

WORKFORCE INNOVATION and OPPORTUNITY ACT
REQUEST FOR PROPOSAL
LOCAL GRANT SUB-RECIPIENT SERVICES

November 1, 2015 – September 30, 2017

Released by the Lincoln Trail Local Elected Official's Governing Board
LaRue County Fiscal Court
209 West High Street, Suite 4
Hodgenville, KY 42748

Submit Proposals to:

Mark White, Deputy Commissioner
Department of Workforce Investment
Attn: Local Grant Sub-Recipient Services RFP
Lincoln Trail Workforce Development Area
500 Mero Street, 3rd Floor
502.564.0372

BID AND CONTRACT TIMELINE

Request for Proposal Issued Wednesday, September 30, 2015

Request for Proposal Available Wednesday, October 7, 2015

Intent to Bid Contact: Judge Tommy Turner, to confirm your intent to bid in writing to:
LcJudge@scrtc.com. **NOTE:** Your intent to bid should be received no later than October 12, 2015.

Deadline for submission of written questions, October 12, 2015
no later than 4:00 PM EDT

Questions addressed electronically to:

Judge Tommy Turner

LcJudge@scrtc.com

cc: Beth Avey

beth@heartlandcommunicate.com

Answers to Written Questions issued: October 16, 2015

Proposals due no later than: October 21, 2015

Successful bidder notified November 1, 2015 or date TBD following review

REQUEST FOR PROPOSAL

FOR

LINCOLN TRAIL WORKFORCE DEVELOPMENT AREA LOCAL GRANT SUBRECIPIENT SERVICES

Date Issued	September 30, 2015
Date Available	October 7, 2015
Intent to Bid	E-mail Tommy Turner, Judge Executive, Larue County at LcJudge@scrtc.com with your intent to bid including contact information. Your intent to bid should be received no later than October 12, 2015.
Due Date	Proposals must be RECEIVED no later than October 21, 2015 4:00 PM EDT. Deliver proposals to: Mark White, Deputy Commissioner Education & Workforce Development Cabinet Department of Workforce Investment 500 Mero Street, 3 rd Floor Frankfort, KY 40601
Scope of Services	The successful bidder will receive and disburse all funding at the direction of the Lincoln Trail Workforce Development Board.
Period	November 1, 2015 or date TBD following review and award – September 30, 2017 (with a two year renewal option at LWDB and chief local elected officials' (CLEO) discretion)
Funds Available	Program Year 16 allocations are not known at this time. Total administrative costs including this contract cannot exceed 10% of the PY 14 and PY 15 allocations. PY 14 and PY 15 Lincoln Trail WDA Adult, Youth and Dislocated Worker formula funds and additional awards total \$1,658,335.29.
Eligible Bidders	Any public or private for-profit or non-profit entity in or that is eligible to operate within the eight county Lincoln Trail Workforce Development Area is eligible.

Limitations

This RFP does not commit the Lincoln Trail LEO Governing Board to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract for services.

Questions

Deadline for submission of written questions is October 12, 2015 no later than 4:00 PM EDT. All questions should note "Questions" in the subject title. Questions addressed electronically to:

Judge Tommy Turner

LcJudge@scrtc.com

cc: Beth Avey

beth@heartlandcommunicate.com

TABLE OF CONTENTS

Section I	Introduction
Section II	Role of the Local Grant Sub-recipient
Section III	Scope of Work <ul style="list-style-type: none">A. Scope of Work<ul style="list-style-type: none">1. Control of Board Funds2. Disbursement of Funds3. Accounting of Funds4. Financial & Grant Reporting5. Recovery/Reimbursement6. Administrative Functions7. LWDB Support8. Deliverables9. Current Contracts and Staffing10. Transition
Section IV	Available Funds
Section V	Proposal Content <ul style="list-style-type: none">A. Bidder's Demonstrated Experience of Quality Service DeliveryB. Bidder's Fiscal IntegrityC. Plan of WorkD. Pricing
Section VI	Proposal Instructions and Information <ul style="list-style-type: none">A. ContractingB. Proposal DeadlineC. Procurement TimelineD. Intent to BidE. Proposal RequirementsF. Qualifications for BiddersG. Proposal EvaluationH. Governing Provisions and LimitationsI. Administrative Requirements and ProceduresJ. Submission Order

APPENDICES

Appendix A - Proposal Cover Sheet

Appendix B - Proposal Checklist

Appendix C - Administrative and Financial Management Survey & Certification

Appendix D - Assurances

Appendix E - Debarment Certification

Appendix F - Non Collusion Affidavit

Section I – Introduction

This is a Request for Proposal (RFP) for an organization to serve as the local grant sub-recipient for the planning, management and disbursement of Workforce Innovation and Opportunity Act (WIOA) funds to provide services to adults, dislocated workers, and youth; and other state and federal funds awarded to the LWDA. The successful bidder will receive, disburse, and account for said funding at the direction of the Local Workforce Development Board (LWDB). The successful bidder will prepare and submit all reports required by the Commonwealth of Kentucky and the LWDB and provide administrative and planning functions as required under WIOA Title 1, regulations, and state and local policies. The successful bidder will also assist the LWDB according to local policy.

According to WIOA § 107(d)(12)(B)(II), in order to assist in the administration of the grant funds, the chief elected official may designate an entity to serve as a local grant sub-recipient for such funds or as a local fiscal agent. In March, 2015, the Kentucky Workforce Investment Board (KWIB) issued an Inter-local Agreement policy that defines the procurement and designation of the Fiscal Agent or Local Grant Sub-recipient by stating that the Local Elected Official (LEO) Governing Board shall carry out a competitive procurement process conducted by the Department of Workforce Investment (DWI) for fiscal agent or local grant sub-recipient services including a Request for Proposals (RFP) that has been reviewed and approved by the DWI. Furthermore, the policy provides that proposals will be evaluated and ranked based upon criteria including but not limited to quality of services, demonstrated experience of quality service delivery, cost, conflict of interest policies, and history of fiscal integrity.

For the current PY15, the LWDB's budget is approximately \$ 1.6 million. The PY 14 carryover funds and PY 15 allocation and additional funds total \$1,658,335.29. Allocations and carry-forward funds from the prior year have varied each year. The Board currently contracts with the Lincoln Trail Area Development District as the single Adult, Youth and Dislocated Worker program operator and the Career Center Services Provider. This entity will continue as the Career Center Services provider through June 30, 2016. The Career Center Operator is currently a consortium of agencies at each site. Career Center services will be procured prior to June 30, 2016. The successful provider will operate as of July 1, 2016.

The Board, in partnership with the CLEO, has responsibility for the planning and oversight of workforce development services under WIOA in eight west-central Kentucky counties. The Lincoln Trail Workforce Development Area (Area) is comprised of the following counties: Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson and Washington.

The intent of WIOA Title 1 is to provide training opportunities for residents that match the existing and future workforce needs of employers. The focus of service delivery is to provide eligible adults, dislocated workers and youth with access to career information, career assessment and, as needed, training and other career preparation that will increase opportunities for employment. Employer services include assistance with identifying individuals to fill job openings, re-employment of laid-off workers, and provision of other services and information to help employers recruit, retain, and develop their workforce.

The LEO Governing Board will maintain all proposals received in response to this RFP on file for at least three (3) years in the event negotiations with the selected organization cannot be finalized or in the event an organization is not able to perform. The LEO Governing Board reserves the right to reopen the RFP at any time.

Section II

Role of the Local Grant Sub-recipient

The selected organization will serve as the local grant sub-recipient for WIOA Title 1 and other workforce development funds that are allocated to the local area. The local grant sub-recipient shall be generally responsible for the acceptance and maintenance, disbursement, accounting, and reporting of WIOA Title 1 and other funding during the period of the contract. The local grant sub-recipient duties and responsibilities shall be performed for the direct benefit of the LWDB in the disbursement of funds and performed in accordance with, and governed by, applicable provisions of WIOA Title 1 and corresponding regulations, and applicable Federal Office of Management and Budget (OMB) circulars and state policies and law. The local grant sub-recipient disbursement of funds shall be performed in accordance with LWDB policies, approved financial management processes and procedures.

