

**Request for Proposals**

**To Provide**

**One-Stop Operator Services;  
Workforce Innovation and Opportunity Act  
Adult, Dislocated Worker, Youth and Business  
Career Services;  
and  
Workforce Development Board Staffing Support  
Services**

**For**

**Region 5 Workforce Board, Inc.**

**For the period:**

**January 1, 2019 – December 31, 2020**

**RFP Issue Date: November 5, 2018**

Key Dates:

Bidders Conference (Optional) November 12, 2018  
Mandatory Letter of Intent due November 13, 2018  
Written Questions due November 19, 2018  
Answers to Questions Issued November 23, 2018  
Proposal Due Date: 4:00 PM EST, December 3, 2018  
Interviews December 6, 2018  
Award Announced: December 17, 2018  
Transition/Contract Begins: January 1, 2019

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## **Purpose**

The purpose of this solicitation is to select an entity or entities to provide 1) One Stop Operator services, 2) career services to deliver Adult, Dislocated Worker, Youth and Business Services under the Workforce Innovation and Opportunity Act of 2014 (WIOA) and 3) provide staff support services to the Region 5 Board. Interested parties may bid on one, two or all of the services described in this RFP. Any party bidding on more than one of the three requested services described in this RFP must provide additional information regarding their plan for meeting the internal control and conflict of interest prevention requirements in 20 CFR 679.430.

The purposes of WIOA are the following:

(1) To increase, for individuals in the United States, particularly those individuals with barriers to employment, access to and opportunities for the employment, education, training, and support services they need to succeed in the labor market.

(2) To support the alignment of workforce investment, education, and economic development systems in support of a comprehensive, accessible, and high-quality workforce development system in the United States.

(3) To improve the quality and labor market relevance of workforce investment, education, and economic development efforts to provide America's workers with the skills and credentials necessary to secure and advance in employment with family-sustaining wages and to provide America's employers with the skilled workers the employers need to succeed in a global economy.

(4) To promote improvement in the structure of and delivery of services through the United States workforce development system to better address the employment and skill needs of workers, jobseekers, and employers.

(5) To increase the prosperity of workers and employers in the United States, the economic growth of communities, regions, and States, and the global competitiveness of the United States.

(6) For purposes of subtitle A and B of title I, to provide workforce investment activities, through statewide and local workforce development systems, that increase the employment, retention, and earnings of participants, and increase attainment of recognized postsecondary credentials by participants, and as a result, improve the quality of the workforce, reduce welfare dependency, increase economic self-sufficiency, meet the skill requirements of employers, and enhance the productivity and competitiveness of the Nation.

## **I. Background and General Information**

- A. The Region 5 Workforce Board, Inc. (hereinafter the Board) issues this Request for Proposals (RFP) to procure a One Stop Operator (OSO), a provider of Adult, Dislocated Worker, Youth and Business Services under the provisions of the Workforce Innovation and Opportunity Act, and a provider of staff services to the Board. The goal is to receive a wide variety of high quality, innovative

proposals that meet the workforce development needs of the regional community at large.

- B. The resulting contract(s) with the successful bidder(s) will be for a two-year period, January 1, 2019 to December 31, 2020. Based on performance, the Board may renew the contract for an additional 2 years, January 1, 2021 to December 31, 2022. The form of the contract will be cost-reimbursement.
- C. Economic Growth Region 5 consists of Boone, Hamilton, Madison, Hancock, Shelby, Johnson, Morgan and Hendricks counties. There are Comprehensive WorkOne Centers in Anderson, Franklin and Plainfield. There are WorkOne Affiliate Sites in Boone, Hamilton, Hancock and Shelby counties. The successful bidder(s) will provide Staff to the Board, One-stop Operator Services and Adult, Youth, Dislocated Worker programs and Business Services in all eight counties in Economic Growth Region 5 effective January 1, 2019.
- D. The Board is seeking interested and qualified entities able to provide innovative, high quality services to adults, dislocated workers, youth and the business community. The proposed services must meet the specifications of this RFP. The organization selected should demonstrate the characteristics listed below.
  - Competent management with vision
  - Customer service-oriented staff
  - Cooperative management and staff
  - Commitment to an integrated service delivery model
  - Willingness to partner with others
  - Flexibility and ability to adapt to change
  - Expertise in delivery of WIA and or WIOA service
  - Experience in applying for/securing additional grants
  - Data Integrity
  - Creativity
- E. Specifications for each of the requested services are found in section III. B Plan of Service & Responsibilities of this RFP.
- F. WIOA funds allocated to Region 5 for PY 18 are \$3,067,637 for Program Year 2018 (PY'18) for Youth, Adult and Dislocated Worker WIOA programs. Potential bidders should use the budgeted amounts described in attachment F to this RFP in their responses (as necessary).
- G. Bidders must serve Adults, Youth and Dislocated Workers in all eight counties in the Region. The Board will ensure that services are provided equitably in all the counties in the Region. Business services will also be provided in all eight counties through Business Consultant funding. Approximately \$120,000 is estimated pending funding determinations by the Indiana Department of Workforce

Development. A third Business Consultant is currently funded through the region's WIOA funds.

- H. The Board reserves the right to make an award to any bidder(s) or to make no awards, if that is deemed to serve the best interests of the Board and Region 5. The proposal process is competitive and follow federal Uniform Grant Guidance procurement standards within 2 CFR 200.
- I. The Workforce Innovation and Opportunity Act of 2014 provides the framework for a national workforce preparation system that is flexible, responsive, customer-focused and locally managed. The Board envisions a system that meets the needs of residents and businesses alike.
- J. This Request for Proposals is not in itself an offer of work nor does it commit the Board to fund any proposals submitted. The Board is not liable for any costs incurred in the preparation or research involved in the development of proposals.
- K. Successful bidders must negotiate the proposal before the Board will make any final commitment.
- L. All commitments made by the Board are contingent upon the availability of funds and the Board reserves the right to award an amount less than the total funds available for bid contained in this RFP.
- M. The Board assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Innovation and Opportunity Act of 2014; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; The Age Discrimination Act of 1975, as amended; and Title IX of the Education Amendments of 1972, as amended. The Board also assures that it will comply with any federal WIOA regulations and the laws listed above. This assurance applies to the WIOA Title I financially assisted program or activity, and to all agreements that the Board makes to carry out the WIOA Title I financially assisted program or activity. This WIOA Title I funded program is an equal opportunity employer / program. Auxiliary aids and services will be made available upon request for individuals with disabilities.
- N. By submitting a bid all bidders are providing an assurance that they will comply with the above nondiscrimination and equal opportunity provisions.
- O. Funds available for bid are intended to result in contracts for services in Region 5 for one-stop operator; adult, youth and dislocated workers and business services; and staff support services to the board.
- P. Bidders should note that under the requirements of the Freedom of Information

Act, the contents of their proposal or other information submitted to the Board is subject to public release upon request, except those items specifically exempt from disclosure. The bidder shall mark as "proprietary" those parts of its proposal that it deems proprietary. However, the bidder is alerted that this marking is advisory only and not binding on the Board. If there is a request from the public under F.O.I.A. to inspect any part of the proposal so marked, the Board will advise the bidder and request further justification in support of the "proprietary" marking. If the Board determines, after receipt of the justification, that the material is releasable, the bidder will be notified immediately. Under no circumstances will a proposal or any part of a proposal be released prior to the contract award decision.

