

**Request for Proposals
to Provide Fiscal Agent Services
for the Region 10 Workforce Board, Inc.(RWB)
and Region 10 Regional Operator (RO)**

**Release RFP
March 19, 2010**

**Letter of Intent to Bid Deadline
March 31, 2010**

**Proposal Submission Deadline
April 15, 2010 4:00 PM**

**Selection of Provider (Estimated Timeline)
April 30, 2010**

**Contract Effective Date
July 1, 2010 (planned)**

**Contact: Attn: Jackie James
Workforce Development Associates
P O Box 6712
New Albany, IN 47150
(812) 941-6422
jj@wda-inc.org**

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Part I – Background

The Region 10 Workforce Board, Inc. (RWB) is a not-for-profit corporation (tax exempt 501C3) which has oversight of employment and training programs in the following counties: Clark, Crawford, Floyd, Harrison, Scott and Washington counties, The RWB serves as a pass-through entity, providing employment and training programs using a variety of state and federal grant resources, including those available through the Workforce Investment Act (WIA), and several other grants.

The RWB is governed by a 14 member business-led volunteer board that will initiate program directives and provide oversight and guidance on program operations. The Regional Operator (RO) serves as the administrative arm of the RWB. Regional Operator staff attends all board meetings, presenting financial and services performance data, labor market information, any administrative concern and new programs or initiatives that fit into the RWB's strategic planning. The Regional Operator attends all state directed meetings.

Intent to Bid

A formal letter of intent to bid is required from each bidder (see instructions on page 5).

Funding

The funding for these services will primarily come from Federal Workforce Investment Act, Title I funds awarded to the Region. Attachment A shows Program Year 2009 WIA funding levels for the current eleven regions of Indiana (\$1,451,581) allocated to Region 10. While funding can fluctuate, Attachment A provides a reasonable guideline for expected funding levels. As a guideline, a maximum of 10% of the amount of funding shown on Attachment A for Region 10 is allowed for Administrative costs for the region. This 10% is inclusive of both fiscal services, and other administrative services that are required for the region.

Contract Negotiations

Successful respondent to this RFP will be expected to participate in contract negotiations to establish the exact services to be provided and the payment terms for those services. Costs and services will be negotiated based on information contained in this RFP and in the proposal(s) selected for contract negotiations. Fiscal Agents are considered grant sub-recipients and will serve on a cost reimbursement basis.

The RWB and RO reserve the right to offer a second round of RFP or negotiate with bidders interested in providing fiscal agent services to multiple regions. The RWB and RO in Region 10 have entered into discussions with the RWB in Region 11 in an effort to seek cost efficiencies. Costs and services will be negotiated based on information contained in this RFP and in the proposal selected for contract negotiations.

Disclosure

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

Subcontracts

Bidders may subcontract for all or part of the services to be provided, but the intentions to subcontract, and a specific outline of services proposed for subcontract, must clearly be stated in the response to this RFP and approved by the RWB and Regional Operator.

Proposal Format

Proposals must be prepared and sequenced in accordance with the instructions outlined in Part IV of this Request for Proposal. All referenced attachments are included in this packet.

Part II – Procurement Timeline

RFP Release	March 19, 2010
Letter of Intent to Bid	March, 31, 2010
Proposal Submission	April 15, 2010
Proposal Selection (Planned)	April 30, 2010
Contract Start (Planned)	July 1, 2010

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

Questions may be faxed or e-mailed regarding the RFP or proposal process to the Board's Contact. No phone calls will be accepted. No questions will be accepted after 4:00 PM (EST) on April 5, 2010.

Answers to any questions will be sent out to entities that have submitted a letter of intent to bid. This will be done on an ongoing basis, within three (3) business days after receipt of the questions. Therefore, bidders are encouraged to check e-mail frequently to ensure they are fully aware of the most current information. All answers issued in response to the bidder questions become part of the RFP and the RFP process.