The local grant sub-recipient shall cooperate with and assist the LWDB and Chief Local Elected Official (CLEO) with their objectives for the Lincoln Trail Workforce Development Area in conformity with WIOA Title 1 and regulations. The local grant sub-recipient does not make decisions about who receives the money or approve budgets. The local grant sub-recipient manages accounts payable, receivables and reporting and performs fiscal monitoring annually of each LWDB contractor. The local grant sub-recipient disburses the funds at the direction of the LWDB, as long as those directives do not violate any provision of WIOA, OMB Circulars, or state law or policies. The LWDB funds will pass through the local grant sub-recipient. The local grant sub-recipient requests cash (drawn down process) as needed from the Office of Employment and Training (OET). The local grant sub-recipient will provide administrative and program planning functions as required under WIOA Title 1, regulations, and state and local policies and as directed by the LWDB. The local grant sub-recipient will also assist the LWDB according to local policy.

In general, the local grant sub-recipient is responsible for the following functions:

1. Receive funds;
2. Ensure sustained fiscal integrity and accountability for expenditures of funds in accordance with OMB circulars, WIOA, corresponding Federal Regulations and State policies and requirements of funding sources, as appropriate;
3. Respond to audit financial findings;
4. Maintain proper accounting records and adequate documentation;
5. Prepare financial reports;
6. Procure contracts or obtain written agreements;
7. Conduct financial monitoring of service providers;
8. Ensure independent audit of all employment and training programs;
9. Performs budget and fiscal management functions;
10. Processes, negotiates, and administers all contracts and/or agreements for services, programs and linkages;
11. Processes all payment documents in accordance with OMB circulars, WIOA, corresponding Federal Regulations and State policies and requirements of funding sources, as appropriate;

12. Approves all payments authorized in the Plan and Budget subject to financial management procedures;
13. Provide technical assistance to contractors and vendors regarding fiscal issues;
14. Provides policy interpretation and direction to all aspects of the program; and
15. Establishes procedures to be followed by contractors/providers;

Additionally, at the direction of the LWDB and the Governing Board, the local grant sub-recipient may have the following additional functions in accordance with the Super Circular as it relates to a Sub-recipient:

2CFR 200.330(a) Sub-recipient and contractor determinations.

Sub-recipients. A sub-award is for the purpose of carrying out a portion of a Federal award and creates a Federal assistance relationship with the sub-recipient. See 200.92 Sub-award.

Characteristics which support the classification of the non-Federal entity as a sub-recipient include when the non-Federal entity:

- (1) Determines who is eligible to receive what Federal Assistance;
- (2) Has its performance measured in relation to whether objectives of a Federal program were met;
- (3) Has responsibility for programmatic decision making;
- (4) Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and
- (5) In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

1. Provides staff support to the monitoring, assessment, evaluation and oversight functions of the LWDB;
2. Develops for the LWDB recommendations for general goals and priorities to serve as the guidelines for preparation of the local plan;
3. Conduct research and reviews alternatives to provide specific data and information for the planning process;
4. Prepares for the LWDB detailed WIOA Plan and Regional Plan and budget recommendations for WIOA program;
5. Provides staff support for the conducting of hearings or public forums to obtain input concerning community needs and proposed solutions;
6. Provides policy interpretation and direction to all aspects of the program;
7. Provides staff support to market and communicate programs and services to the public,
8. Provides direct clerical and other support to the LWDB;
9. Responsible for programmatic decision making in regard to the WIOA and other workforce programs; and
10. Provide staff to support business and industry needs

Final regulations have not been issued it should be noted that some of the above duties may also be duties of a One-Stop Operator. It is expected that the local grant sub-recipient will collaborate and work with the One-Stop Operator.

Recognizing local organizations often function simultaneously in a variety of roles, including local grant sub-recipient, LWDB staff, one-stop operator, and direct provider of career services

or training services, any organization that has been elected or otherwise designated to perform more than one of these functions must develop a written agreement with the LWDB and CLEO to clarify how the organization will carry out its responsibilities while demonstrating compliance with WIOA Title 1 and corresponding regulations, relevant OMB circulars and the state's conflict of interest policy.

Section III – Scope of Work

The successful bidder will serve as the local grant sub-recipient for the Lincoln Trail WDA. The successful bidder will enter into a contract agreement with the Commonwealth of Kentucky, Department of Workforce Investment, Office of Employment & Training. The organization will receive and manage all formula WIOA funds for the Area including but not limited to: Adult, Dislocated Worker, and Youth and other private, federal or state funds. The organization will provide services related to grants management, general accounting and financial services, oversight for fund integrity, annual fiscal monitoring of LWDB contractors, and technical assistance.

The local grant sub-recipient will work closely with the Career Center Direct Service Provider throughout the period of the contract who is currently identified as the Lincoln Trail Area Development District, Elizabethtown, KY. This entity will maintain Career Center Direct Services through June 30, 2016. During this transition period, Career Center Direct Services will be procured or a provider otherwise appropriately selected to begin services on July 1, 2016. The successful local grant sub-recipient will need to work with the Career Center provider also during this transition. The local grant sub-recipient shall comply with all relevant federal and state confidentiality laws.

A. Detailed Scope of Work

Definitions of Administrative and Programmatic Costs

The definition of administrative costs for programs can be found in the WIA regulations at 20 CFR 667.220. The definition is function-based; therefore, only the costs associated with performing the activities or functions listed in the regulations and ones that are not related to the direct provision of workforce investment services are considered to be administrative costs. Please note that the WIA is no longer in effect and the final regulations for WIOA have not been issued at this time and may differ once finalized. This CFR is to be used as reference only and the final WIOA regulations may differ.

Accounting, financial, cash management, budget activities, procurement, personnel payroll, property management, audit, and general legal services functions are administrative in nature, as are coordinating the resolution of findings arising from audits, reviews, investigations, and incident reports and developing systems and procedures, including information systems, required for these administrative functions.

Oversight and monitoring activities are classified depending on whether the activity being monitored is administrative or programmatic in nature.

The personnel costs associated with the project director and/or program manager positions etc. must be allocated between administrative and programmatic costs based on the activities performed by the individual(s). The cost of the project director/program manager's time spent performing activities or supervising functions other than those listed in the WIA definition of administrative costs (e.g. accounting, payroll, procurement, etc.) would be considered program costs even though the individuals(s) performing these activities are part of the organization's program management. Please note that the WIA is no longer in effect and the final regulations for WIOA have not been issued at this time and may differ once finalized. This is for reference only.

NPRM 683.215 (Please note that the final regulations have not been issued at this time and may differ once finalized) describes some activities that can be administrative, programmatic, or both, depending on whether the underlying functions which they support are classified as programmatic or administrative. The proposed rule is the same as the WIA regulation 20 CFR 667.220 with few exceptions. Please note that the WIA is no longer in effect and the final regulations for WIOA have not been issued at this time. This CFR is to be used as reference only and the final WIOA regulations may differ. These include costs of activities such as information systems development and operation, travel, and continuous improvement. For example the costs associated developing an information system which serves both administrative functions, and the tracking and monitoring of participants, would be allocated between program costs and administrative costs in proportion to the use of the system for each intended purpose.

Preparing program-level budgets and program plans are classified as program costs. The negotiation of MOUs and one-stop infrastructure agreements, and certifications of one-stop centers are also program costs, because they build or support the one-stop delivery system and services to participants.