- Q. The specifications in this RFP may change based on issuance of State or Federal regulations or policy. WIOA regulations were issued in January of 2015. The Region 5 Board will work with the successful bidder to implement any changes required by the State or Department of Labor. By submitting a proposal, the bidder agrees to work cooperatively with the Board to comply with subsequent changes.
- R. By submitting a proposal, the bidder certifies to his/her knowledge and belief that there is no conflict of interest (real or apparent) inherent in the bid or in delivering the scope of work if the Board awards a contract. A conflict of interest would arise if any individual involved in the preparation of this RFP, proposal review and rating or award decisions has a financial or other interest in or represents the bidding organization and would be likely to gain financially or personally from the award of a contract. The same would hold true for any member of the individual's family, partner, or an organization employing or about to employ any of the above as a direct result of the successful award of a contract under the RFP. The Board reserves the right to disqualify a bid should a conflict of interest be discovered during the solicitation process.
- S. The successful bidder(s) for one-stop operator and career services provider will be required to maintain a local management office within Region 5 for county office formal staff supervision and day-to-day management. This office may be located in one of the comprehensive WorkOne or affiliate WorkOne offices.
- T. By submitting a proposal, the bidder assures that it will provide additional services under additional grants such as a National Emergency Grant or other State or federally funded workforce programs granted to Region 5.
- U. Subcontracting – bidders may subcontract for all or part of the services to be provided, but the intentions to subcontract must clearly be stated in the response to the RFP. Any subcontracting not specifically specified in the proposal or in the contract must have WDB approval.

- V. The bidder assures that if awarded a contract by the Board, it will comply with Regional, State and Federal program and financial monitoring.
- W. Bidders are prohibited from contacting or discussing this RFP with board members of the Region 5 Workforce Board, Inc. Such contact will result in disqualification of the bid.

## II. Proposal Requirements

- A. Proposals must be received by 4:00 P.M. EST, December 3, 2018 in person or by mail at the address indicated. Proposals received after that time and date will be rejected. Please note that proposals must be received not postmarked prior to this deadline. Printed copies of the proposal and an electronic copy must be submitted and proposals shall not be submitted by FAX.
- B. Submit four copies of your proposal on 8½”x 11” white bond. You may single space your proposal but margins must be at least an inch and font size must be no less than 11. One copy should be submitted unfolded and unstapled and marked “ORIGINAL.” In addition to printed copies of the proposal, please submit an electronic copy in Word via email to Douglas Jones at [djones@comernowling.com](mailto:djones@comernowling.com). When submitting the electronic copy, please request a confirmation that your email has been received.
- C. Submit one copy of your most recent audit report. This report should be submitted separately. If your organization has operated WIA or WIOA funded programs, please submit one copy of your monitoring report for the past two program years with resolution letters. The audit report and monitoring reports are not part of the proposal.
- D. Attachment A, a proposal cover page, should be completed and used as the cover page for the proposal.
- E. Attachment B budget form needs to be completed with a budget narrative. A budget page must be provided for each of the services proposed.
- F. Attachment C program service level form needs to be completed.
- G. Attachment D Non-Collusion Affidavit needs to be signed and submitted.
- H. Attachment E Assurances and Certifications needs to be signed and submitted.
- I. Your response to the narrative section of the proposal is limited to no more than 30 pages. This page limitation is imposed for the sake of the reviewers of your

proposal. This limitation does not include other sections of your proposal such as: Attachments A, B, C, D, E, the budget narrative, organizational charts and letters of agreement by partners. The Executive Summary will count toward the 30 page narrative limit.

- J. Proposals will be submitted “Return Receipt Requested.” If hand delivered, the deliverer must have a prepared receipt for signature and time/date. Faxed proposals will not be accepted. The transmitting envelope will be clearly marked “Region 5 Service Provider Proposal” and addressed to:

Douglas O. Jones, CPA  
Comer Nowling and Associates  
8606 Allisonville Road  
Suite 120  
Indianapolis, IN  
46250  
317-841-3393

- K. Assemble your proposal using the following order. Use this as a checklist to ensure the proper order. Failure to follow RFP instructions could result in rejection of your proposal.

- Cover Page (Attachment A)
- Executive Summary
- Proposal Narrative
- Attachment B (budget)
- Budget Narrative (one page)
- Attachment C (Planned Service Levels)
- Attachment D (Non-Collusion Affidavit)
- Attachment E (Assurances and Certifications)
- Letter(s) of Agreement with partners
- Submit one copy of your audit report (separate from the proposal)
- Submit one copy of your workforce program monitoring reports for the most recent two years



- L. All entities interested in submitting a proposal must submit a Letter of Intent no later than 4:00 PM EST November 13, 2018 to Douglas O. Jones CPA Comer Nowling and Associates, 8606 Allisonville Road, Suite 120, Indianapolis, IN 46250. Letters should include contact information (including telephone and email). These letters must be received by November 13, 2018. Your Letter of Intent may be mailed, or emailed. If emailed the subject line of the email must state: "REGION 5 RFP SUBMISSION and sent to [djones@comernowling.com](mailto:djones@comernowling.com)

Douglas O. Jones, CPA  
8606 Allisonville Road, Suite 120  
Indianapolis, IN 46250

Letters may be hand delivered at the optional bidders conference (described below).

- M. An optional 2-hour bidders conference will be held at 1:30 PM on November 12, 2018 at the address listed above.
- N. Written questions regarding this RFP may be submitted in writing to Douglas O. Jones by email. Address questions to Doug at [djones@comernowling.com](mailto:djones@comernowling.com). If questions are emailed the Subject Line must read "Region 5 RFP SUBMISSION." All questions will be responded to, compiled and shared with all bidders that submitted a Letter of Intent to bid. Questions will be accepted up to 5:00 PM, November 19, 2018. The questions and answers will be researched, compiled and emailed on or before November 23, 2018 to all bidders.
- O. An electronic copy of the RFP package is available online at <http://www.in.gov/dwd/2476.htm>
- P. Proposals must be received in accordance with subparagraph J. above no later than 4:00 PM EST December 3, 2018.
- Q. The Region 5 Workforce Board will review proposals the week of December 17, 2018 and will schedule and conduct interviews as considered necessary starting December 6, 2018. An award decision is expected by December 17, 2018. Contract transitions, as considered necessary, shall start January 1, 2019.

The proposal evaluation weights are specified in each section of the RFP.

- R. Appeals/Complaints: Bidders have the right to appeal any action or decision related to this RFP. Appeals will be reviewed and investigated by the Region 5 Workforce Board, Inc. The decision of the Board in such situations shall be final.

### **III. Proposal Narratives**

The total narrative portion of your proposal(s) is limited to 30 pages. This limitation applies whether you are bidding on one or multiple services solicited through this RFP. Please include a brief Executive Summary that allows the reader to understand key aspects of the bidding entity and the approach to providing the requested One-stop Operator, Board Staff, and Career Service Provider services.

#### **Profile the Proposing Organization**

- a. What is the legal status of your organization?
- b. Describe your organization, the governance structure, length of existence, vision, mission, goals and major programs currently offered.