It is mandatory that a Letter of Intent to Bid be received by the Board Contact at the address listed below on or before 4:00 PM, March 31, 2010. The letter does not commit bidder to submit a proposal. The Letter of Intent should contain the company name, address, contact person, and contact information. The Letter of Intent can also be e-mailed to the Board Contact. All of the letters of Intent to Bid will be kept confidential and will be released upon written request and only after a final selection has been made.

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

Contact: Attn: Jackie James Workforce Development Associates P O Box 6712 New Albany, IN 47150 (812) 941-6422 jj@wda-inc.org

Other than as specified above, all members of the Region 10 Workforce Board, Inc. staff, authorized representatives, or agents of the Board are precluded from entertaining or responding to questions concerning this RFP or the procurement process.

Potential Bidders are prohibited from making any contact related to this RFP with Board staff or the Board of Directors at any time during this procurement. Violations of this prohibition will result in the automatic disqualification of the offending Bidder.

The Region 10 Workforce Board, Inc., reserves the right to reject any and all proposals it receives in response to this RFP. It is understood that submitted proposals will become part of RWB's official files without further obligation. The RWB will not pay for the development or preparation of proposals.

Part III – Eligibility and Contract Information

1. Eligible applicants for the Fiscal Agent Include:

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

Contract Information

This RFP is designed to secure Fiscal Agent services for two organizations that have oversight and operational responsibilities for regional employment and training services: 1) The Region 10 Workforce Board, Inc. and 2) the Regional Operator entity. Funding for all activities under this RFP will be provided by the appropriate program grant. The actual amount of the contract award will be based on a negotiated cost proposal and available funds, and will ensure optimum utilization of funding for services. **The Board and R/O may negotiate an interim contract for transitional activities prior to July 1, 2009.**

2. Period of Performance

The period of the contract will be effective no later than July 1, 2010 through June 30, 2012. A one-year extension may be granted by the Regional Workforce Board.

Part IV- Proposal and Submission Information

1. Availability of RFP Packets

Request for Proposal packets will be available beginning on and after 4:00 PM EST March 19, 2010 at the Board's contact, Attn: Jackie James, Workforce Development Associates, 3310 Grantline Road (Rear Bldg.), P O Box 6712, New Albany, IN 47150. Packets may be picked up in person. requested in writing to the above address or via email at jj@wda-inc.org. . The RFP will also be available for download in PDF format from the Region 10 Board Website at www.workonregion10.org.

To be considered, each bidder must submit an offer (proposal) and other supporting documentation in accordance with instructions provided herein. When evaluating a proposal, the Board will consider how well the bidder complied with these instructions and provided the information outlined in the Request for Proposal.

3. Proposal Submission Information

Responses to this RFP should be economically prepared, with emphasis on completeness and clarity of content. The proposal, as well as any reference materials presented, must be typed in English in at least 11 point font and must be written on standard 8 1/2" by 11" paper with no less than one inch margins (although foldouts containing charts, spreadsheets, and oversize exhibits are permissible.) The proposal must be no longer than 15 pages, not counting the exhibits.

Starting after the cover page and the table of contents, number each page at the bottom center using the format "page x of x". The completed attachments B, C, and D and Budget Estimate Worksheet form this RFP must be included with your proposal. The cover page, table of contents and these required attachments do not count as part of the maximum 15 pages.

The Proposal should contain the name and address of bidder, and primary contact information. Bidders are encouraged to clearly identify "Proprietary" information as such. All proposal pages must be sequentially numbered and either stapled or bound together.

All information in the proposal should be relevant to a specific requirement detailed in the RFP. Any information not meeting this guideline will be deemed extraneous and will in no way contribute to the evaluation process.

