

# **Economic Growth Region 7**

## **Request for Proposals For Financial Services Provider**

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

**Service Delivery Period: - July 1, 2021 - June 30, 2023\***  
**\*With a possible 2 year extension, based on performance**

|                                      |  |
|--------------------------------------|--|
| <b>RFP Release Date:</b>             | <b>May 4, 2021</b>                             |
| <b>Proposal Submission Deadline:</b> | <b>12:00 PM (Noon), local<br/>May 21, 2021</b> |
| <b>Award Notification:</b>           | <b>No later than June 14, 2021</b>             |
| <b>Contract Effective Date:</b>      | <b>July 1, 2021</b>                            |

|                          |  |
|--------------------------|--|
| <b>Package Contents:</b> | <b>Section 1. General Information and Purpose</b>                                      |
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## **Section I: General Information and Purpose of this Proposal**

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

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

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

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

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

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

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

Employer Services:

- Candidate screening
- Access to thousands of job seekers through Indiana Career Connect.
- Job fairs and other recruitment services (customized and general).
- Workshops.
- Labor market information.
- Information on grants, WorkKeys, and tax credits.

### Job Seeker Services

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

### Youth Services

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

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

The Western Indiana Workforce Investment Board is seeking proposals from organizations to provide financial services for the board. The region receives funds including WIOA Adult, Dislocated Worker and Youth, as well as state reserve WIOA and other federal funds allocated to the local workforce area. The selected organization will provide services related to general accounting and financial services, oversight of fund integrity, staff support and technical assistance

### **EGR 7 Annual Allocation**

Funding for the program year beginning July 1, 2021 is expected to total approximately 4 to 4.5 million dollars. Expenditures during the past two program years; exceeded 5 million dollars in PY'20, and 3 million in PY'19.

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

### **Part A. Statement of Work Financial Services Provider**

#### **Background Information**

The selected organization will provide fiscal services for WIOA and other funds allocated to EGR 7. These include WIOA Adult, Dislocated Worker and Youth, as well as state reserve WIOA and other federal and state funds allocated to the local workforce area. Occasionally, grant funds are also received through private sources. The organization will provide services related to general accounting and financial services, oversight of fund integrity, staff support and technical assistance.

## Scope of Work

### 1. Accounting of Funds

The financial services provider will maintain an accounting of all revenue, expenditures, program income and applicable credits associated with the WIOA funds by funding stream, for the duration of the term of the agreement.

- Ensure that all financial procedures are in compliance with Generally Accepted Accounting Procedures (GAAP), Office of Management and Budget (OMB) policies, Code of Federal Regulations (CFR), Federal Acquisition Regulations (FAR), and any other federal or state regulatory requirements and limit risk of questioned or disallowed cost.
- Use up-to-date fund accounting software to establish and maintain appropriate ledgers to manage obligations and expenditures of funds (Region 7 holds a preference for Fund Ware or similar software).
- The financial services provider will establish procedures and processes to ensure that all accounts payable under the grant to contractors, providers of training through Individual Training Accounts and/or vendors, are paid within the statutory and/or policy timeframes from existing funds and that proper documentation for each claim is maintained for monitoring and audit purposes.
- Establish procedures to ensure all accounts receivable due the local region are collected and recorded on a timely basis.
- Maintain a record of all financial transactions for WIOA and other funds allocated and expended in the local region
- Assist with the cost allocation planning, reporting, invoicing and documentation, as well as other fiscal management procedures.
- Cost Allocation Plan will include the posting of all direct expenses to the specific, appropriate grant. Indirect costs will be allocated to cost pools, based upon direct costs of each program or function as they relate to the total direct costs.
- To provide training and technical assistance when requested by WIWIB for fiscal management policies, procedures and monitoring as related to contract administration.
- The financial service provider will coordinate with program operations to establish a requisition, invoice and payment system for supportive services and other direct client services. The system will include procedures for recording and accounting for such transactions within the region's accounting software.
- Establish a bi-weekly regional payroll system which allocates payroll and benefit costs based upon time charged by the employee for the month. Responsible for the delivery of W2s for all employees annually. Employee payroll checks may be issued by the financial services provider or a payroll service may be incorporated into the proposal.