#### **History of Similar Programs**

- a. Proposals must include information to demonstrate that the provider has a record of success in operating similar workforce programs or projects. Describe your experience serving adults, dislocated workers and youth. Provide a description of your experience providing business services similar to the business services requested in this RFP. Please outline all workforce programs operated during the last two years. Provide brief program descriptions, funding sources and performance information.
- b. Provide two references of individuals outside of your organization familiar with the quality of prior programs you have operated.
- c. If the organization has not provided past WIA and/or WIOA programs, please outline programs that provided similar services in which your organization has been involved over the last two years.

Region 5 has implemented an integrated service delivery model. It may be helpful for bidders to review the Local Plan that has been adopted for Region 5. A copy of this plan was posted with the RFP.

## One-Stop Operator Responsibilities

### Rating Criteria and Weights – 100 points possible

- *Background and qualifications – 25 points*
- *Plan of service – 35 points*
- *Staffing plan and organizational chart – 10 points*
- *Partnerships and coordination – 10 points*
- *Financial management and budget – 20 points*

The role and minimum responsibilities of the One-Stop Operator is described in 20 CFR 678.620 which states “the one-stop operator must coordinate the service delivery of the required one-stop partners and service providers”.

Under that regulation, the one-stop operator will be responsible for:

1. Coordinating service providers across the one-stop delivery system,
2. Being the primary provider of services within the one-stop centers,
3. Providing some of the services within the one-stop centers,
4. Coordinating service delivery in a multi-center area, which may include affiliated sites.

The one-stop operator (or, pursuant to an agreement in accordance with 20 CFR 679.430, that portion of the entity that is serving as the one-stop operator) may not:

1. Convene system stakeholders to assist in the development of the local plan,
2. Prepare and submit local plans,
3. Conduct oversight of it-self,
4. Manage or significantly participate in the competitive selection process for one-stop operators,
5. Select or terminate one-stop operators,
6. Negotiate local performance accountability measures, or
7. Develop and submit budgets for activities of Local WDB in the local area.

Specifically, responsibilities include:

1. 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.
2. Directing and coordinating the flow and delivery of services in each WorkOne Center located in the region, in accordance with state policies.
  - a. Perform duties identified for the one-stop operator in federal and state legislation, regulations, policies and procedures.
  - b. Direct and coordinate the flow and delivery of services in each WorkOne located in the region in accordance with state policy.

- c. Provide technical assistance to the workforce service providers in the WorkOne system, including the non-procured partners in the one-stop system.
3. *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/2482.htm>.*

## **Board Staffing Responsibilities**

### **Rating Criteria and Weights – 100 points possible**

- *Prior Experience and qualifications – 20 points*
- *Executive Director candidate – 40 points*
- *Other Board support capabilities/experience – 20 points*
- *Experience with LEO's, Community organizations and other relevant Stakeholder organizations – 20 points*

Local Workforce Development Board functions and responsibilities are described in 20 CFR 679.370 which is provided in attachment G of this RFP. Local Workforce Development Board staffing is described in 20 CFR 679.400. Entities proposing to provide staffing services to the Region 5 WDB must provide a description of their ability and process to comply with the qualifications and salary requirements of both sections 679.370 and 679.400.

#### **1. *Providing executive support services for the WDB.***

The WDB is an active, business-led, volunteer board that establishes policy and drives the region's strategy for workforce development. One-stop operator and board staffing support providers must provide proactive support to this board. Staff providing direct support functions to the WDB must be approved by the WDB, and cannot be changed without the WDB's prior approval. In addition to the ensuring compliance with the requirements of 20 CFR 679.370, the WDB staff is to:

- a. Assist the WDB to think strategically regarding the development of a comprehensive workforce system and alignment of the workforce system with economic development and education;
- b. Assist the WDB to develop into a dynamic, cooperative, and positive team with the capacity to achieve established goals;
- c. Cultivate a climate that actively engages WDB staff members as well as WDB members, so that value-added results are seen and individuals sense the benefits of participating;
- d. Assist the WDB in developing and using an industry cluster approach to

workforce, education, and economic development policy and practice;

- e. Identify and use a local planning process that will produce both short and long-term plans, resulting in visible and efficacious results;
  - f. Ensure that the WDB meets its responsibilities with respect to contracts in force (e.g. Business Consultant contract);
  - g. Provide data-based performance reports to the WDB on a regular basis;
  - h. Compile and publish data-based performance indicators in graphic form on a regular basis;
  - i. Assist the WDB in the development and execution of a regional-based outreach plan.
  - j. In collaboration with the WDB, determine which approved training providers are utilized to provide training programs within the Region. The state's eligible training provider policy may be found at [https://www.in.gov/dwd/files/ETPL%20Policy%20\\_Final.pdf](https://www.in.gov/dwd/files/ETPL%20Policy%20_Final.pdf)
  - k. Create a budget, cost allocation plan, and procurement policy for the WDB's approval, including budgeting for the work of the WDB.
  - l. Ensure compliance with the region's procurement policy, including execution of all contracts.
  - m. Provide participant reporting and data validation functions, in conjunction with the WDB.
- 2. *Leveraging resources 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 the Region. Staff must be able to form coalitions and partnerships to achieve these results.

**3. *Promoting the efforts of the WorkOne System and the Boards initiatives.***

- a. Develop strategy for keeping the Region in top quartile performance standards for all state regions or workforce service areas.
- b. Receive, along with the WDB, technical assistance and support from the Indiana Department of Workforce Development.

- c. Implement a plan to proactively recruit worker and employer participation in and utilization of the services provided within the workforce investment system.
- d. Conduct robust outreach to regional employers to ascertain their needs, and ensure services provided within the Region reflect the employer feedback.
- e. Work vigorously with regional employers to meet their recruitment and training needs.
- f. Provide direct management and supervision to regional WorkOne business consultants, ensuring business consultants proactively engage regional employers and economic development organizations, and provide information, guidance, and superlative assistance of regional and state workforce development programs, including, but not limited to, on-the-job training.
- g. Execute the WDB's outreach plan.
- h. Develop RFPs for service providers, as necessary, and all other contractors in coordination with the Fiscal Agent and oversee the evaluation and selection process.

## **Career Services Provider Responsibilities**

### **Rating Criteria and Weights – 100 Points possible**

- *Background and qualification in each defined area – 25 Points*
- *Plans of service – 35 points*
- *Staffing and Delivery plans – 10 points*
- *Prior relevant experiences – 10 points*
- *Prior measured performance – 20 points*

Required partners in the local one-stop delivery system and their roles are listed and described in 20 CFR 678.400 through 678.425. Career Services are defined in 20 CFR 678.430. Business services are described in 20 CFR 678.435. Finally, Rapid Response grants and activities are described in 20 CFR section 687. Entities proposing to provide career services to the Region 5 WDB must demonstrate their ability to:

1. Provided basic individual career services which include the following:
  - a. Determination of whether individuals are eligible to receive services.
  - b. Outreach, intake, and orientation to information and other services available through the one-stop delivery system.
  - c. Initial assessment of skill levels including literacy, numeracy and English language proficiency.
  - d. Labor exchange services.
  - e. Provision of referrals to and coordination of activities with other programs and services.
  - f. Provision of workforce and labor market employment statistics.