When completed, proposals are to be assembled in the following manner:

- Proposal Cover Page (Attachment B)
- Table of Contents
- Organizational Section –
 1. Organization name
 2. Organization address
 3. Organization telephone number(s)
 4. Contact person
 5. Length of time in business
 6. Chief Executive Officer
 7. A Statement indicating the intent of the organization to provide services described in this RFP
 8. Legal status of the Bidding Entity
 9. Mission or purpose of the Organization
 10. Organization's website address
- Bidders Background & Experience
 1. Description of the purpose of the Organization
 2. Description of the management and structure of the Organization, and related expertise.
 3. A listing of similar services provided – Names and Contacts
 4. Brief resumes for key personnel that will provide the services

5. Copies of monitoring reports and audit reports for the past two years for similar services
- Plan of Service
 1. Detail the plan for providing Fiscal Agent services to RWB and RO.
 2. Services provided on site versus off-site - provide details.
 3. Services provided not specifically required in the RFP.
 4. Regional Operator staff availability – (full time versus part time – provide details).
 - Outcomes/Results –
 1. Provide information on outcomes achieved from previous contracts (Workforce Investment Act outcomes preferred)
 2. Describe actions taken as a result of not achieving outcomes and corrective actions to improve performance
 3. Describe how applicant will evaluate success for Region 10 services, measurement criteria, etc.
 4. Describe actions applicant will take to prevent incurring questioned or disallowed costs.
 5. Provide most recent audit report.
 - Budget/Cost – Bids will be evaluated based on respondents' proposals to the RFP. Bidders must use the attached Budget Estimate Worksheet (Attachment E) to identify proposed costs.
 - Non-Collusion Affidavit (Attachment C)
 - Assurances and Certifications (Attachment D)
 - Required Insurances/Bonding: General Liability, Workers Compensation, Employee Fidelity Bonding
 - Exhibits
 1. Budget Narrative and Budget Estimate Worksheet
 2. Bidder's Annual Report/Financial Statement
 3. Resumes of the Key Staff to be involved
 4. Organizational Charts
 5. Recent Audits and Monitoring Reports from Similar Initiatives

Each section and exhibit must be clearly labeled.

Submittals must include one (1) original, five (5) copies, and one (1) electronic version (either PDF or Microsoft Word format). The electronic version may be marked "**ORIGINAL**" on the cover sheet and contain original signatures, where applicable. No faxed or e-mail copies will be accepted. The original must have original signatures in (blue ink).

All responses become the property of the Board.

4. Submission Dates and Times

The closing date for receipt of proposals under this request is **April 15, 2010**. Proposals must be received at the address below no later than 4:00 PM EST. **Proposals sent by e-mail, telegram, or facsimile (fax) will not be honored.** No exceptions to the mailing and delivery requirements set forth in this request will be granted. It is the responsibility of the bidders to ensure delivery of the proposal by the required time and date.

Proposals are to be addressed to:

Contact: Attn: Jackie James Workforce Development Associates P O Box 6712 New Albany, IN 47150 (812) 941-6422 jj@wda-inc.org

Any proposal not following these guidelines, or submitted after the deadline will not be accepted for consideration under this RFP.

5. Other Submission Requirements

Withdrawal of Proposals. Proposals may be withdrawn with written notice, including letter, facsimile, or email received by the Board Contact at any time before an award is made. Proposals may be withdrawn in person by the applicant or by an authorized representative thereof, if the representative provides written notice and signs a receipt for the proposal.

Changes, Amendments, and/or RE-Issuance of this Proposal. Unless specifically requested by the Board, changes and/or amendments to the originally submitted proposal will not be considered. In addition, the Board reserves the right to: (1) Amend or withdraw this RFP at any time; (2) Reject any and all proposals; and (3) RE-issue this RFP.

Assurances and Certifications. The individual having Contract Signature Authority must sign the Assurances and Certification Document. **Note:** Do not re-type this document; use the copy provided with this RFP. **(Attachment D).**

Part V – Scope of Services

The Region 10 Workforce Board, Inc., (RWB) for Region 10 is publishing this Request for Proposal (RFP) to seek responses for a Fiscal Agent for Region 10 which consists of the following counties: Clark, Crawford, Floyd, Harrison, Scott, and Washington. The selected respondent from among the proposals for funding will be a contractor for: 1) Region 10 Workforce Board, Inc., and 2) the Region 10 Regional Operator respectively.