## **2. Financial & Grant Reporting**

- The financial services provider will support the oversight role of WIWIB by preparing and disseminating financial reports on a monthly basis in formats prescribed by the entities to identify revenues, expenditures, accounts payable, accounts receivable, and balances and obligations by funding stream.
- Provide specialized financial reports for the WIWIB or its staff as requested.
- Will report on an accrual basis via the Department of Workforce Development's prescribed grantee reporting system.
- Will prepare, in a timely manner, required federal and state financial reports associated with management of grants funds.
- The financial services provider will be required to prepare financial reports and grant closeouts at the direction of the funding source.

## **3. Deliverables**

- Timely processing of WIWIB approved WIOA compliant reimbursement requests.
- Accounting of grant funds by funding stream.
- Monthly financial reports.
- Cooperation with WIWIB towards goals and objectives of EGR 7.

Remainder of page intentionally left blank.

## **SECTION III: General Instructions**

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

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

### **2. No Disclosure**

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

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

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

### **4. Requirements**

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

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

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## 5. Questions and Answers

To be considered for funding, each bidder must submit an offer (proposal) and other supporting documentation in strict accordance with these instructions. When evaluating a proposal, the WIWIB will consider how well the bidder complied with these instructions and provided the information outlined in the Request for Proposals. Therefore, the Board encourages bidders to contact the Board contact by email during **the technical assistance period, which ends Wednesday, May 12, 2021 at 4:00 PM local time**, to request any additional clarification that may be needed to comply with these instructions. **Phone calls will not be accepted.** The email to submit bidder questions is [lisalee@workforcenet.org](mailto:lisalee@workforcenet.org). The official Board response to all questions pertaining to this RFP will be in writing and made available to all potential bidders. All written questions will be answered in a question and answer publication that will be posted at the Board's website at [www.workonewest.com](http://www.workonewest.com). Answers will be posted on an ongoing basis, within three (3) business days after receipt of the question. Therefore, bidders are encouraged to view the website frequently to ensure they are fully aware of the most current information, including any new questions and answers, changes to the RFP, or any additional information. All answers issued become part of the RFP and the RFP process. Should you wish to submit a question or encounter a problem with the website, contact the Authorized Board Contact immediately. The Authorized Board Contact is Lisa Lee. Her email address is [lisalee@workforcenet.org](mailto:lisalee@workforcenet.org) and the fax number is (812) 238-2466.

## 6. Contract Requirements

Specific requirements for conversion of the proposal into a contract will be discussed after the contract award decision. However, to be considered, proposals must include the following special assurances:

### Special Assurances

1. If awarded a contract, the bidder assures that it will abide by the specifications and requirements of the RFP in the provision of its services, unless the specifications and requirements are amended in writing by a Western Indiana Workforce Investment Board, Inc representative who is specifically authorized to do so.
2. If awarded a contract, the bidder will neither accept nor permit any of its staff to accept gratuities of any kind from any individual involved in any way with the services to be provided by the contractor.
3. The bidder assures that, if awarded a contract, it will not subcontract any of these services without the specific, written prior approval from the Western Indiana Workforce Investment Board, Inc.

4. The bidder acknowledges that it will fully comply with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Innovation and Opportunity Act; Title VI of the Civil Rights Act of 1964, as amended; affirmative action reporting requirements of 41CFR 60-1.7; Section 504 of the Rehabilitation Act of 1973, as amended; The Age Discrimination Act of 1975, as amended; the Title IX of the Education Amendments of 1972, as amended. The bidder also assures that it will comply with 29CFR part 37 and all other regulations implementing the laws listed above. The bidder understands that the United States government has the right to seek judicial enforcement of this assurance. This program is an equal opportunity employer/program. Auxiliary aids and services will be made available upon request for individuals with disabilities.
5. The bidder assures that it will comply with the Americans with Disabilities Act (ADA) in serving individuals with disabilities. The bidder agrees to make the necessary arrangements, as appropriate, to provide services to individuals with a disability at the expense of the bidder, not Western Indiana Workforce Investment Board, Inc.
6. In accordance with P.L. 101-333, Section 508, the bidder is hereby notified that all projects that are funded as a result of this RFP will be 100% funded by federal funds. There will be no non-government funds available to finance these proposed services. All commitments made by the Western Indiana Workforce Investment Board, Inc. are contingent upon the availability of funds and the Western Indiana Workforce Investment Board, Inc. reserves the right to award an amount less than the total funds available for bid.
7. The bidder assures that it will procure an audit and will provide an audit report of all funds contracted with the Western Indiana Workforce Investment Board, Inc if requested by the Western Indiana Workforce Investment Board, Inc.