- g. Provision of performance information and program cost information on eligible providers.
  - h. Provision of information about how the local area is performing on local accountability measures.
  - i. Provision of information relating to the availability of supportive services...
  - j. Provision of information and meaningful assistance to individuals seeking assistance in filing a claim for unemployment compensation.
  - k. Assistance in establishing eligibility for programs of financial aid assistance for training and education programs not provided under WIOA.
2. Provide Business services which include the following:
    - a. Customized Screening and referral of qualified participants in training services to employers.
    - b. Customized services to employers on employment related issues.
    - c. Customized recruitment events and related services for employers including targeted job fairs.
    - d. Human resource consultation services.
    - e. Customized labor market information for specific employers.
  3. Provide Rapid Response services, when authorized and funded, which may include the following:
    - a. Employment and training assistance, including those activities authorized at secs. 134(c) through (d) and 170(b)(1) of [WIOA](#).
    - b. Provide for [supportive services](#), including needs-related payments (subject to the restrictions in sec. 134(d)(3) of [WIOA](#), where applicable, and the terms and conditions of the grant) to help workers who require such assistance to participate in the activities provided for in the [grant](#).

### Career Services

Regional expectations for the career service delivery also include the following:

#### Adult and Dislocated Worker activities:

- a. Career counseling.
- b. Provision of information on in-demand occupations and non-traditional employment.
- c. Comprehensive skills assessments.
- d. In depth interviewing and evaluation of barriers to employment.
- e. Development of an Individual Employment Plan.
- f. Group counseling; career planning; short term prevocational services.
- g. Soft skills training; work experience.
- h. Financial literacy.
- i. Out of area job search.
- j. Training services; occupational skills training; supportive services; OJT.
- k. Incumbent worker training; private sector training programs.
- l. Skill upgrading and retraining.
- m. Job readiness training.
- n. Adult education and literacy activities and follow-up services.

#### Youth activities:

Serve a combination of in-school and out-of-school youth. Proposals should be based on youth development principles and best practices that support, motivate, and prepare youth for continuing educational achievements, successful transition into adulthood, and long-term success in employment. The proposed services design and implementation strategies must be age appropriate, provide a customized mix of services to address individual needs and goals, and lead to attainment of the performance measures for in-school and out-of-school youth.

Under the Workforce Innovation and Opportunity Act, Youth funds contracted to the service provider for eligible youth shall be used to carry out programs that:

1. Provide an objective assessment of the academic levels, skill levels, and service needs of each participant.
2. Provide service strategies for each participant.
3. Provide activities leading to the attainment of a secondary school diploma or its recognized equivalent, or a recognized post-secondary credential.
4. Provide preparation for post-secondary educational and training opportunities.
5. Provide strong linkages between academic instruction and occupational education that lead to the attainment of recognized post-secondary credentials.
6. Provide preparation for unsubsidized employment opportunities, in appropriate cases.
7. Provide effective connections to employers in in-demand industry sectors and occupations of the regional labor market.

The Region 5 Youth program must provide the fourteen (14) elements below. Definitions of these program elements are provided in 20 CFR 681.460. The 14 elements that must be present are:

1. Tutoring, study skills training, instruction, and evidence-based dropout prevention and recovery strategies that lead to completion of the requirements for a secondary school diploma or its recognized equivalent (including a recognized certificate of attendance or similar document for individuals with disabilities) or for a recognized postsecondary credential;
2. Alternative secondary school services, or dropout recovery services, as appropriate;
3. Paid and unpaid work experiences that have as a component academic and occupational education, which may include--
  - summer employment opportunities and other employment opportunities available throughout the school year;
  - pre-apprenticeship programs;
  - internships and job shadowing; and
  - on-the-job training opportunities;



4. Occupational skill training, which shall include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations in the local area involved.
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster;
6. Leadership development opportunities, which may include community service and peer-centered activities encouraging responsibility and other positive social and civic behaviors, as appropriate;
7. Supportive services;
8. Adult mentoring for the period of participation and a subsequent period, for a total of not less than 12 months;
9. Follow up services for not less than 12 months after the completion of participation, as appropriate;
10. Comprehensive guidance and counseling, which may include drug and alcohol abuse counseling and referral, as appropriate;
11. Financial literacy education;
12. Entrepreneurial skills training;
13. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local area, such as career awareness, career counseling, and career exploration services; and
14. Activities that help youth prepare for and transition to post-secondary education and training.

## Business Services

Regional expectations for business service delivery include:

The services to be provided by the Business Consultants are prescribed by the Department of Workforce Development. The Board expects the successful bidder to fully comply with DWD expectations throughout Region 5. The Board has historically received \$120,000 for Business Consultant services in Region 5. It is expected that two Business Consultants will be employed by the successful bidder with these funds with a third Business Consultant from with local WIOA funds.

In your proposal, provide the following assurance: "If awarded a contract for business services by Region 5, the contractor will employ two Business Consultants and deliver business services in accordance with the specifications of the Region 5 Request for Proposal including any changes to these specifications required by the Department of Workforce Development or the Board." The business consultant service specifications are included as items a. through d. below.

Please provide a brief description of how you will deliver the services a. through c. below as well as any additional business services and how you will meet the business services goals.

- a. The Regional Business Consultants will connect employers to the WorkOne system, gather business intelligence and assist in the development of a Regional Workforce/Economic Development partnership by developing relationships with regional businesses, Local Economic Development Organizations (LEDO's) and Small Business Development Centers. The goals of the position are:
- Increase employment levels regionally and statewide.
  - Market WorkOne services to the businesses in the region, in group or one-on-one setting.
  - Promote the WorkOne brand.
  - Compile/gather business intelligence to better understand the needs of business for workforce development solutions.
  - Communicate, facilitate and coordinate services with state, regional and local entities.
  - Work with economic development and industry professionals in business retention, expansion and attraction activities as needed.
  - Manage a portfolio of premier companies to accomplish above goals.
- b. The responsibilities of the business consultants are:
- Collect business intelligence from employers in the region and develop professional relationships with the major contributors to the regional economy. Consultant will compile, analyze, and advise Board of business intelligence for strategic planning.
  - Provide information to employers, to raise awareness about all WorkOne services including but not limited to; Indiana Career Connect, WorkKeys profiling and assessments, on-the-job training programs, specialized recruitment and placement, screening services, etc.
  - Promote the hiring of Dislocated Workers and other specialized populations, such as; Veterans, persons with disabilities, Adult Education students, and Youth.
  - Deliver presentations to business and trade organizations regarding workforce related topics and services.
  - Evaluate the workforce development and hiring/recruitment needs of businesses, and develop solutions- based strategies to meet those needs.
  - Serve as the point of contact for companies in the event of closure or layoffs and coordinate Rapid Response efforts if necessary. Consultant should look for opportunities where layoff aversion activities would be appropriate, be aware of potential alternative employment or training offerings, and deploy resources as necessary.