- Indiana has been divided into eleven Regional Workforce Service areas. Each area has a RWB that will be responsible for the delivery of workforce services in that geographic region.
- The regional Operator will provide administrative and support services for the RWB and will also provide operational oversight, management and fiscal management for the WorkOne offices in the region. **An outline of RO responsibilities is provided below:**
- Additional details on this structure are contained in Indiana’s Strategic Two-Year Plan for the Workforce Investment Act and Wagner-Peyser Act. This document can be found at http://www.in.gov/dwd/files/stateplan_120805.pdf.

Regional Operator responsibilities include:

1. **Responsible for leading and managing the delivery of an integrated client services system** in accordance with federal and state legislation and regulations, state policy, and the Indiana Strategic State Plan. Programs include, but are not limited to the following:
 - Workforce Investment Act Title I Adult,
 - Dislocated Worker,
 - Youth,
 - Wagner –Peyser Act,
 - Veterans employment and training programs,
 - and Trade Adjustment Assistance
 - Other Programs will be incorporated
 - Ensure adherence of the system to state policies. Policies of the Indiana Department of Workforce Development may be found at <http://www.in.gov/dwd/2544.htm>.
 - Ensure adherence to the Regional Integration Policy as outlined in DWD Policy 2007-20, (http://www.in.gov/dwd/files/2007_20.pdf.)
2. **Direct and coordinate the flow and delivery of services in each WorkOne Center** located in the region (www.workoneregion10.com)
 - Direct and coordinate the flow and delivery of services in each WorkOne located in the region, in accordance with the State's Regional Integration Policy and mutually agreed upon service level standards.
 - Provide technical assistance to the workforce service providers in the WorkOne system, including the non-procured partners in the one-stop system.
 - Create a budget, cost allocation plan, and procurement policy for the RWB's approval, including budgeting for the work of the RWB.
 - Ensure compliance with the region's procurement policy, including execution of all contracts.
 - Provide participant reporting and data validation functions, in conjunction with the RWB.
 - Coordinate / Cooperate with the selected Fiscal Agent concerning fiscal and financial reporting formats and processes.
 - Develop RFP's for service providers and oversee the evaluation and selection process with approval of the RWB.
 - Perform duties identified for the One-Stop Operator in federal and state legislation, regulations, policies and procedures.
 - Receive, along with the RWB, technical assistance and support from the Indiana Department of Workforce Development.

- Update and maintain the eligible training provider data including, but not limited to the acceptance of applications from training providers, the entry of applications into the state system and the first level approval or denial of such applications. Such actions will be in coordination with the regional workforce board and the State workforce board. The state's eligible training provider policy may be found at <http://www.in.gov/dwd/fules/1998-65-wiawtw.pdf>.
3. **Seek additional funding sources and partnering opportunities** that will enhance the region's ability to provide workforce development services. Staff will be expected to go beyond basic one-stop system oversight and continually look for ways to strategically grow jobs, employment and personal income in Region 10. Staff must be able to form coalitions and partnerships to achieve these results.
- The R.O. will provide research analysis on workforce information and assist the RWB with strategic planning.
4. **Promote the efforts of the WorkOne System and the Boards initiatives.** The RWB is an active, business-led, volunteer board that establishes policy and drives the region's strategy for workforce development. Regional Operator staff provide proactive administrative support to this board. The purpose and role of Regional Operator staff is to:
- Assist the RWB to think strategically regarding the development of a comprehensive workforce system and alignment of the workforce system with economic development and education.
 - Assist the RWB to develop into a dynamic, cooperative, and positive team with the capacity to achieve established priorities.
 - Cultivate a climate that actively engages Regional Operator staff members as well as RWB members, so that value-added results are seen and individuals sense the benefits of participating.
 - Assist the RWB in developing and using an industry cluster approach to workforce, education, and economic development policy and practice.
 - Identify and use a strategic planning process that will produce both short and long-term goals, and achievements resulting in visible actionable plans.
 - Ensure that the RWB meets its responsibilities with respect to contracts in force (e.g. Business Consultant contract).
 - Provide data-based performance reports to the RWB on a regular basis.
 - Compile and publish data-based performance indicators in graphic form on a regular basis.
 - Liaison with the Local Elected Officials within the Region on matters relevant to the Board.