1) Control of LWDB Funds

- a. The local grant sub-recipient shall project cash needs and request cash to coincide with timely payment to LWDB contractors.
- b. The local grant sub-recipient will receive and manage all funds in compliance with applicable state, federal, and LWDB policy and fund-specific regulations; and ensure internal controls to maintain fiscal integrity.
- c. The local grant sub-recipient shall conduct annual fiscal monitoring of Direct Service Provider and/or One-Stop Operator as well as other contractors designated by the LWDB.
- d. The local grant sub-recipient will work in coordination with the Local Elected Officials and LWDB to establish and execute an annual budget

2) Disbursement of Funds

- a. The local grant sub-recipient shall disburse LWDA funds in accordance with the WIOA, the WIOA Final Regulations and Commonwealth grant specific requirements.
- b. Disbursements shall be made by the local grant sub-recipient from available funds at the direction of the LWDB within a reasonable time following receipt of complete and accurate requests for reimbursement.
- c. The local grant sub-recipient will adhere to the applicable cost principles found in the Office of Management and Budget (OMB) circulars (all circulars are now combined per 2CFR Part 200). The OMB circulars are incorporated herein by reference and are further specified in program regulations at 29 CFR 95.27 and 29 CFR 97.22
- d. The local grant sub-recipient shall disburse funds based upon invoices reviewed and approved as designated by the LWDB.

3) Accounting of Funds

- a. The local grant sub-recipient will maintain an accounting of all revenue, expenditures, program income, and applicable credits associated with all funds by funding stream for the duration of the term of its services.
- b. The local grant sub-recipient will ensure that all financial procedures are in compliance with Generally Accepted Accounting Procedures (GAAP), OMB policies, Code of Federal Regulations (CFR), Federal Acquisition Regulations (FAR), and any other federal or state regulatory requirements.
- c. The local grant sub-recipient will limit the risk of questioned or disallowed costs.

- d. The local grant sub-recipient will implement any invoicing system, or procedures deemed necessary by the LWDB, Commonwealth and the local grant sub-recipient in order to comply with its duties and responsibilities.
- e. The local grant sub-recipient will maintain an accounting of expenditures by expense type and service provider/vendor.
- f. The local grant sub-recipient will establish as necessary and maintain appropriate ledgers to manage obligations and expenditures of funds using accounting software that is documented equivalent or superior to the current software being used. The software being used is Grants Management System (GMS). If a different software system is to be used it must be deemed equivalent and should have the ability to track funds by grant (fund accounting), process payroll and accounts payable, and produce financial reports to submit to the grantor agency.
- g. The local grant sub-recipient will establish procedures and processes to ensure that all amounts payable to contractors, and/or vendors, are paid from existing funds and that proper documentation for each claim is maintained for monitoring and audit purposes.
- h. The local grant sub-recipient will establish procedures and processes to ensure that all amounts receivable or due to the local workforce development area are collected and recorded on a timely basis.
- i. The local grant sub-recipient will maintain a record of all financial transactions for WIOA and other funds allocated and expended in the local workforce development area.
- j. The local grant sub-recipient will assist with processes and procedures for invoicing, proper documentation, and reporting from contractors to the LWDB.
- k. The local grant sub-recipient will prepare the cost allocation plan for the LWDA.
- l. The local grant sub-recipient will establish a procedure to record and report all costs and matching funds (cash and in-kind).
- m. As requested, the local grant sub-recipient will provide training and technical assistance to LWDB contractors on fiscal matters.

4) Financial & Grant Reporting

- a. To support the oversight role of the LWDB, the local grant sub-recipient will prepare and disseminate financial reports on a monthly basis in formats prescribed by the LWDB to identify revenues, expenditures, accounts payable, accounts receivable, and balances and obligations, by funding stream, and contractors.
- b. The local grant sub-recipient will work with the LWDB and develop and provide standard financial reports as needed by the LWDB, LEO Governing Board, Commonwealth or Direct Service Provider and/or One-Stop Operator.
- c. The local grant sub-recipient will report on an accrual basis in accordance with the US Department of Labor and OET requirements and systems.

- d. The local grant sub-recipient will report total obligations by funding stream as required by OET.
- e. The local grant sub-recipient will prepare required federal and state financial reports associated with management of grant funds.
- f. The local grant sub-recipient will provide reports and other assistance to the LWDB to monitor fiscal performance of all contractors and budgets.
- g. The local grant sub-recipient will be required to prepare financial reports and grant closeouts annually.
- h. The local grant sub-recipient will assist the Direct Service Provider and/or One-Stop Operator with the preparation of grant and contract budgets.
- i. The local grant sub-recipient will provide local allocation, expenditure and budget spreadsheets for LWDB *and* Direct Service Provider and/or One-Stop Operator review on a monthly/year-to-date (YTD) basis.

5) Recovery/Reimbursement

- a. The local grant sub-recipient shall assist the LWDB, LEOs and/or Commonwealth with the recovery of funds paid to contractor or vendor subsequently disallowed.
- b. The local grant sub-recipient shall reimburse the LWDB and/or Commonwealth for any funds paid to a contractor and subsequently disallowed, to the extent that such disallowed funds are recovered from the contractor.
- c. The local grant sub-recipient will not be responsible for funds disallowed at the contractor level.
- d. The local grant sub-recipient will be responsible for any theft or misappropriation of LWDA funds and is required to carry at its own cost commercial liability and a fidelity bond that meets LWDA requirements.

6) Sub-recipient Administrative & Program Functions

The definition of administrative costs for programs can be found in the WIA regulations at 20 CFR 667.220. The definition is function- based; therefore only the costs associated with performing the activities or functions listed in the regulations and ones that are not related to the direct provision of workforce investment services are considered to be administrative costs. Please note that the WIA is no longer in effect and the final regulations for WIOA have not been issued at this time and may differ once finalized. This CFR is to be used as reference only and the final WIOA regulations may differ.

Accounting, financial, cash management, budget activities, procurement, personnel payroll, property management, audit, and general legal services functions are administrative in nature, as are coordinating the resolution of findings arising from audits, reviews, investigations, and incident reports and developing systems and procedures, including information systems, required for these administrative functions.

Oversight and monitoring activities are classified depending on whether the activity being monitored is administrative or programmatic in nature.

The personnel costs associated with the project director and/or program manager positions etc. must be allocated between administrative and programmatic costs based on the activities performed by the individual(s). The cost of the project director/program manager's time spent performing activities or supervising functions other than those listed in the WIA definition of administrative costs (e.g. accounting, payroll, procurement, etc.) would be considered program costs even though the individuals(s) performing these activities are part of the organization's program management. Please note that the WIA is no longer in effect and the final regulations for WIOA have not been issued at this time and may differ once finalized. This is for reference only.

NPRM 683.215 (Please note that the final regulations have not been issued at this time and may differ once finalized). describes some activities that can be administrative, programmatic, or both, depending on whether the underlying functions which they support are classified as programmatic or administrative. The proposed rule is the same as the WIA regulation 20 CFR 667.220 with few exceptions. These include costs of activities such as information systems development and operation, travel, and continuous improvement. For example the costs associated developing an information system which serves both administrative functions, and the tracking and monitoring of participants, would be allocated between program costs and administrative costs in proportion to the use of the system for each intended purpose. Preparing program-level budgets and program plans are classified as program costs. The negotiation of MOUs and one-stop infrastructure agreements, and certifications of one-stop centers are also program costs, because they build or support the one-stop delivery system and services to participants.

Additionally, at the direction of the LWDB and the Governing Board, the local grant sub-recipient may have the following additional functions in accordance with the Super Circular as it relates to a Sub-recipient:

2CFR 200.330(a) Sub-recipient and contractor determinations.