- Develop strategic partnerships with local and statewide economic development individuals to understand programs and abilities, share appropriate information about business activity and coordinate services that maintain, and or promote increased employment levels.
- Assist employers in utilizing all features of Indiana Career Connect to effectively recruit and select employees. Help employers post job orders as needed and use the system to find and/or screen applicants.
- Participate in Job Fairs, Career Fairs, and other opportunities for both employers and applicants to exchange information about jobs.
- Promote the development of a skilled regional workforce by encouraging employers to use WorkKeys profiles and assessments leading to Career Readiness Certificates. Follow up with participating WorkKeys companies to make sure profiles are completed as needed, assessments are delivered in a timely way and skills gap training is provided as needed.
- Assist WorkOne staff with marketing and development of work experience worksites and on-the-job training contracts.

c. The Business Consultants deliverables are:

- Record all activity with businesses/employers in Indiana Career Connect or other designated system on a regular and continual basis.
- On a quarterly basis attend at least one Chamber or other business and industry group meeting in each city/town in the region with a population of 15,000 or more.
- Report activity through the Client Relationship Management (CRM) tool, as directed by DWD.
- Attendance at Region 5 Workforce Board meetings and participation in statewide Business Consultant meetings and training events.

## **Services and General Information**

1. One-stop Operator Proposers
  - a. One-stop Operator management must be familiar with WIOA rules and regulations. Describe your plan to ensure that your staff is well-trained and ready to implement WIOA services in Region 5 on January 1, 2019.
  - c. Describe your organization's commitment to an integrated service delivery model in the WorkOne system.

- d. Present your understanding of the differences between the WIOA requirements, customer expectations and the needs of adults, dislocated workers and youth. Describe your organization's ability to coordinate services to or directly meet the specific needs of each population.
  - e. Describe how your organization envisions the role of career service provider management staff in an integrated system. The successful bidder will be required to maintain a local management office within Region 5 for formal county office staff supervision and day-to-day management. This office can be located in one of the Comprehensive WorkOne or WorkOne Affiliate offices. Please identify by name and title the management staff that will be located within the region and describe their management authority and responsibilities.
  - f. Describe your understanding of the role of the One-stop Operator in marketing and implementing an effective on-the-job training component to employers.
  - g. The 3 Comprehensive WorkOne Centers in Region 5 are located in Anderson, Franklin, and Plainfield. Describe the similarities and differences in how services will be delivered in the Affiliate vs. Comprehensive WorkOne Centers. This section should provide a brief description about how services will be provided in each specific county and address at a minimum the following issues: the menu of services available, hours of operation, full-time or part-time staff, availability of partner services, and client flow. Also describe the similarities and differences of an integrated service delivery system in Comprehensive vs. Affiliate sites.
  - h. Describe the process your organization has in place for dealing with external complaints and their resolution.
  - i. Describe your organization's policies and practices regarding ethical behavior, disciplinary actions.
2. Board Staff Support proposers
- a. Board support staff must be familiar with WIOA rules and regulations with respect to the role and duties of the Local Workforce Development Board. Describe your plan to ensure that your staff is well-trained and ready to provide service support on January 1, 2019.
  - b. Describe your knowledge of the most significant workforce development challenges and opportunities that Region 5 will likely face in the next two years.
  - c. Describe how you will market and implement an effective on-the-job

training component to employers.

- d. Describe the process you envision for the approval and payment of expenses and the related reporting within the local workforce system direct client expenditures in an integrated system.
- e. Describe how you envision the flow of data and management information (performance and financial) from the regional service providers and one-stop operator through to funders and the board. Also describe the board staff's role in ensuring that accurate and timely data provided.
- f. Describe the process your organization has in place for dealing with external complaints and their resolution.
- g. Describe your organization's policies and practices regarding ethical behavior, disciplinary actions.

### 3. Career Service Provider proposers

#### Adult and Dislocated Worker Services

- a. Describe your organization's policies and practices regarding ethical behavior, disciplinary actions.
- b. Describe how the availability of services to adults and dislocated workers will be marketed in all communities within the Region. Also describe how recruitment of these populations will be conducted.
- c. Describe any sector partnerships that play a key role currently in Region 5 and suggest any additional sectors that could be explored based on the labor market in Region 5.
- d. Describe the steps that will be taken to ensure a thorough understanding of and ability to implement the eligibility, assessment, case management, and counseling services of the WIOA and local WDB that will be provided to adults and dislocated workers. Include a discussion of your understanding of the meeting these requirements in an integrated system.
- e. Describe the organization's plan for ensuring compliance with the roles and responsibilities of the Career Services Provider described in 20 CFR section 678 and 687 and listed previously in this RFP.
- f. Describe your organization's understanding of the services that will result in direct client expenditures (i.e. Supportive services, ITAs, OJT, work experience, etc.) For each type of service, describe how it will be decided which customers receive that

particular type of service and how the amount of financial assistance will be determined for each customer in an integrated system.

- g. Describe how the organization plans to deliver rapid response services as described in 20 CFR 687 in the event of a facility closure or large dislocation. Also describe how rapid response activities will be coordinated between business services staff and WorkOne staff.
- h. Describe how customer feedback will be collected and used to make continuous improvements to services.
- i. Describe your understanding how seamless services should be provided between Workone programs including Adult, Dislocated Worker, Youth, Business Services, workin, Wagner-Peyser, Trade Adjustment Assistance, Veterans Programs, TANF, Adult Education and Vocational Rehabilitation.
- j. Describe the process your organization has in place for dealing with external complaints and their resolution.
- k. Describe your organization's policies and practices regarding ethical behavior, disciplinary actions.
- l. Describe how you will market and implement an effective on-the-job training component to employers.

## Youth Services

- a. The 14 Program Elements required by 20 CFR 681.460 were listed previously in this RFP. All 14 required elements must be made available. The WIOA legislation mandates that 14 specific program elements must be included in the WIOA Youth program design (these can be available by direct service provision, through partnerships with other organizations, or by referral to other organizations as appropriate). Describe the organization's plan to comply with these requirements.
- b. Describe how the availability of services to WIOA in-school and out of school youth will be marketed to all communities within the Region. Also describe how recruitment of these populations will be conducted.
- c. Describe how the program design will ensure that no more than 50% of funding will be spent on in-school youth while not less than 50% will be spent on out of school youth during the waiver period from DOL.
- d. Describe your understanding of how career pathways can be used to enhance youth services.

- e. JAG programs operate at Anderson High School, Anderson High School 2, Avon High School, Pendleton Heights High School, Mt.Vernon High School, Eastern Hancock High School, Greenfield Central High School, Martinsville High School, Sheridan High School, Shelbyville Sr High School, and Shelbyville Sr High School 2. Costs for this program will be funded by a mix of WIOA Youth in-school program funds and State funds to be contracted through this solicitation. The costs consist of salary and fringe benefits for a JAG teacher, supportive services and work experience wages. This program will continue for the foreseeable future. Provide an assurance that you will assign staff and operate the JAG programs at the above named schools in accordance with and WDB requirements.
- f. Describe the eligibility, objective assessment including basic skills and academic level, individual service strategy development, case management, counseling, and follow up services that will be provided to youth. Indicate how youth will be prepared for postsecondary education opportunities, as appropriate and how strong linkages will be developed between academic and occupational training.
- g. Also describe how youth will be prepared for unsubsidized employment opportunities and how youth will access information about the local labor market, in-demand occupations and employment opportunities within the region.
- h. Describe all services that will result in direct client expenditures (i.e. Supportive services, classroom training, work experience, OJT etc.) For each type of service, describe how it will be decided which customers receive that particular type of service and how the amount of financial assistance received will be determined for each customer.
- i. Describe how you plan to utilize on-the-job training with youth. How will you market youth OJT contracts to employers?
- j. Demonstrate knowledge of performance requirements for the In-School and Out-of-School Youth programs by describing how the programs will be managed to meet or exceed each of the applicable performance standards. In addition, please provide an assurance that services will also be designed to meet any additional quality standards established by the Department of Workforce Development or the Regional Workforce Board.