Fiscal Agent responsibilities and scope of work include:

- The Fiscal Agent must provide services to the RWB and RO identified in this RFP.
- The Fiscal Agent will be responsible for all financial matters of the RWB and RO.
- The Fiscal Agent or entity for which they are employed may not provide workforce development services through the State of Indiana WorkOne system in Region 10.
- The Fiscal Agent will establish procedures to ensure fiscal integrity.
- The Fiscal Agent, the RO and RWB will aggressively pursue repayment from the originating entity/organization for disallowed costs.
- The Fiscal Agent will follow all applicable federal and state legislation and regulations, applicable Office of Management and Budget (OMB) Circulars, and other State/Regional policies and directives and ensure compliance by the RWB and RO with the same.
- The Fiscal Agent will coordinate with the Regional Operator, RWB and Department of Workforce Development (DWD) on fiscal issues.
- The Fiscal Agent will conduct fiscal monitoring of Region 10 service provider contracts in accordance with Federal, State and Regional Regulations, Policies and Directives.
- The Fiscal Agent will serve as a consultant expert to the RWB and RO regarding fiscal issues relative to procurement, contracts, monitoring, and internal control and fiscal issues of WIA and other federal programs.
- The Fiscal Agent, as stated above, will assure compliance with applicable OMB Circulars/DWD & State directives/RWB directives/"boiler plate" language of signed agreements between parties, and when deemed appropriate, confer with the state on issues concerning allowable costs and acceptable processes and procedures.
- The Fiscal Agent will use acceptable software that allows for accrual reporting of costs within the time lines established and the allocation of overhead/indirect cost of IAW acceptable CAP.
- The Fiscal Agent will be in full compliance with the state/RWB cash management directives to include monthly bank reconciliations, and maintaining minimum cash on hand.
- The Fiscal Agent will establish a procedure to record and report all stand-in costs, when applicable all match cost of cash/in-kind as directed and any required maintenance of effort.
- The Fiscal Agent will be responsible for coordination and preparation of all financial information requests and financial reporting/reimbursement requests from Department of Workforce Development and/or other grantors for all Region 10 Grants related RWB and RO.

- The Fiscal Agent will be responsible for review and oversight of procurement processes conducted on behalf of the RWB and RO
- The Fiscal agent will provide regional allocation, expenditure and budget spreadsheets for RWB and RO review and decision making on a monthly/YTD basis in a format that is user-friendly.
- The Fiscal Agent will be responsible for the preparation of tax returns for the RWB and RO.
- The Fiscal Agent will be responsible for the procurement of an internal audit for the RWB and RO.
- The Fiscal Agent will be responsible for the procurement of a financial management software system and server system on behalf of Region 10 to be utilized for work performed under this contract.
- The Fiscal Agent will be responsible for developing and a detailed transition plan to prepare for work to be conducted under this RFP.

Part VI. Selection Process

Procurement will be conducted in a manner that provides for full and open competition. Award will be made only to individual(s) or organization(s) possessing the qualifications and demonstrated ability to perform successfully under the terms and conditions of a contract and that is in line with the scope; of services listed in this RFP.

The selection process will consist of:

- a. An initial review for responsiveness and compliance with the technical specifications and other criteria specified in the RFP;
- b. Only **responsive** proposals will be evaluated and scored by a proposal evaluation team. Responsive proposals will be evaluated on specific areas by all reviewers using the same standardized instrument;
- c. Proposals will be deemed non-responsive for:
 - 1) Failure to follow the prescribed format for submitting the proposal.
- d. Review and scoring by evaluators (see Part VII below for details);
- e. Oral discussions of proposals with bidders, as needed;
- f. Interviews and/or request for additional information with top selected bidder(s) (price will be considered and discussed with bidders in this or the previous step) may be conducted at the discretion of the board;
- g. Presentation of evaluations, scoring and recommendations of proposal review team to the Board;
- h. Discussion and appropriate action by the Board in selecting proposed contractor(s) for contract negotiations.