Sub-recipients. A sub-award is for the purpose of carrying out a portion of a Federal award and creates a Federal assistance relationship with the sub-recipient. See 200.92 Sub-award. Characteristics which support the classification of the non-Federal entity as a sub-recipient include when the non-Federal entity:

- (1) Determines who is eligible to receive what Federal Assistance;
- (2) Has its performance measured in relation to whether objectives of a Federal program were met;
- (3) Has responsibility for programmatic decision making;
- (4) Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and

(5) In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

To the extent requested by the LWDB and the Governing Board, the local grant sub-recipient shall:

- a.** Provide human resource and benefits administration to LWDB staff if applicable, including but not limited to, the safeguarding of Protected Health Information (PHI) under the Health Insurance Portability and Accountability Act (HIPAA).
- b.** Serve as the Civil Rights Compliance (CRC) and Grievance Officer for the Kentucky Career Center (KCC) system in the Lincoln Trail Workforce Development Area ensuring nondiscrimination provisions of WIOA Title 1. If requested, it also shall develop and maintain a CRC Plan and related resources as required by the Commonwealth of Kentucky under WIOA and investigate and respond to grievances, maintain log of activities and work with direct services providers or one-stop operators, DWI and OET and others, as deemed appropriate and necessary, to resolve issues.
- c.** Conduct physical facility review of KCC locations as required under the CRC Plan.
- d.** Serve as the Security officer for the LWDB for the release of confidential workforce information for purposes related to the administration of state and federal programs.
- e.** Participate in monitoring and audit activities (i.e., CRC compliance, programmatic and fiscal).
- f.** Be versed in the WIOA Title 1 laws and regulations, LWDB membership processes, open meeting laws, bylaws, consortium agreements, and other documents pertinent to the success of the LWDB, LEO Governing Board, and direct service providers and/or one-stop operators.
- g.** Develop and maintain an Emergency Operating Plan to ensure continuity of services, protection of records and resources, and reporting mechanisms during critical incident or pandemic emergencies. This includes KCCs and access point of service locations.
- h.** Provide facility, office and technology resources/support to LWDB staff and the LWDB.
- i.** Coordinate with the LWDB for the design and implementation of programs and controls to prevent and detect fraud.
- j.** Manage and coordinate lease agreements for office space and technology agreement for access to email, internet, server and website resources.
- k.** Provide access to office equipment (i.e., copier, fax machine, office furnishings, computer, printer, scanner, etc.) and supplies.

- I. Responsible for programmatic decision making in regard to the WIOA and other workforce programs.

Final regulations have not been issued at this time it should be noted that some of the above duties may also be duties of a One-Stop Operator. It is expected that the local grant sub-recipient will collaborate and work with the One-Stop Operator.

7) LWDB Support

To the extent requested by the LWDB, the local grant sub-recipient shall:

- a. Maintain and secure all corporate records (i.e., bylaws, agendas, minutes, agreements, etc.) for the LWDB. Copies of all meeting announcements, information and handouts are maintained in the corporate record.
- b. Arrange LWDB meeting locations and provide quorum checks to ensure sufficient number of members in attendance to conduct meetings.
- c. Take and maintain LWDB minutes and post as required.
- d. Develop, maintain and deliver orientation materials to new staff and LWDB members.
- e. Prepare LWDB appointment letters, updating appropriate membership lists, updating mechanisms for communications, and informing LWDB chairperson and LWDB.
- f. In concert with the CLEO and LWDB chairperson, assist the LWDB in ensuring LWDB vacancies are filled in an appropriate manner and vacancies are filled according to federal, state, and local policy.
- g. Conduct the Conflict of Interest and acknowledgement and disclosure process on an annual basis and during new appointment processes. The report shall be filed with the Board chairperson.
- h. Assist the Board chairperson, as deemed appropriate and necessary, in providing briefings during the solicitation process for new members of the LWDB and its committees.
- i. Provide staff support to the LWDB and its committees, as deemed appropriate and necessary by the LWDB chairperson, to ensure annual work plans, strategic plans, and local WIOA plan are completed. This may also include, but is not limited to, preparation of reports, corporate documents, etc.
- j. Maintain records retention program for WIOA and related programs in accordance with federal and state law.
- k. Provide support to the LWDB chairperson to ensure copies of all meeting announcements, information and handouts are maintained in the corporate record.
- l. Assist with LWDB Annual Meeting arrangements/program.

- m. Assist the LWDB in regional planning and collaboration.
- n. Prepare, write, administer, and manage grant applications in order to maintain and expand financial resources;
- o. Provide technical assistance and training to staff regarding eligibility, performance, computer based data system and validation requirements;
- p. Train, coordinate and provide assistance to the direct service provider;
- q. Manage and supervise assigned operations to achieve goals within available resources; plan and organize workloads and staff assignments; train, motivate and evaluate assigned staff; review progress and direct changes as needed;
- r. Act as a liaison with the KY Education & Workforce Development Cabinet, and other state agencies, regarding contracts and other requests;
- s. Assist in carrying out Lincoln Trail Workforce Development Board strategic plan;
- t. Monitor all state and federal legislation and regulations affecting workforce development and the career center system;
- u. Responsible for meeting preparation, copies, mailings, minutes or meeting notes for the Lincoln Trail Workforce Development Board, adhoc committees, and other various meetings;
- v. Maintain and update equipment inventory, conduct on-site inventory every two (2) years; and
- w. Provide outreach to business and industry

8) Deliverables

The local grant sub-recipient shall be responsible for:

- a. Timely processing of invoices;
- b. Accounting of grant funds by funding stream;
- c. Cash management and cash requests to OET as necessary;
- d. Monthly financial reports;
- e. Cooperation with the LWDB, Direct Service Provider and/or One-Stop Operator, LEO Governing Board, and CLEO toward goals and objectives of the Lincoln Trail Workforce Development Area.
- f. The selected bidder must participate in Direct Service Provider and/or One-Stop Operator meetings as required and attend LWDB meetings and other meetings called by the LWDB and the DWI as appropriate. The selected organization will be expected to participate in Statewide Fiscal Officers meetings.
- g. Administrative and LWDB support functions are to be performed in a timely and professional manner.
- h. Develop in collaboration with the Governing Board and LWDB the local plan for the area;

- i. Develop in collaboration with the Governing Board and LWDB the regional plan working with other workforce areas;
- j. Develop the content of the WIOA strategic plan in collaboration with the LWDB and Governing Board for the area
- k. Work with the Governing Board, LWDB and One Stop Operator in regard to One-Stop Career Center chartering and certification
- l. Acceptance and the resolution of audit and monitoring findings
- m. Provides professional management and leadership for the operations of all aspects of the Lincoln Trail Workforce Area, including planning, organizing, staffing, controlling, evaluating, and marketing, as well as financial and personnel management. Directs staff to carry out the policy direction provided by the Act and LWDB.

9) Current Contracts and Staffing

Current Obligations/Providers/Vendors

Listing of Current Operating Contracts:

- Program Support and Operations/Administration: Adult, Dislocated Worker, Youth and Trade, Workforce Innovation & Opportunity Act Transition:
1 Subcontract
- Individual Training Agreements:
In-School Youth – 17
- Individual Training Agreements:
Adult – 22
- Individual Training Agreements:
Trade – 2
- Individual Training Agreements:
Dislocated Workers – 14
- Individual Training Agreements:
Out of School Youth – 14
- On-the-Job Training Contracts- 13
- Outreach - 1

The current contracts total dollar value is \$382,511.00. It should be noted that additional contracts will be initiated before November 1, 2015. The successful bidder will administer the WIOA in the Lincoln Trail Workforce Area under the direction of the Lincoln Trail Workforce Development Board which serves the following 8 counties: Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson and Washington.

The successful bidder will manage and oversee all formula WIOA funds for the local area for, but not limited to, WIOA Adult, Dislocated Worker, Youth, Incentive, Trade Adjustment Assistance and Rapid Response. This may include private, federal, state and local funds.

Services provided relate to grants management, general accounting and financial services, oversight for fund integrity, annual fiscal and program monitoring of local WIOA contractors, implementation of statewide initiatives, quality control and technical assistance. The successful bidder will serve as support to the Lincoln Trail Workforce Development Board, carrying out the overall operations.

The successful bidder will be responsible for managing numerous funding sources. This includes the receipt, obligations, drawdown, disbursement of funds, reporting of funds (financial and program, ensuring funds are expended as prescribed in applicable laws and regulations).

The Lincoln Trail Workforce Development Area currently employs four (4) staff: Director, Employment/Training Specialist, Fiscal Officer and a Workforce Liaison. The previously mentioned positions represent suggested positions to meet the overall administrative and programmatic duties and activities plus program development, planning and support.