## **Staffing Plan and Organizational Chart**

1. Staffing of Board/One-stop Operator Services and the WIOA Career Services program is one of the most critical aspects of ensuring program quality. Please describe your proposed staffing plan for each of the services that your organization is proposing to provide for the WIOA programs in Region 5.

- a. The proposal should identify the qualifications of the staff that will be involved in delivering services in Region 5. Include brief position descriptions with position titles and minimum qualifications required for selection of staff. If staff will be hired after January 1, 2019 please describe the process for recruitment and selection.
- b. Your staffing plan should specify staffing levels, position titles, and full, part time or temporary status, (by county for Career Services Provider proposals) in Region 5. The Region 5 Workforce Board is committed to operating WorkOne Comprehensive offices in Anderson, Franklin and Plainfield. WorkOne Affiliate sites shall be operated in Boone, Hamilton, Hancock, Hendricks, and Shelby counties.
- c. Identify key management staff by name with a summary of their credentials and brief resume of qualifications, and a brief description of their duties and responsibilities. Board staffing support proposals should include a position for a full-time Director who will oversee implementation of all services related to the organization's contract(s) with the Region 5 Workforce Board.

## 2. Organizational Chart(s)

- a. Include an organizational chart(s) that illustrates the structure of the staff to be used in support of the proposed programs. For Career Service Provider proposers, the chart should clearly display the number of staff planned for each county along with position titles.
- b. The chart should also display the management staff located within Region 5 and those located outside Region 5. Identify by name the key management staff specified in the staffing plan from section 1 above.
- c. The organizational chart should list the percentage of time for each staff position that is anticipated to be spent on Region 5 activities.

## Partnerships and Coordination

1. Partnerships and coordination of services with other organizations are one of the keys to success in the delivery of WIOA services.

- a. Describe past success in developing effective working relationships with partner organizations. This may include local DWD staff and programs, Adult Education Providers, Literacy programs, Offender programs, English as a Second Language programs, Vocational Rehabilitation, Temporary Assistance to Needy Families and Senior Community Service Employment Programs.
- b. Describe past experience with an integrated service delivery model, functional supervision, information sharing, case management of co-enrolled clients, cross training of staff, rapid response activities, services to TAA clients, or other



activities conducted in close coordination with local state or other partner staff.

- c. Describe how service delivery staff will work with WorkOne partner staff to achieve an integrated system where customer service and performance are high priorities.
- d. Include letters from key partners you plan to collaborate with. Bidders should only include key partners such as community-based organizations or partner programs. Do not include supportive service vendors.
- e. If your organization is not presently a service provider in Region 5, describe how you will work with the one-stop operator and the current service provider to prepare for an efficient transition of files and customer caseloads. Please include a timeline that details the transition steps to be taken (i.e. staff hired, policies developed, etc.) and the anticipated completion date for each transitional activity.

## **Financial Management and Budget**

1. The bidder should complete PY'18 and PY'19 budgets on the included Attachment B. Please do not deviate from the budget format provided. Consistency will allow the reviewers to compare the proposed budgets.
  - a. As stated previously in the RFP, the PY 18 WIOA allocation is \$3,067,637. Additional funding will be made available and final amounts will vary based on additional funding to Region 5 from DWD and other sources throughout the year. All bidders should provide some narrative on their willingness and ability to adjust their operations to accommodate additional funding or reductions in funding.
  - b. For the purpose of this proposal, the Board is interested in the planned amounts for management of service provider staff, overhead costs and the amount planned for direct client costs incurred by the Career Services Provider. A higher percentage of costs planned for WIOA clients will result in a higher score on this section of the proposal. Career Service proposers should plan on providing services through offices located in each county of Region 5.
  - c. A budget narrative should be attached that describes the allocation of funds amongst overhead, management, and direct client costs (where applicable) and the philosophy of the bidder with respect to minimizing overhead costs while maximizing client costs. Include a schedule of personal cost (compensation and benefits) by staff position. The budget narrative should be used to clarify and annotate the budget.
  - d. Bidders must maintain a financial management system that is auditable and in compliance with generally accepted accounting principles. Financial records must

be available for audit and monitoring purposes. Bidders should provide a brief description of the accountability of the organization in this section and provide one copy of their most recent audit report with the bid package. The audit is not part of your proposal.

- e. If the proposer's organization has been subject to oversight monitoring from a state or other passthrough entity, please attach monitoring reports for the past two years and include resolution letters.
- f. If WIOA costs you incurred in Region 5 were subsequently disallowed as a result of audit or monitoring, does your organization have the capability to repay these funds? From what source?

## 2. Definitions for Attachment B.

- a. The hourly rate of pay or annual salary for each person assigned to this contract (or proposed to be hired) and the estimated percentage of each individual's time that he or she will perform work for the contract.
- b. Indicate the number of hours or days of vacation that each staff person is or will be permitted. Indicate the benefit percentage and what benefits are included for staff.
- c. If applicable (for Career Services), describe (quantify) the cost included in Salaries, Fringe Benefits, and Staff Development and Travel that would be considered direct client service costs.
- d. How you arrived at the staff development and travel estimate, including purpose for travel (national conferences, seminars, statewide meetings, local meetings, staff development). For staff development, include what memberships and subscriptions are anticipated.
- e. Operating expenses, your best estimate of rent, utilities, maintenance, furniture and other equipment and office supplies.
- f. If there are Contracts that the bidder intends to procure for the board rather than provide through its own staff (e.g., development of State of the Workforce Reports, retreat facilitation, special studies, information technology, etc.), please describe. If applying as an organization with a subcontractor, fully explain what functions are being subcontracted and how the cost was determined. For the subcontractor, include all the information required of the lead organization in the budget narrative.
- g. Breakdown your overhead estimates. Reasonable overhead includes costs for accounting, audit, legal, and organizational costs.
- h. If bidding on the Career Service Provider, describe and quantify your estimate of direct client cost portion of the estimated budget.

