB will consider how well the bidder complied with these instructions and provided the information outlined in the Request for Proposals. Therefore, the Board encourages bidders to contact the Board contact by email during **the technical assistance period, which ends Monday, June 27, 2022 at 4:00 PM local time**, to request any additional clarification that may be needed to comply with these instructions. **Phone calls will not be accepted.** The email to submit bidder questions is [lisalee@workforcenet.org](mailto:lisalee@workforcenet.org). The official Board response to all questions pertaining to this RFP will be in writing and made available to all potential bidders. All written questions will be answered in a question and answer publication that will be posted at the Board's website at [www.workonewest.com](http://www.workonewest.com). Answers will be posted on an ongoing basis, within three (3) business days after receipt of the question. Therefore, bidders are encouraged to view the website frequently to ensure they are fully aware of the most current information, including any new questions and answers, changes to the RFP, or any additional information. All answers issued become part of the RFP and the RFP process. Should you wish to submit a question or encounter a problem with the website, contact the Authorized Board Contact immediately. The Authorized Board Contact is Lisa Lee. Her email address is [lisalee@workforcenet.org](mailto:lisalee@workforcenet.org) and the fax number is (812) 238-2466.

## 6. Contract Requirements

1. Specific requirements for conversion of the proposal into a contract will be discussed after the contract award decision. However, to be considered, proposals must include the following special assurances:
2. If awarded a contract, the bidder assures that it will abide by the specifications and requirements of the RFP in the provision of its services, unless the specifications and requirements are amended in writing by a Western Indiana Workforce Investment Board, Inc representative who is specifically authorized to do so.
3. If awarded a contract, the bidder will neither accept nor permit any of its staff to accept gratuities of any kind from any individual involved in any way with the services to be provided by the contractor.
4. The bidder assures that, if awarded a contract, it will not subcontract any of these services without the specific, written prior approval from the Western Indiana Workforce Investment Board, Inc.
5. As a condition to the award of financial assistance from the Department of Labor under Title-I of WIOA, The bidder assures that it has the ability to

comply with the nondiscrimination and equal opportunity provisions of the following laws and will remain in compliance for the duration of the award of federal financial assistance:

6. Section 188 of the Workforce Innovation and Opportunity Act (WIOA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or against beneficiaries on the basis of either citizenship status or participation in any WIOA Title I financially assisted program or activity;
7. Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin;
8. Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities;
9. The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and
10. Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs.
11. The bidder also assures that, as a recipient of WIOA Title I financial assistance, it will comply with 29 CFR part 38 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIOA Title-I financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title-I financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.
12. The bidder assures that it will comply with the Americans with Disabilities Act (ADA) in serving individuals with disabilities.
13. The bidder agrees to make the necessary arrangements, as appropriate, to provide services to individuals with a disability at the expense of the bidder, not Western Indiana Workforce Investment Board, Inc.
14. In accordance with P.L. 101-333, Section 508, the bidder is hereby notified that all projects that are funded as a result of this RFP will be 100% funded by federal funds. There will be no non-government funds available to finance these proposed services. All commitments made by the Western Indiana Workforce Investment Board, Inc. are contingent upon the availability of funds and the Western Indiana Workforce Investment Board, Inc. reserves the right to award an amount less than the total funds available for bid.

15. The bidder assures that it will procure an audit and will provide an audit report of all funds contracted with the Western Indiana Workforce Investment Board, Inc if requested by the Western Indiana Workforce Investment Board, Inc.
16. Subcontracting: Bidders may subcontract part of the services to be provided by the Service Provider, but the intention to subcontract must be clearly stated in the response to this RFP and approved by the Regional Operator.
17. Contract Negotiations: Successful respondent to this RFP will be expected to participate in contract negotiations to establish exact services to be provided and payment and terms of those services. Cost and services will be based on information contained in this RFP and in the proposal selected for negotiations.
18. Authorized Contact:  
Lisa Lee  
630 Wabash Avenue, Suite 205  
Terre Haute, IN 47807  
[lisalee@workforcenet.org](mailto:lisalee@workforcenet.org)  
Fax (812) 238-2466