Direct services, career center services staff, and operator staff services are not being bid under this request for proposal release. Career center services will be addressed in the time period of January, 2016 - June 30, 2016 to begin operation on July 1, 2016. Business Liaison staff are viewed as a direct staff to support workforce board outreach to business/industry and are included in the suggested staffing levels as noted above. If subsequent regulations issuance should not allow this, then appropriate adjustments will be made by July 1, 2016.

Contractor staff are expected to attend State and Local level training activities plus provide training to sub-contractors. Staff are encouraged to expand their knowledge and skills by attending USDOL events, as well as National and Regional conferences focusing on training, i.e. Southeastern Employment and Training Association, National Association of Workforce Development Professionals and National Association of Workforce Boards.

The successful bidder will negotiate a detailed scope of work regarding their expected overall operation under the contract.

10) Scope of Work Transition

Commonwealth of Kentucky, Department of Workforce Investment, Office of Employment & Training currently has a contract with the Lincoln Trail Area Development District who carries out the local grant sub-recipient functions in the Lincoln Trail Workforce Development Area. In the event that the Lincoln Trail Area Development District does not bid and/or does not win the bid:

- a. The Lincoln Trail Area Development District will work with the winning bidder for no less than 60 days from November 1, 2015 or a date TBD following the award to transition the systems, processes and procedures established in the Area to successfully carry out the local grant sub-recipient functions.
- b. The local grant sub-recipient will budget and establish a plan with reasonable staff time to successfully transition the functions from the incumbent local grant sub-recipient.
- c. The selected bidder will be required to participate in transition training for a new local grant sub-recipient if the contract is ended by either the LWDB or the local grant sub-recipient.

Section IV. Available Funds

There are strict limits of 10% for administrative costs under the federal WIOA. The local grant sub-recipient cost is only one of those administrative costs. Note that costs are not limited to administrative cost as functions may also be programmatic in nature and acceptable program costs (20 CFR Part 677.220 & NPRM 683.215). Please note that the WIA is no longer in effect and the WIOA regulations are not final at this time. The regulations when finalized may differ. These are to be used as reference only.

The chart below represents the PY 14 actual carry over (CO) funds and PY 15 WIOA formula funds and additional awards (Incentive, KCCGO, Trade, RR, High Impact WIB) allocated to the Lincoln Trail Workforce Development Area. PY16 funding is not known at this time.

**Allocations for PY 14 CO funds and PY 15 Allocation Funds
(July 1, 2015 through June 30, 2016)**

Workforce Innovation and Opportunity Act	Lincoln Trail Workforce Development Area Allocation
Adult	\$371,471.20
Dislocated Worker	\$257,281.17
Youth	\$665,727.34
Administration	\$109,456.42
OTHER	\$254,399.16
TOTAL	\$1,658,335.29

V. PROPOSAL CONTENT

A. Bidder's Demonstrated Experience of Quality Service Delivery

Background, Performance, and Organizational Stability

Describe the bidder's background including:

1. Description of business.
2. Legal Status.
3. Must be registered to conduct business in the Commonwealth of Kentucky.
4. Website address or statement that the organization has no website.
5. Number of years in business and brief history of the bidder.
6. Examples of types of contracts the bidder has previously entered into, including type of contracting entity, location of the work, and general types of services provided.
7. Provide evidence of past performance and external customer satisfaction for related services.
8. Describe internal or external evaluations conducted on your organization and/or operations during the past two (2) years. Who conducted the evaluations? What were the results? What was the purpose of the evaluations?
9. Provide a list of any legal action taken against your organization, including lawsuits, injunctions or court orders.
10. If the entity has a board, identification of board members (this may be expressed as a link to a website that identifies board members).
11. Estimate what percentage of the overall organization's work would be represented by this contract.
12. Review and complete all forms including: Proposal Cover Sheet; Administrative and Financial Management Survey and Certification; Assurances, Debarment Certification; and Non-Collusion Affidavit. An individual authorized to sign on behalf of the bidder must sign and date all forms.
13. Provide three references and how these contacts are familiar with the bidder's organization and the nature of the work performed.
14. Knowledge of the needs of the eight county area.

Bidder's Qualifications and Staffing

Identify the staff that will be assigned to this contract.

1. Provide an organizational chart that shows how each fits into the overall organization. If a current position(s) is vacant, describe the qualifications that will be sought to fill the position and timetable for hiring. Note: The lead position for the local grant sub-

recipient may not be shown as vacant since these positions are too important to the selection of the contractor.

2. Indicate what the roles/titles will be of the staff assigned to this contract.
3. Provide bios or resumes of the assigned staff. Bios or resumes should include the following as appropriate to each person's planned duties under this contract:
 - a. accounting or finance degrees and accounting certifications;
 - b. experience with automated reporting systems;
 - c. experience in budgeting, accounting, administrative and fiscal oversight;
 - d. experience in working with fund accounting and administrative services;
 - e. identify specific accounting and reporting experience with WIA in Kentucky/or other state/federal agencies and/or private sector entities;
 - f. experience with fund accounting software;
 - g. experience in grant management;
 - h. experience in providing financial and administrative services for federal and state workforce programs; and
 - i. experience in specific support functions agreed upon by the LEOs and the LWDB.
 - j. experience in grant writing and writing of planning documents;
 - k. public administration or advanced degrees (Masters Degrees)
 - l. familiarity of needs of the 8 county area
 - m. communication skills
 - n. computer and technical skills
 - o. experience in collaboration with community based programs (CAA, ADD, local schools and trade schools)
 - p. knowledge of WIOA and other workforce programs (Wagner Peyser, Trade, Vocational Rehabilitation, Unemployment Insurance)
 - q. knowledge in regard to collaboration with other state agencies (ED, CHFS, KCTC, BSSC)
 - r. experience in personnel and financial management;
 - s. number of years of experience working in the employment & training field.
4. Identify functions that may or will be subcontracted and if the subcontractor has been identified provide the background, qualifications and staffing information for the subcontractor. If a subcontractor is not identified yet, describe the qualifications that will be sought to fill the function. The LEO Governing Board discourages subcontracting key positions but will consider such plans. Bidders are cautioned that subcontracting may reduce the chances of a successful bid.

5. The bidder will be responsible for staffing redundancy to ensure uninterrupted fiscal representation.

B. Bidder's Fiscal Integrity

Describe the bidder's background including:

1. Provide one copy of the two most recent audit reports and/or financial statements for the organization.
2. If the entity has previously acted as local grant sub-recipient for WIA funds, provide a copy of the two most recent fiscal monitoring reports for your organization and any Auditor of Public Accounts (APA) Audits or Examinations.
3. Provide one copy of any corrective action plans initiated in response to monitoring and/or audit findings and the final status report on the completion of the corrective actions.
4. Provide one copy of the conflict of interest policy that addresses whether any LWDB member or One Stop staff or family members have a financial interest in the facilities, assets or providers of services that could be perceived as a conflict of interest.
5. Summarize policies and procedures regarding internal controls, including separation of duties.
6. Provide information about fundamental financial practices including:
 - a. budgeting practices including obligation and expenditure target and reviews, the process for budget modifications, and the tracking of commitments not yet recorded in the accounting system;
 - b. accounting system usage and review;
 - c. cash management practices – bank statement reconciliation, cash and credit card disbursement requirement
 - d. the processing of accounts payable including invoice review and reconciliation;
 - e. financial reporting processes;
 - f. cost allocation including the use of an approved indirect cost rate, the use of actual costs as the basis of allocations and the allocation of staff wages based on a time distribution system.
 - g. personnel cost tracking and management;
 - h. travel expense review and reconciliation;
 - i. Individual Training Account (ITA) protocols, if applicable;
 - j. financial oversight of subcontracted program services; and
 - k. use of other administrative systems as prescribed within 29 CFR Part 97.

C. Plan of Work

Using the Scope of Work in this RFP as guidance, describe the grant sub-recipient services to be provided that will ensure compliance with all federal and state statutes, regulations, and policies and generally accepted accounting principles. Describe methods and processes and provide a project plan including reference to all eight items noted:

1. Control of LWDB Funds;
2. Disbursement of Funds;
3. Accounting of Funds;

4. Financial & Grant Reporting;
5. Recovery/Reimbursement;
6. Administrative Functions;
7. LWDB Support;
8. Deliverables; and
9. Transition.