**Attachment A**

**PROPOSAL COVER SHEET**

|  |                           |      |  |
|--|---------------------------|------|--|
| Organization's Legal Name  |                           |      |  |
| Contact Person:  |                           |      |  |
| Address  |                           |      |  |
|  |                           |      |  |
| Telephone  |                           | Fax  |  |
| E-mail   |                           | Cell |  |
| Federal ID #   |                           |      |  |
| Number of years potential bidder has been in business under the corporate / business structure submitting the response to this request for proposals |                           |      |  |
| Proposed Service(s)  | Check Services that Apply |      |  |
| One-Stop Operator  | <input type="checkbox"/>  |      |  |
| Career Services Provider   | <input type="checkbox"/>  |      |  |
| Board Staff Support  | <input type="checkbox"/>  |      |  |
|  |                           |      |  |
| Signature: _____   |                           |      |  |
| Print Name: _____  |                           |      |  |

Check all applicable boxes:

|                               |                          |                              |                          |
|-------------------------------|--------------------------|------------------------------|--------------------------|
| For Profit Corporation        | <input type="checkbox"/> | Sole Proprietorship          | <input type="checkbox"/> |
| Not-for-profit Corporation    | <input type="checkbox"/> | Faith-Based Organization     | <input type="checkbox"/> |
| Partnership                   | <input type="checkbox"/> | State Agency                 | <input type="checkbox"/> |
| Educational Institution       | <input type="checkbox"/> | Labor Organization           | <input type="checkbox"/> |
| Business Association          | <input type="checkbox"/> | Community Based Organization | <input type="checkbox"/> |
| Other Public Agency (Specify) | <input type="checkbox"/> | Other                        | <input type="checkbox"/> |

## Attachment B

### BUDGET ESTIMATE WORKSHEET

| Line Item                     | Total Budget |
|-------------------------------|--------------|
| Salaries                      |              |
| Fringe Benefits               |              |
| Staff Development and Travel  |              |
| Operating Expenses:           |              |
| Rent                          |              |
| Utilities                     |              |
| Maintenance                   |              |
| Furniture and Other Equipment |              |
| Office Supplies               |              |
| Contract                      |              |
| Overhead                      |              |
| Direct Client Expenditures    |              |
| <b>TOTAL</b>                  |              |

**Attachment C**

**Planned Service Levels**

**Adult**

| Planned Service Levels | Projected Number to be Served |       | Projected Number to be Exited |       | Projected Number Placed into Employment |       |
|------------------------|-------------------------------|-------|-------------------------------|-------|---|-------|
|                        | PY 18                         | PY 19 | PY 18                         | PY 19 | PY 18                                   | PY 19 |
| Adults                 |                               |       |                               |       |   |       |

**Dislocated Worker**

| Planned Service Levels | Projected Number to be Served |       | Projected Number to be Exited |       | Projected Number Placed into Employment |       |
|------------------------|-------------------------------|-------|-------------------------------|-------|---|-------|
|                        | PY 18                         | PY 19 | PY 18                         | PY 19 | PY 18                                   | PY 19 |
| Dislocated Workers     |                               |       |                               |       |   |       |

**Youth**

| Planned Service Levels | Projected Number to be Served |       | Projected Number to be Exited |       | Projected Number Placed into Employment |       |
|------------------------|-------------------------------|-------|-------------------------------|-------|---|-------|
|                        | PY 18                         | PY 19 | PY 18                         | PY 19 | PY 18                                   | PY 19 |
| In-School Youth        |                               |       |                               |       |   |       |
| Out-of School Youth    |                               |       |                               |       |   |       |
| Total Youth            |                               |       |                               |       |   |       |

**Other**

| Planned Service Levels | Projected Number to be Served |       | Projected Number to be Exited |       | Projected Number Placed into Employment |       |
|------------------------|-------------------------------|-------|-------------------------------|-------|---|-------|
|                        | PY 18                         | PY 19 | PY 18                         | PY 19 | PY 18                                   | PY 19 |
|                        |                               |       |                               |       |   |       |
|                        |                               |       |                               |       |   |       |
|                        |                               |       |                               |       |   |       |

Note: Before completing the planned service levels for youth, please review the Workforce Innovation and Opportunity Act for definitions of in-school and out-of-school youth.

**Attachment D**

**Non-Collusion Affidavit**

State of Indiana

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

The respondent is hereby giving oath that it has not, in any way, directly or indirectly, entered into any arrangement or agreement with any other respondent or with any officer or employee of the Region 5 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 \_\_\_\_ day of \_\_\_\_\_

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

County of

Commission Expiration Date

## **Assurances and Certifications**

The authorized representative agrees to comply with all applicable State and Federal laws and regulations governing the Workforce Innovation and Opportunity Act, Workforce Development Boards, and any other applicable laws and regulations. The authorized representative certifies that the proposing organization possesses legal authority to offer the attached proposal. A resolution, motion or similar action has been duly adopted or passed as an official act of the organization's governing body authorizing the submission of this proposal.

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

Workforce Innovation and Opportunity Act (WIOA) recipients are obligated to maintain the following assurance for the period during which WIOA Title I financial assistance is extended. Each request for proposal, proposal and application for financial assistance under WIOA Title I shall contain the following assurances.

"As a condition to the award of financial assistance from the Department of Labor under Title I of WIOA, the recipient assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws and will remain in compliance for the duration of the award of federal financial assistance:

Section 188 of the Workforce Innovation and Opportunity Act (WIOA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, or political affiliation or belief, or against beneficiaries on the basis of either citizenship status or participation in any WIOA Title I-financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs."

The recipient also assures that it will comply with WIOA implementing regulations and all other regulations implementing the laws listed above. This assurance applies to the recipients operation of the WIOA Title I-financially assisted program or activity, and to all agreements the recipient makes to carry out the WIOA Title I-financially assisted program or activity. The recipient understands that the United States has the right 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 (34 CFR Parts 85), Department of Health and Human Services (45 CFR Part 76).

**The undersigned applicant certifies that neither it nor 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 statutes 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 WIOA Section 188 and its implementing regulations at 29 CFR Part 38.

**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 of 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 person 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.

**WIOA Sec. 184 (f): Discrimination Against Participants:** -- If the Secretary determines that any recipient under WIOA 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 WIOA Title I, or has testified or is about to testify in any such proceeding or investigation under or related to WIOA Title I, or otherwise unlawfully denied to any individual a benefit to which that individual is entitled under the provision of WIOA 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.

**WIOA 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 U.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 excluded from participation in, denied the benefits of, subjected to discrimination under, or 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 WIOA Title I to 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 providing 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 WIOA 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 or receiving funds under WIOA Title I shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.

**Section 188 (3) WIOA 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 WIOA Title I - financially assisted program or activity, and to all agreements, the applicant makes to carry out the WIOA Title I-financially assisted program or activity. The applicant understands that the United States, Indiana Department of Workforce Development, and the Board have the right to seek judicial enforcement of this assurance.

**Reporting Requirements:** The undersigned applicant certifies that it shall comply with the provisions of Sec. 122 of the Workforce Innovation Act of 2014 and the reporting and procedural requirements issued by the Indiana 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 from 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, then applicant will be held liable for any Board action resulting from reliance on that information.

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

Certified by:

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|                                  |       |      |
|----------------------------------|-------|------|
| Signature of Authorized Official | Title | Date |
|----------------------------------|-------|------|

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Typed/Printed Name of Signatory

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Name of Organization

**Attachment F**

Region 5 Workforce Board, Inc.

Workforce Innovation and Opportunity Act  
Program Funds for Bid Preparation

| Adult        | Youth      | Dislocated Worker | Total       |
|--------------|------------|-------------------|-------------|
| \$ 1,245,794 | \$ 902,842 | \$ 919,001        | \$3,067,637 |

| Operator   | Career Service Provision | Board Staffing Service | Total       |
|------------|--------------------------|------------------------|-------------|
| \$ 125,000 | \$ 2,442,637             | \$500,000              | \$3,067,637 |

The above amounts represent “up to” amounts and may be revised depending on state funding changes or other local requirements. Bidders should use the above funding by program when preparing the budget planning section. The Region 5 Workforce Board, Inc. will retain all administrative funds. Program funds will include available carry-in from the prior program year and PY'18 available program funds. Bidders should use the same amounts for PY'18 and PY'19 since the available allocations are not known at this time.