## **7. Late Proposals**

- A. Proposals and modifications received at the Western Indiana Workforce Investment Board, Inc office designated in the RFP after 12:00 NOON, local time, on the date specified therein shall not be considered unless:
  1. They are received before award is made; and either,
  2. They are sent by registered mail, or be certified mail for which an official dated post office stamp (postmark) on the original Receipt for Certified Mail has been obtained, and it is determined by Western Indiana Workforce Investment Board, Inc. that the late receipt was due solely to delay in the mail, for which offeror was not responsible; or,
  3. It is determined by Western Indiana Workforce Investment Board, Inc. that the late receipt was due solely to mishandling by Western Indiana Workforce Investment Board, Inc. after receipt at the Administrative Office: Provided, that timely receipt at such office is established upon examination of an appropriate date or time stamp (if any) of such office or other documenting evidence or receipt (if readily available) with the control of such office serving it. However, a modification of a proposal, which makes the terms of an otherwise successful proposal more favorable to, Western Indiana Workforce Investment Board, Inc shall be considered at any time it is received and may thereafter be accepted.
- B. Offerors using certified mail are cautioned to obtain a Receipt for Certified Mail showing a legible, dated postmark and to retain such receipt against the chance that it shall be required as evidence that a late proposal was mailed in a timely fashion.



- C. The time of mailing late proposals submitted by registered or certified mail shall be deemed to be the last minute of the date shown on the postmark on the registered mail receipt or registered mail wrapper or on the Receipt of Certified Mail unless the offeror furnished evidence from the post office station of mailing which established an earlier time. In the case of Certified Mail, the only acceptable evidence is as follows:
1. Where the Receipt of Certified Mail identifies the post office station of mailing, evidence furnished by the offeror which establishes that the business day of that station ended at an earlier time in which case the time of mailing shall be deemed to be the last minute of the business day of that station; or,
  2. An entry in ink on the Receipt for Certified Mail showing the time of mailing and the initials of the postal employee receiving the item and making the entry, with appropriate written verification of such entry from the post office station of mailing, in which case the time of mailing shall be the time shown in the entry. If the postmark on the original Receipt for Certified Mail does not show a date, the offeror shall not be considered.

**8. Envelope for Proposals**

It is important that the proposal be mailed in an envelope clearly marked in the lower left corner with the following information:  
PROPOSAL: Region 7 Financial Services RFP

**9. Alternate Proposals**

Alternate proposals may be submitted provided that all deviations are clearly specified. The offeror should be prepared to discuss such deviations to ascertain the general acceptability by Western Indiana Workforce Investment Board, Inc.

**10. Time Period of Contract**

Proposals should address a period from July 1, 2022 through June 30, 2024. A two year extension of this contract may be authorized at the discretion of Western Indiana Workforce Investment Board, Inc.

**11. Procedures**

Complaint, grievance, mediation procedures of Western Indiana Workforce Investment Board, Inc are available to bidders from the office at 630 Wabash Avenue, Suite 205, Terre Haute, IN 47807, upon request.

**12. Proposals Received**

Proposals should be received in a “ready to copy” format and, therefore, should not, in any way, be bound, stapled, three-hole punched, or in any manner that prevents ease of copy.

Three (3) copies of the proposal(s), with one (1) copy designated as an original with original signatures and a copy of the complete, signed proposal on a data stick are to be submitted by certified mail, return receipt requested, or by hand-delivery with a signed receipt. All proposals must be received by no later than 12:00 PM local time on Wednesday, July 6, 2022.

Proposals should be mailed to:

Western Indiana Workforce Investment Board, Inc.  
ATTN: Region 7 Financial Services RFP  
630 Wabash Avenue, Suite 205  
Terre Haute, IN 47807

Proposals sent by email, telegram, and facsimile (fax) will not be honored.