D. Cost

Provide a detailed budget and budget narrative for the delivery of the requested scope of work including personnel, operating and administrative costs. While PY 16 funding is not known, PY 14 (CO) and PY 15 funding levels have been provided. This funding can vary significantly based on federal allotments to the states and state allocations to the regions. In addition, other grants and awards to the regions from DWI, the U.S. Department of Labor, and other public and private entities can further change the amount of funding that falls under the responsibility of the local grant sub-recipient.

Administrative Cost Limitations:

There are strict limits for administrative costs under the federal WIOA. Portions of the local grant sub-recipient cost is only one of those administrative costs. The LWDB will not exceed these cost limitations. The LEO Governing Board reserves the right to withdraw this RFP if, in its opinion, the local grant sub-recipient cost is excessive in relationship to the allowable administrative costs.

Section VI – Proposal Instructions and Information

A. Contracting

The initial Scope of Work will be for the period beginning no sooner than November 1, 2015 and ending September 30, 2017 local grant sub-recipient functions. The contract may be extended two years for satisfactory performance.

In the event that there are any re-allotments or rescissions of the federal funds, a modified budget would have to be approved by the LWDB and the LEO Governing Board.

B. Proposal Deadline

The deadline for receipt of proposals is 4:00 P.M. EDT, October 21, 2015. Proposals must be officially received by this deadline to be considered.

- A receipt will be furnished, upon written request, to bidders who submit a proposal by mail.
- Proposals delivered by hand will be provided a receipt at the time of delivery.
- Proposals may be mailed via regular mail, express delivery, or hand-delivered to the following address:

Mark White, Deputy Commissioner
Education & Workforce Development Cabinet
Department of Workforce Investment
500 Mero Street 3rd Floor
Frankfort, KY 40621

Additionally, a complete electronic copy of the proposal must be emailed to Mark White, Mark.White@ky.gov by the above deadline, 4:00 PM EDT, October 21, 2015. This electronic copy will not substitute for any of the required hard copies. The audit information does not have to be included with the electronic submission.

- Proposals received after the deadline will be considered non-responsive and will not be reviewed.

C. Procurement Timeline

The timeline for soliciting proposals, review, selection, and negotiation is presented below. The dates are tentative and may be changed at the LEO Governing Board's discretion. All times referenced in the RFP are local, Hodgenville, KY time or Frankfort, KY time. EDT

RFP released	September 30, 2015
RFP available	October 7, 2015
Deadline for Letter of Intent to Bid	October 12, 2015
Deadline for submissions of questions	October 12, 2015 4:00 PM EDT
Responses to questions from bidders	October 16, 2015
Proposal Due Date	4:00 P.M. EDT October 21, 2015
Successful Bidder selected and notified	November 1, 2015 or date TBD following review
Local grant sub-recipient contract start date	November 1, 2015 or date TBD following review and award

Questions may be submitted in regard to the RFP and will be answered by October 16, 2015. The LEO Governing Board will accept questions by email until 4:00 PM EDT October 12, 2015. All questions should note in the subject line "Questions" and be addressed to:

Judge Tommy Turner
LcJudge@scrtc.com
cc: Beth Avey beth@heartlandcommunicate.com

D. Intent to Bid

E. Proposal Requirements

1. **Format:** Proposals must be typed, may be single-spaced, and must be submitted on 8 ½ by 11-inch plain white paper. Font size no smaller than 11 with 1 inch margins, side, top and bottom. Each page of the proposal should be numbered as “page __ of __”, with the name of the bidder on each page. The Submission Order must be followed.
2. **Page Limit:** The proposal narrative must be no more than 25 pages. This page limitation does not include required attachments or the audit report.
3. **Number of copies: One complete original**, with original signatures of the authorized signatory, plus 7 complete copies. Any proposal lacking sufficient copies may be considered non-responsive. Completeness of all copies is the sole responsibility of the bidder. You will need to submit only one copy of your most recent audit report with the original proposal. Additionally, a complete electronic copy of the proposal must be emailed to Mark White, Mark.White@ky.gov by the above deadline, 4:00 PM EDT, October 21, 2015. This electronic copy will not substitute for any of the required hard copies. The audit information does not have to be included with the electronic submission.
4. **Responsiveness:** Bidders that fail to follow the requirements set forth in this document regarding page limits, number of copies and format may be considered non-responsive. The LEO Governing Board reserves the right to reject any or all proposals at their sole discretion.
5. **Contact Information:** Bidders will be required to provide contact information for the individual who can respond to questions regarding the proposal. The contact person should be the individual who is knowledgeable of the proposal and who is authorized to provide information on behalf of the bidder.
6. **Proposal Narrative and Project Plan:** All information required to develop the Proposal Narrative and Project Plan is contained in the Role of the Local Grant Sub-recipient, Scope of Work and Proposal Content sections of this document.

F. Qualifications of Bidders

1. **Eligible Bidders:** Private and public, for-profit and not-for-profit entities are eligible to respond to this RFP. The LEO Governing Board is prohibited from awarding a contract to a party “excluded from Federal procurement or non-procurement programs” by the U.S. General Services Administration or the U.S. Department of Labor Secretary.
2. **Bidder Competency:** Bidders must be knowledgeable of the WIOA and implementing statutes, regulations, rules and policies for the federal funds. A copy of the WIOA and proposed regulations may be found on the U.S. Department of Labor web page at <http://www.doleta.gov/WIOA/>
3. **Workforce Policies:** Copies of other pertinent workforce policies and regulations may be found through the Kentucky Workforce Investment Board web page at kwib.ky.gov.
4. **Orientation:** The LWDB will provide an orientation on any LWDB-specific documents, policies and procedures, as necessary, to the successful bidder. Additional information about the LWDB may be obtained at the LWDB’s web page at www.ltcareercenter.org.

5. **Authorized Signatory Authority:** The bidder's authorized signatory authority must sign all signature documents in the proposal. This individual should typically be the director, president or chief executive officer of the organization or any individual who has the authority to negotiate and enter into and sign contracts on behalf of the bidder's organization.
6. **Subcontracting:** Intent to subcontract must be clearly identified in the proposal narrative and approval must be provided by the LEO Governing Board prior to contract execution. If the bidder currently subcontracts certain functions or activities and intends to do so as part of this proposal, the subcontractor must be identified and an original signed letter from the subcontractor attesting to agreement to the terms of the proposal and any resulting contract must be included in the proposal.

G. Proposal Evaluation

The proposal criteria identified herein is a guideline for Bidders and reviewers; however, the final decision for contract award rests with the LEO Governing Board. The LEO Governing Board is not required to contract with the entity receiving the highest ranking as a result of the proposal review process. Proposals that do not meet minimum standards will be considered non-responsive.

1. Minimum standards:

- a. The proposal must be received by 4:00 P. M. EDT October 21, 2015 via regular mail, express mail or hand-delivery. Additionally, a complete electronic copy of the proposal must be emailed to Mark White, Mark.White@ky.gov by the above deadline, 4:00 PM EDT, October 21, 2015. This electronic copy will not substitute for any of the required hard copies. The audit information does not have to be included with the electronic submission.
- b. One (1) original and 7 copies (includes additional copy referenced above) of the Proposal Narrative and one copy of your two most recent audit reports.
- c. Proposals must meet the requirements contained in Section VI. E Proposal Requirements.
- d. Bidders must be eligible entities as described in Qualifications of Bidders, Section VI.F.1. Eligible Bidders.
- e. The proposal and all signature forms contained therein must be signed by the bidder's authorized signatory authority.
- f. Bidders who intend to use established subcontractor(s) to provide services must include original letters from each subcontractor attesting to their agreement to all terms of the proposal and any resulting contract along with a copy of all documentation required in this RFP to substantiate the proposed subcontractor's qualifications. Subcontracts are not encouraged and may hurt your chances of a successful bid. The LEO Governing Board must approve any subcontract arrangements.
- g. Bidders who intend to use established subcontractor(s) to provide services must include original letters from each subcontractor attesting to their agreement to all

terms of the proposal resulting contract along with a copy of all documentation required in this RFP to substantiate the proposed subcontractor's qualifications. Subcontracts are not encouraged and may hurt your chances of a successful bid. The LEO Governing Board must approve any subcontract arrangements.