- i. Successful bidders may be subject to an on-site visit to evaluate administrative and financial management systems. Additionally, they may be required to attend a contractor training session to ensure they are cognizant of Operator responsibilities, reporting requirements, payment methods and performance measures to ensure successful contract performance.

Part VII – Evaluation Process and Rating Criteria

There are 100 points available under this RFP. The Board and RO may, at its sole discretion, waive minor errors or omissions in a Technical Proposal and/or a Cost Proposal when those errors do not unreasonable obscure the meaning of the content. Further, the Board reserves the right to request clarifications from bidder of any information in their proposal/forms, and may request such clarification as it deems necessary at any point in the proposal evaluation process.

Rating Criteria

The applicants' bids will be evaluated on 5 criteria:

	Possible points
• Bidder's Background and Qualifications	10
• Financial Services Planning	20
• Program Management & Organizational Capacity	20
• Outcomes / Results Delivered	20
• Cost	<u>30</u>
Total	100

Bidder's Background and Qualifications (10 Points)

Describe the bidder's background including:

- Number of years in business and brief history of bidder
- Organizational Status/Type
- Examples of types of contracts bidder has previously entered into, including entity, location of work and general types of services provided.
- If bidder has a board, provide a list of board members (may be provided as attachment)
- Provide a copy of two most recent audit reports

Financial Services Planning (20 Points)

- Describe the staff, and relative expertise under WIA and other federal programs proposed to be assigned to this contract.
- Provide an organizational chart that shows how staff assigned serve under the overall organization. Indicate the percentage of time each staff person will be devoting to this contract.
- If a position is vacant, describe the qualifications that will be sought for the position and timetable for hiring. The lead position may not be reflected as vacant.
- Describe transition plans necessary for the bidder to be "ready to proceed" as of July 1, 2010 to conduct work as Fiscal Agent for Region 10 under this contract.
- Describe financial systems (hardware and software) procurement as defined under Scope of Work. All software and hardware procured under this contract become the sole property of the Region 10 Workforce Board, Inc.
- Describe the plan to develop a financial reporting and cash management system for the RWB and RO. Provide your plan for communication of financial reporting, cash management, and fiscal oversight for RWB and RO financial processes.

Program Management & Organizational Capacity (20 Points)

- Describe experience in automated fiscal management reporting systems.
- Address your experience in working with accounting and reporting systems, including the Indiana Dept. of Workforce Development and other state and federal agencies and/or private sector entities.
- Describe your expertise in preparation of state and federal tax returns
- Detail the expertise in providing financial services for federal and state workforce programs.
- Describe experience in budgeting, accounting and fiscal oversight.
- Describe experience in overseeing procurement processes and contract development.
- Provide credentials and certifications for personnel that will provide services under this contract. Provide the qualifications and resume of key personnel to provide services under this contract.
- Describe experience in monitoring WIA and other workforce programs, including other state and federal programs.
- Describe any work currently being conducted or proposed to be conducted in addition to this contract for entities of the Indiana Workforce Development System (including RWB's, RO's, Indiana Dept. of Workforce Development, others). Estimate percentage of your overall organization's work that would be represented by this contract.
- If entity has previously acted as fiscal agent for WIA funds, provide a copy of two most recent fiscal monitoring reports.

Outcomes/Results Delivered (30 Points)

The organization's success in administering workforce development programs can, many times, be reflected through the outcomes achieved in the region. The RWB and RO is interested in learning about the achievements of the organization/entity. Such achievements may have been measured through contract payment points, achieving benchmarks, achieving or exceeding performance standards established.