Proposals received by the deadline specified herein and meeting the requirements as stated shall be acted upon by the Board of Directors of the Western Indiana Workforce Investment Board, Inc. It is the responsibility of the bidder to ensure delivery of the proposal by the required time and date.

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## SECTION IV: Proposal Package

1. **Proposal Cover Sheet (Attachment A)** includes the following areas which must be completed in the entirety:

- **Organization** - the legal entity submitting the proposal must be identified here.
- **Address** - the legal mailing address must be identified on this line.
- **Contact Person** - the individual who has authority to commit the organization to provide the proposed services should be recorded on this line. If other individuals will have responsibility for this project, they may be included here, but should be asterisked (\*) as a secondary contact.
- **Phone Number** - the phone number of the contact person should be recorded on this line.
- **Fax** - please identify the facsimile number where communications can be sent.
- **E-mail Address** - an e-mail address for the contact person should be included on this line.
- **Authorized Signature** - the signature of the primary contact person must be provided in ink. Secondary contacts need not sign the proposal.

### 2. **Proposal Statement of Work**

- A. Understanding of Need
- B. Experience/Qualifications
- C. Planning, Implementation, and Delivery of Services
- D. Budget

### 3. **Attachment B – Non-Collusion Affidavit**

### 4. **Attachment C - Assurances and Certifications**

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**PROPOSAL COVER SHEET**

Organization's Legal Name:			
Contact Person:			
Address:			
Telephone:		Fax:	
Email:		Cell:	
Federal ID#:			
Number of years potential bidder has been in business under the corporate/business structure submitting the response to this Request for Proposals: <input style="width: 20px;" type="text"/>			
Total Amount of Funds Requested:	TOTAL FUNDS REQUESTED:  Grand Total (PY 22 and PY 23):	PY 2022 July 1, 2022-June 30, 2023	PY 2023 July 1, 2023-June 30, 2024
		\$	\$
		\$	
		Signature: _____	Date: _____
		Printed Name: _____	
<b>Check all applicable boxes:</b>			
For Profit Corporation:		Sole Proprietorship:	
Not-for-Profit Corporation:		Faith-Based Organization:	
Partnership:		State Agency:	
Educational Institution:		Labor Organization:	
Business Association:		Community Based Organization:	
Other Public Agency (Specify):		Other:	

Attachment B

**Non-Collusion Affidavit**

State of Indiana

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

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

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

\_\_\_\_\_  
Print or Type Name

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

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

County of

Commission Expiration Date

Attachment C

**Assurances and Certifications**

The authorized representative agrees to comply with all applicable State and Federal laws and regulations governing the Workforce Innovation and Opportunity Act, Workforce Investment Board, and any other applicable laws and regulations.

In addition, the authorized representative assures, certifies and understands that:

1. The proposing organization has not been debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs.
2. The proposing organization possesses legal authority to offer the attached proposal.
3. A resolution, motion, or similar action has been duly adopted or passed as an official act of the organization's governing body authorizing the submission of this proposal.
4. A drug free workplace will be maintained in accordance with the State of Indiana requirements.
5. The proposing organization has all appropriate insurance coverage, and will produce a certificate of such, if requested.

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

\_\_\_\_\_  
Print or Type Name

\_\_\_\_\_  
Date

**Western Indiana Workforce Investment Board, Inc.**

**Audit and Tax Preparation Proposal Scoring Criteria**

**Organization** \_\_\_\_\_

1. Understanding of Need Possible 20 points \_\_\_\_\_

2. Experience/Qualifications Possible 30 points \_\_\_\_\_  
(including knowledge of WIOA programs, regulations and guidelines)

3. Planning, Implementation, Possible 30 points \_\_\_\_\_  
and Delivery of Services

4. Budget Possible 20 points \_\_\_\_\_

TOTAL \_\_\_\_\_