2. Evaluation process:

A review panel will independently evaluate each proposal. The scores will be aggregated with the average score recorded. The review panel may request additional information for clarification and consideration. It is possible that the LEO Governing Board will request that bidders make an oral presentation to the representatives of the review panel and others. If the LEO Governing Board elects to request oral presentations, bidders will be notified of date, time and place. The Department of Workforce Investment will then rank the proposals based on the review panel's recommendation. Bidders should note that the LEO Governing Board may award a contract with or without price negotiation.

3. Evaluation Criteria:

The proposal will be evaluated based on the bidder's responses to the information requested in Section VI.

	Possible Points
<p>A. Demonstrated Experience of Quality Service Delivery Background, performance and organizational stability - whether bidder adequately addressed all the response items and appears to be a solid organization and extent bidder demonstrated evidence of ability to perform the functions described in its project plan; AND Qualifications and Staffing - completeness of response to the items in the instructions, quality of response, strength of experience, and demonstrated achievements/results.</p>	300
<p>B. Fiscal Integrity Score is based on demonstrated past fiscal integrity through compliance and accountability for expenditures of funds in accordance with OMB circulars, WIA or WIOA and the corresponding federal regulations and state policies and ensured internal controls to maintain fiscal integrity. The bidder must have responded positively with corrective action to any audit financial findings; proper procurement process must have been followed; and, appropriate use, management, and investment of funds to maximize performance outcomes must have been followed. Appropriate conflict of interest policies must have been followed.</p>	300
<p>C. Plan of Work Score is based on adequacy of response to all items in the instructions, strength of approach and processes, and understanding of the work and timetables necessary to achieve compliance, performance and integrity.</p>	200
<p>D. Cost Score is based on reasonableness of pricing consistent with the plan of work proposed, and the qualifications of bidder.</p>	200
Total	1,000

H. Governing Provisions and Limitations

1. The LEO Governing Board is not liable for any cost associated with responding to this RFP and will not authorize such costs as part of the contract with the selected organization.
2. The LEO Governing Board reserves the right to accept or reject any or all proposals received, to cancel or to reissue this RFP in part, or its entirety.
3. The LEO Governing Board reserves the right to award a contract for any items/services solicited via this RFP in any quantity the LEO Governing Board determines is in its best interest.
4. The LEO Governing Board reserves the right to correct any error(s) and/or make changes to this solicitation as it deems necessary.
5. The LEO Governing Board reserves the right to negotiate the final terms of any and all contracts or agreements with bidders selected and any such terms negotiated as a result of this RFP may be renegotiated and/or amended in order to successfully meet the needs of the workforce development area.
6. The LEO Governing Board reserves the right to contact any individual, organization, employer or grantees listed in the proposal, to contact others who may have experience and/or knowledge of the bidder's relevant performance and/or qualifications, and to request additional information from any and all bidders.
7. The LEO Governing Board reserves the right to withdraw or reduce the amount of an award or to cancel any contract or agreement resulting from this procurement if adequate funding is not available or received from the U.S. Department of Labor, Kentucky DWI or other funding sources or due to legislative changes.
8. The contents of a successful proposal may become a contractual obligation if selected for award of a contract. Failure of the bidder to accept this obligation may result in cancellation of the award. No plea of error or mistake shall be available to the successful bidder as a basis for the release of proposed services at the stated price/cost.
9. A contract with the selected bidder may be withheld, at the LEO Governing Board's sole discretion, if issues of contract or questions of non-compliance, until such issues are satisfactorily resolved. The LEO Governing Board may withdraw award of a contract if the resolution is not satisfactory to the LEO Governing Board.

Violation of any of the following provisions may cause a proposal to be rejected:

1. Bidders shall not under penalty of law, offer or provide any gratuities, favors, or anything of monetary value to any officer, member, employee, or agent of the LEO Governing Board or LWDB for the purpose of having an influencing effect toward their own proposal or any other proposal submitted hereunder.

2. No employee, officer, or agent of the LEO Governing Board or LWDB shall participate in the selection, award or administration of a contract supported by workforce development funds, if a conflict of interest, or potential conflict, would be involved.
3. Bidders shall not engage in any activity that will restrict or eliminate competition. Violation of this provision may cause a bidder's bid to be rejected.
4. Bidders are prohibited from contacting or soliciting support from LEO Governing Board members, LWDB members, or regional elected officials regarding their intent to bid on this work. Such contacts will result in immediate disqualification and rejection of your bid.

I. Administrative Requirements and Procedures

The following administrative requirements and procedures should be carefully reviewed prior to development of a proposal.

1. It is the LEO Governing Board's intent to award only one (1) contract under this RFP.
2. The successful bidder will be required to maintain automated and paper records for fiscal management, property, procurement, plans, policies and procedures, monitoring results, internal and external evaluations, and audits. In the event the contract is not renewed or is terminated, the current contractor agrees to provide all of the identified records to the LWDB.
3. The successful bidder agrees to comply with the LWDB and Commonwealth of Kentucky policies related to information technology.
4. The successful bidder agrees to comply with all applicable federal and state confidentiality laws and to keep and hold all Proprietary Information disclosed by the LEO Governing Board, LWDB, KCC partners, affiliates, customers, or vendors of the LWDB in strict confidence and trust. Proprietary Information being that information of a confidential or secret nature, which includes, but is not limited to, marketing plans, product plans, business strategies, financial information, forecasts, human resource information, and customer lists.
5. The successful bidder acknowledges that for any product and/or deliverable provided as part of the contract, the successful bidder warrants that it created said product/deliverable and that the successful bidder has full power and authority to transfer ownership of same without the consent of any other party and that any product and/or deliverable is delivered free of any rightful claim of any third party by way of infringement or otherwise, arising from or related to the claimed rights in any product and/or deliverable.

J. Submission Order

The proposal should be submitted in the order listed below. A proposal checklist is included as **Appendix B** to assist Bidders in submitting a complete proposal; however, the order listed here

should be followed, if there are variations from the checklist. The cover page and any required attachments do not count toward your proposal narrative 25-page limit.

Proposal Cover Sheet – Appendix A

Proposal Checklist – Appendix B

Part A: Proposal Narrative

1. Bidder's Demonstrated Experience of Quality Service Delivery
2. Bidder's Fiscal Integrity
3. Plan of Work
4. Cost
5. References – minimum of 3

Demonstrated Experience of Quality Service Delivery

Part B: Assurances

1. Administrative and Financial Management Survey and Certification (Appendix C)
2. Assurances (Appendix D)
3. Debarment Certification (Appendix E)
4. Non-Collusion Affidavit (Appendix F)

Interested parties may obtain additional information about the Workforce Innovation and Opportunity Act, including the law, proposed regulations, policies and other documents and resources through the following websites:

<http://www.doleta.gov/WIOA/>

www.whitehouse.gov/omb/

www.nawb.org

www.kwib.ky.gov

APPENDIX A – Proposal Cover Sheet

Lincoln Trail LEO Governing Board Larue County Fiscal Court 209 West High Street, Suite 4 Hodgenville, KY 42740	FOR INTERNAL USE ONLY Rec'd by _____ Date _____ Time _____ Rating _____ Meets Technical Requirements Y/N _____
Local grant sub-recipient Request for Proposal	
Name of Bidder	Federal Employer ID
Address – Administrative	Address – Other
Contact Person	Telephone
Fax Number	Email address
Type of Organization <input type="checkbox"/> Private Nonprofit Corporation <input type="checkbox"/> Private for Profit Corporation <input type="checkbox"/> Other Specify _____	
Bidder Statement of Certification	
This proposal was prepared independently without consultation, agreement or cooperation with any other bidder or party to determine a competitive cost for the services offered. This proposal has been duly authorized by the governing body of the bidder.	
_____ Authorized Signer's Name Typed	_____ Authorized Signature
_____ Authorized Signer's Title	_____ Date Signed

APPENDIX B - Proposal Checklist

All proposals must meet the following technical specifications. Use this as a guide for assembling your proposal. Do not submit this with your proposal. A technical review will be performed by DWI to determine compliance before the evaluation committee reads and rates the proposals.