## Attachment G

### Functions of the Local Workforce Development Board

#### § 679.370 What are the functions of the Local Workforce Development Board?

As provided in [WIOA](#) sec. 107(d), the [Local WDB](#) must:

- (a) Develop and submit a 4-year local plan for the local area, in partnership with the chief elected official and consistent with [WIOA](#) sec. 108;
- (b) If the local area is part of a planning region that includes other local areas, develop and submit a regional plan in collaboration with other local areas. If the local area is part of a planning region, the local plan must be submitted as a part of the regional plan;
- (c) Conduct workforce research and regional labor market analysis to include:
  - (1) Analyses and regular updates of economic conditions, needed knowledge and skills, workforce, and workforce development (including education and training) activities to include an analysis of the strengths and weaknesses (including the capacity to provide) of such services to address the identified education and skill needs of the workforce and the employment needs of employers;
  - (2) Assistance to the [Governor](#) in developing the statewide [workforce and labor market information system](#) under the [Wagner-Peyser Act](#) for the region; and
  - (3) Other research, data collection, and analysis related to the workforce needs of the regional economy as the WDB, after receiving input from a wide array of stakeholders, determines to be necessary to carry out its functions;
- (d) Convene local workforce development system stakeholders to assist in the development of the local plan under [§ 679.550](#) and in identifying non-Federal expertise and resources to leverage support for workforce development activities. Such stakeholders may assist the [Local WDB](#) and standing committees in carrying out convening, brokering, and leveraging functions at the direction of the [Local WDB](#);
- (e) Lead efforts to engage with a diverse range of [employers](#) and other entities in the region in order to:
  - (1) Promote business representation (particularly representatives with optimum policy-making or hiring authority from [employers](#) whose employment opportunities reflect existing and emerging employment opportunities in the region) on the [Local WDB](#);
  - (2) Develop effective linkages (including the use of intermediaries) with [employers](#) in the region to support [employer](#) utilization of the local workforce development system and to support local [workforce investment activities](#);
  - (3) Ensure that [workforce investment activities](#) meet the needs of [employers](#) and support economic growth in the region by enhancing communication, coordination, and collaboration among [employers](#), economic development entities, and service providers; and

- (4)** Develop and implement proven or promising strategies for meeting the employment and skill needs of workers and **employers** (such as the **establishment** of industry and sector partnerships), that provide the skilled workforce needed by **employers** in the region, and that expand employment and career advancement opportunities for workforce development system **participants** in in-demand industry sectors or occupations;
- (f)** With representatives of secondary and postsecondary education programs, lead efforts to develop and implement career pathways within the local area by aligning the employment, training, education, and **supportive services** that are needed by adults and youth, particularly individuals with barriers to employment;
- (g)** Lead efforts in the local area to identify and promote proven and promising strategies and initiatives for meeting the needs of employers, workers and job seekers, and identify and disseminate information on proven and promising practices carried out in other local areas for meeting such needs;
- (h)** Develop strategies for using technology to maximize the accessibility and effectiveness of the local workforce development system for employers, and workers and job seekers, by:
- (1)** Facilitating connections among the intake and case management information systems of the **one-stop partner** programs to support a comprehensive workforce development system in the local area;
  - (2)** Facilitating access to services provided through the **one-stop delivery system** involved, including access in remote areas;
  - (3)** Identifying strategies for better meeting the needs of individuals with barriers to employment, including strategies that augment traditional service delivery, and increase access to services and programs of the **one-stop delivery system**, such as improving digital **literacy** skills; and
  - (4)** Leveraging resources and capacity within the local workforce development system, including resources and capacity for services for individuals with barriers to employment;
- (i)** In partnership with the chief elected official for the local area:
- (1)** Conduct oversight of youth **workforce investment activities** authorized under **WIOA** sec. 129(c), adult and dislocated worker employment and training activities under **WIOA**secs. 134(c) and (d), and the entire **one-stop delivery system** in the local area;
  - (2)** Ensure the appropriate use and management of the funds provided under **WIOA** subtitle B for the youth, adult, and dislocated worker activities and **one-stop delivery system** in the local area; and
  - (3)** Ensure the appropriate use management, and investment of funds to maximize performance outcomes under **WIOA** sec. 116;
- (j)** Negotiate and reach agreement on local performance indicators with the chief elected official and the **Governor**;
- (k)** Negotiate with CEO and required partners on the methods for funding the infrastructure costs of **one-stop centers** in the local area in accordance with **§ 678.715** of this chapter or



must notify the [Governor](#) if they fail to reach agreement at the local level and will use a [State](#) infrastructure funding mechanism;

**(l)** Select the following providers in the local area, and where appropriate terminate such providers in accordance with [2 CFR part 200](#):

**(1)** Providers of youth [workforce investment activities](#) through competitive [grants](#) or [contracts](#) based on the recommendations of the youth standing committee (if such a committee is established); however, if the [Local WDB](#) determines there is an insufficient number of eligible training providers in a local area, the [Local WDB](#) may award [contracts](#) on a sole-source basis as per the provisions at [WIOA sec. 123\(b\)](#);

**(2)** Providers of [training services](#) consistent with the criteria and information requirements established by the [Governor](#) and [WIOA sec. 122](#);

**(3)** Providers of [career services](#) through the award of contracts, if the one-stop operator does not provide such services; and

**(4)** One-stop operators in accordance with §§ [678.600](#) through [678.635](#) of this chapter;

**(m)** In accordance with [WIOA sec. 107\(d\)\(10\)\(E\)](#) work with the [State](#) to ensure there are sufficient numbers and types of providers of [career services](#) and [training services](#) serving the local area and providing the services in a manner that maximizes consumer choice, as well as providing opportunities that lead to competitive integrated employment for individuals with disabilities;

**(n)** Coordinate activities with education and training providers in the local area, including:

**(1)** Reviewing applications to provide adult education and [literacy](#) activities under [WIOA title II](#) for the local area to determine whether such applications are consistent with the local plan;

**(2)** Making recommendations to the eligible agency to promote alignment with such plan; and

**(3)** Replicating and implementing [cooperative agreements](#) to enhance the provision of services to individuals with disabilities and other individuals, such as cross training of staff, technical assistance, use and sharing of information, cooperative efforts with employers, and other efforts at cooperation, collaboration, and coordination;

**(o)** Develop a budget for the activities of the [Local WDB](#), with approval of the chief elected official and consistent with the local plan and the duties of the [Local WDB](#);

**(p)** Assess, on an annual basis, the physical and programmatic accessibility of all [one-stop centers](#) in the local area, in accordance with [WIOA sec. 188](#), if applicable, and applicable provisions of the Americans with Disabilities Act of 1990 ( [42 U.S.C. 12101et seq.](#)); and

**(q)** Certification of [one-stop centers](#) in accordance with [§ 678.800](#) of this chapter.