The applicant will:

- Provide the outcomes achieved by the applicant from previous contracts. Workforce Investment Act outcomes are preferred but outcomes from other funding sources are acceptable for workforce development, education, or economic development.
- Describe corrective actions taken (for example: internal actions required by a contracting entity) as a result of not achieving outcomes. Describe two or more examples of corrective action plans demonstrating the ability to make course corrections to solve problems and/or improve performance.
- Describe how the contractor will evaluate success in providing financial services to the RWB and RO in Region 10, including measurement criteria and any additional planned outcomes.
- Describe what actions the applicant will take to prevent the RWB and RO from incurring questioned or disallowed costs.
- Provide a copy of the most recent audit report reflecting the applicant's ability to administer workforce development services.

Cost (30 points)

Identify cost to deliver service. Bidders must use the attached Budget Estimate Worksheet and Narrative (Attachment E) to identify proposed costs. Scoring of the Budget will be based on reasonableness of budget consistent with the scope of work proposed and the thoroughness and logic of the budget narrative. If the organization is applying as a lead organization but proposing to subcontract part of the work, indicate the budget amount for the subcontractor under the "Contract" line item.

In the Budget Narrative:

- Describe how you will determine Region 10 Workforce Board and Regional Operator fiscal agent costs for any workforce development grants that may be received in the region
- Describe how you will determine Region 10 Workforce Board and Regional Operator fiscal agent costs for other state, federal and foundation grants or awards.
- Please indicate interest in providing Fiscal Agent Services in both Regions 10 and 11, and cost efficiencies that are willing to be provided for services to more than one region.

Part VIII – Award Administrative Information

1. Administrative Program Requirements

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

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

- m) 29 CFR part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- n) 29 CFR part 37—Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 (WIA).
- o) Regional Integration Policy, DWD Policy 2007-20
- p) Indiana Code IC **22-4.5-7**, Regional Workforce System

In addition, an individual having Contract Signature Authority must sign the Assurance and Certification Document (Attachment D). **Note:** Do not re-type this document; use the copy provided in the RFP.

2. Appeal Process

Bidders who desire to file an appeal must submit their written request within ten (10) business days of the receipt of the Board's notification of the procurement decision. A written Notice of Appeal shall be directed to:

Region 10 Workforce Board, Inc.
Attn: James Bye, Chair
3310 Grantline Road, P O Box 6712
New Albany, IN 47150.

The appeal must indicate the specific grounds and the violation, which forms the basis for the appeal, and shall be signed by the appellant organization's authorized representative. Fax and e-mail transmittals will not be accepted. The filing of the appeal within the time frame is a condition precedent. The appeal will be reviewed by the Region 10 Workforce Board. The determination of the board regarding the appeal will be deemed final.

3. Authorized Board Contact

The authorized Board contact person for this procurement is:

<p>Region 10 Workforce Board, Inc. Attn: Jackie James 3310 Grantline Road (Rear Bldg.), New Albany, IN 47150 (812) 941-6422 jj@wda-inc.org</p>
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Please address all questions pertaining to this RFP, in writing, to the Authorized Board Contact. Questions will not be accepted after 4:00 PM EST April 5. 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 e-mailed out, to potential bidders who have submitted a letter of intent, within three (3) working days after the date of receipt. Bidders are encouraged to check their e-mail daily for additional questions and answers, any changes to the RFP, or any additional information regarding the RFP.

Other than as specified above, all members of the Region 10 Workforce Board, Inc, Regional Operator staff, authorized representatives, or agents of the Board are precluded from entertaining or responding to questions concerning this RFP or the procurement process.

Potential Bidders are prohibited from making any contact related to this RFP with Board staff or the Board of Directors at any time during this procurement. Violations of this prohibition will result in the automatic disqualification of the offending Bidder.

The Region 10 Workforce Board, Inc., (RWB) and the Regional Operator reserves the right to reject any and all proposals it receives in response to this RFP. It is understood that submitted proposals will become part of Region 10 Workforce Board official files without further obligations. Region 10 Workforce Board, Inc. or Regional Operator will not pay for the development or preparation of proposals.