- Typewritten on 8 ½ by 11 unruled paper, single sided
- Font size no smaller than 11 point
- 1 inch side, top and bottom margins
- Pages numbered consecutively at the bottom of the page (page _of _)
- Proposal Cover Sheet – Appendix A
- Proposal Checklist – Appendix B
- Proposal Content
 - Bidder’s Demonstrated Experience of Quality Service Delivery
 - Bidder’s Fiscal Integrity
 - Plan of Work
 - Cost
 - References – minimum of 3
- Audits or financial statements are provided
- The audit was not qualified and references have indicated that there were no fiscal concerns
- Internal and external evaluations, audits and examinations for current and prior two years
- Legal action history against organization for current and prior two years
- Administrative and Financial Management Survey and Certification submitted and signed – Appendix C
- Assurances submitted and signed – Appendix D
- Debarment Certification - Appendix E
- Non-Collusion Affidavit – Appendix F
- The original proposal and all signature forms are signed by the bidder’s authorized signatory authority and 7 copies in addition to the original.
- One copy of most recent two audit reports
- Where the use of an established subcontractor(s) is proposed, original letter from each subcontractor attesting to their agreement to all terms of the proposal and any resulting contract
- Proposal submitted by the deadline

APPENDIX C - Administrative and Financial Management Survey and Certification

- The bidder has demonstrated that it has the necessary administrative capability and fiscal responsibility needed to provide Local Grant Sub-recipient Services.
- The bidder understands and has the capacity to deliver the services proposed until reimbursement or payment has been made. The LWDB will not provide advances.
- The bidder understands and has the fiscal capacity to pay for non-approved costs and for audit disallowances.
- The bidder understands that pricing is subject to negotiation as a part of the contracting process.
- Has the proposing organization ever filed a petition in bankruptcy? No Yes If yes, provide explanatory information.
- Has the proposing organization ever had to pay back funds to a funding source or the federal government? No Yes If yes, please explain.
- Does the proposing organization have the facilities to maintain the records for a minimum of 5 years? No Yes
- Does the proposing organization have other funding sources? No Yes If yes, please explain.
- What is the proposing organization’s main source of income?
Corporate Information:
- Is bidder a corporation? No Yes If yes, what is the corporation’s state of incorporation?
- Is the corporation registered to do business in the Commonwealth of Kentucky? No Yes
- Is the corporation a subsidiary or wholly owned corporation of another corporation?
- If the corporation is a wholly owned or subsidiary corporation has the information provided regarding the corporations fiscal references been provided for the corporation applying for funding? No Yes
- Has the subsidiary/wholly owned corporation provided a copy of their annual financial statement? No Yes
- How long has the subsidiary or wholly owned corporation been in business?
- Have any of bidder’s officers been indicted or convicted of a crime involving fraud, embezzlement, theft, or conversion? No Yes If yes, please explain.

The undersigned certifies that no representative of the corporation has exerted any undue influence on the procurement process, or violated any federal or state procurement, conflict of interests or ethics law in seeking funding under this Request for Proposals:

Signature	Name and Title of Authorized Representative	Date
-----------	---	------

Name of Applicant Organization

APPENDIX D – Assurances

The bidder hereby assures and certifies compliance with each of the requirements where applicable.

I recognize that I must give assurance for each item below. If I cannot, this proposal will be automatically rejected. The assurances are:

- 1) The bidder is authorized by its Board of Directors, Trustees, other legally qualified office or as the owner of this agency or business to submit this proposal.
- 2) The bidder organization is not currently on any federal, Commonwealth of Kentucky, or local Debarment List.
- 3) The bidder organization will provide records to show that it is fiscally solvent and will provide any other information and/or accept an appointment for interview, if needed.
- 4) The bidder has, or will have, all of the fiscal control and accounting procedures needed to ensure that WIOA funds will be used as required by law and contract.
- 5) The bidder will abide by all fiscal and program requirement as provided in the WIOA and federal regulations.
- 6) The bidder will abide by record retention requirements contained in 29 CFR 95.53 or 29 CFR 97.42 and any applicable state retention schedules.
- 7) The bidder will abide by the policy on debarment and suspension regulations as established in accordance with 29 CFR Part 98.
- 8) The bidder will abide by Equal Employment Opportunity – All Contractors shall contain a provision requiring compliance with E.O. 11246, "Equal Employment Opportunity," as amended by E.O. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity" and E.O. 13672, as supplemented by regulations at 41 CFR Part 60, "Office of Federal Agreement Compliance Programs, and Equal Employment Opportunity Department of Labor."
- 9) The bidder will abide by The Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each Contractor or subcontractor shall be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which one is otherwise entitled. The recipient shall report all suspected or reported violations to the federal awarding agency.
- 10) The bidder will abide by The Davis-Bacon Act as supplemented by US Department of Labor regulations (29 CFR Part 5, "Labor Standards Provision Applicable to Contracts Governing Federally Financed and Assisted Construction"). Under this Act, Contractors shall be required to pay wages to laborers and mechanics at a rate not less than the minimum wages specified in a wage determination made by the Secretary of Labor. In addition, Contractors shall be required to pay wages not less than once a week. The recipient shall place a copy of the current prevailing wage

determination issued by the Department of Labor in each solicitation and the award of an Agreement shall be conditioned upon the acceptance of the wage determination. The recipient shall report all suspected or reported violations to the federal awarding agency.

- 11) Proprietary Information. During both the Agreement timeframe and after its completion, the Contractor agrees to keep and hold all Proprietary Information disclosed by the LEO Governing Board, LWDB, partnering entities, affiliates, customers, or vendors of the local workforce development area in strict confidence and trust. Proprietary Information being that information of a confidential or secret nature, which includes, but is not limited to, marketing plans, product plans, business strategies, financial information, forecasts, personnel information, and customer lists.

The bidder will meet all applicable federal, state, and local compliance requirements. These include, but are not limited to:

- Maintaining records that accurately reflect fiscal accounts;
- Maintaining record confidentiality, as required;
- Reporting financial data, as required;
- Permitting and cooperating with federal investigations undertaken in accordance with the WIOA;
- Complying with federal and state non-discrimination provisions;
- Meeting requirements of Section 504 of the Rehabilitation Act of 1973;
- Meeting all applicable labor laws, including Child Labor Law standards; and
- Accepting funding for and working within the guidelines of other funding opportunities provided the LWDB.

The bidder will not:

- Use WIOA funds to assist, promote, or deter union organizing;
- Use WIOA funds to employ or train persons in sectarian activities; or
- Use WIOA funds for lobbying.

The undersigned hereby assures and certifies that if selected the bidder's organization is in compliance with all of the Assurances and Certifications where applicable.

Name and Title of Authorized Representative

Signature

Date

Name of Applicant Organization

Appendix E – Debarment Certification

Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions

Applicant Organization

Applicant Organization Address

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

- 1) The prospective primary participant (i.e. Local grant sub-recipient) certifies to the best of its knowledge and belief, that it and its principles:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a federal department or agency;
 - b. have not within a three-year period preceding this renewal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making also statements, or receiving stolen property;
 - c. are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of the offenses enumerated in paragraph (1)(b) of this certification; and
 - d. have not within three-year period preceding this application/renewal had one or public transactions (federal, state or local) terminated for cause or default.

- 2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application/renewal package.

Name and Title of Authorized Representative

Signature

Date

Appendix F

Non-Collusion Affidavit

Commonwealth of Kentucky

County of Larue

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 of the Lincoln Trail Workforce Development Board or LEO Governing 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