ATTACHMENTS

Attachment A

Workforce Investment Act Program Year 2009 Allocations by Region

Marion County	\$7,534,805
Region 1	\$6,220,491
Region 2	\$5,018,133
Region 3	\$6,575,069
Region 4	\$3,596,712
Region 5	\$3,431,147
Region 6	\$3,404,115
Region 7	\$1,938,817
Region 8	\$1,952,296
Region 9	\$1,569,116
Region 10	\$1,451,581
Region 11	\$1,905,258
Total	\$44,597,540

Attachment C

Non-Collusion Affidavit

State of Indiana

County of _____

The respondent is hereby giving oath that it has not, in any way, directly, entered into any arrangement or agreement with any other respondent or with any officer or employee of the Region 10 Workforce Board whereby it has paid or will pay to such other respondent or officer or employee any sum of money or anything of real value whatever; and has not, directly or indirectly, entered into any arrangement or agreement with any other respondent or respondents which tends to or does lessen or destroy free competition in the letting of the agreement sought for by the attached response; that no inducement of any form or character other than that which appears on the face of the response; will be suggested, offered, paid, or delivered to any person whomsoever to influence the acceptance of the said response or awarding of the agreement, nor has this respondent any agreement or understanding of any kind whatsoever, with any person whomsoever, to pay, deliver to, or share with any other person in any way or manner any of the proceeds of the agreement sought by this response.

Signature of Authorized Representative

Print or Type Name

Subscribed and sworn to me this day ____ of

Notary Public

County of

Commission Expiration Date

Attachment D

ASSURANCES AND CERTIFICATIONS

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

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

Section 188 of the WIA, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I-financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color or national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against individuals with disabilities: the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the bases of age: and Title IX of the Education Amendments of 1972 as amended, which prohibits discrimination on the basis of sex in education programs.”

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

Debarment, Suspension, and Other Responsibility Matters: This certification is required by the Federal Regulations implementing Executive Order 12549, Government-wide Debarment and Suspension, for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (24 CFR Parts 85), Department of Health and Human Services (45 CFR Part 76).

The undersigned applicant certifies that neither it not its principals:

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

- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses enumerated in Paragraph (2) of this section; and
- (4) Have not within a three-year period preceding this application had one or more public transactions terminated for cause or default.

Nondiscrimination: The undersigned applicant certifies that it shall comply with the nondiscrimination provisions outlined in the WIA of 1998 including Title I, Sec. 184 (f) and Sec. 188 (a); 20 CFR 667.226 (1) and 45 CFR 80 AND 84.

Conflict of Interest: The undersigned applicant certifies that:

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

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

The undersigned applicant certifies that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence any officer or employee of Congress, or an employee of a Member of Congress, or locally elected officials.

- (2) In connection with the awarding of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (3) If any funds, other than Federal appropriated funds, have been paid or will be paid to any per for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, any officer or employee of Congress, an employee of a Member of Congress, or locally elected officials in connection with this Federal contract, grant, loan or cooperative agreement,

The undersigned shall complete and submit "Disclosure Form to Report Lobbying", in accordance with its instructions.

- (4) The undersigned shall require that the language of this certification be included in the award for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and provide disclosure accordingly.

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

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

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

These certifications are material representations of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction.

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

WIA Sec. 188 (a):

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

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

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

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

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

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

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

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

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

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

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

Certified by:

Signature of Authorized Official

Typed/Printed Name of Signatory

Signatory's Official Title

Proposer's Name

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

Attachment E

BUDGET ESTIMATE WORKSHEET

	Line Item	Total Budget
1	Salaries	
2	Fringe Benefits	
3	Staff Development and Travel	
4	Operating Expenses:	
	Rent	
	Utilities	
	Maintenance	
	Furniture and Other Equipment	
	Office Supplies	
5	Procurement of Audit	
6	Subcontractor Services	
7	Procurement of Equipment/Software On-site Region 10	
8	Other Administrative Costs	
	TOTAL	