## 2. Subcontracting

Bidders may subcontract part of the services to be provided by the Service Provider, but the intention to subcontract must be clearly stated in the response to this RFP and approved by the Regional Operator.

## 3. Contract Negotiations

Successful respondent to this RFP will be expected to participate in contract negotiations to establish exact services to be provided and



payment and terms of those services. Cost and services will be based on information contained in this RFP and in the proposal selected for negotiations.

#### 4. Authorized Contact

The authorized contact person for this procurement is:

Lisa Lee  
630 Wabash Avenue, Suite 205  
Terre Haute, IN 47807  
[lisalee@workforcenet.org](mailto:lisalee@workforcenet.org)  
Fax (812) 238-2466

#### 7. Late Proposals

A. Proposals and modifications received at the Western Indiana Workforce Investment Board, Inc office designated in the RFP after 12:00 NOON, local time, on the date specified therein shall not be considered unless:

1. They are received before award is made; and either,
2. They are sent by registered mail, or be certified mail for which an official dated post office stamp (postmark) on the original Receipt for Certified Mail has been obtained, and it is determined by Western Indiana Workforce Investment Board, Inc. that the late receipt was due solely to delay in the mail, for which offeror was not responsible; or,
3. It is determined by Western Indiana Workforce Investment Board, Inc. that the late receipt was due solely to mishandling by Western Indiana Workforce Investment Board, Inc. after receipt at the Administrative Office: Provided, that timely receipt at such office is established upon examination of an appropriate date or time stamp (if any) of such office or other documenting evidence or receipt (if readily available) with the control of such office serving it. However, a modification of a proposal, which makes the terms of an otherwise successful proposal more favorable to, Western Indiana Workforce Investment Board, Inc shall be considered at any time it is received and may thereafter be accepted.

B. Offerors using certified mail are cautioned to obtain a Receipt for Certified Mail showing a legible, dated postmark and to retain such receipt against the chance that it shall be required as evidence that a late proposal was mailed in a timely fashion.

C. The time of mailing late proposals submitted by registered or certified mail shall be deemed to be the last minute of the date shown on the postmark on the registered mail receipt or registered mail wrapper or on the Receipt of Certified Mail unless the offeror furnished evidence from the post office station of mailing

which established an earlier time. In the case of Certified Mail, the only acceptable evidence is as follows:

1. Where the Receipt of Certified Mail identifies the post office station of mailing, evidence furnished by the offeror which establishes that the business day of that station ended at an earlier time in which case the time of mailing shall be deemed to be the last minute of the business day of that station; or,
2. An entry in ink on the Receipt for Certified Mail showing the time of mailing and the initials of the postal employee receiving the item and making the entry, with appropriate written verification of such entry from the post office station of mailing, in which case the time of mailing shall be the time shown in the entry. If the postmark on the original Receipt for Certified Mail does not show a date, the offeror shall not be considered.

#### **8. Envelope for Proposals**

It is important that the proposal be mailed in an envelope clearly marked in the lower left corner with the following information:

PROPOSAL RFP: Region 7 Financial Services RFP

#### **9. Alternate Proposals**

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

#### **10. Time Period of Contract**

Proposals should address a period from July 1, 2021 through June 30, 2023. A two year extension of this contract may be authorized at the discretion of Western Indiana Workforce Investment Board, Inc.

#### **11. Procedures**

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

#### **12. Proposals Received**

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

Three (3) copies of the proposal(s), with one (1) copy designated as an original with original signatures and a copy of the complete, signed proposal on a data stick are to be submitted by certified mail, return receipt requested, or by hand-delivery with a signed receipt. All proposals must be received by no later than 4:00 PM local time on Friday, May 21, 2021.

Proposals should be mailed to:

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

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

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

Remainder of page intentionally left blank.

## **SECTION IV: Proposal Package**

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

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

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

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

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

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

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**PROPOSAL COVER SHEET**

|  |  |                                       |                                       |
|--|--|---------------------------------------|---------------------------------------|
| Organization's Legal Name:   |  |                                       |                                       |
| Contact Person:  |  |                                       |                                       |
| Address:   |  |                                       |                                       |
| Telephone:   |  | Fax:                                  |                                       |
| Email:   |  | Cell:                                 |                                       |
| Federal ID#:   |  |                                       |                                       |
| Number of years potential bidder has been in business under the corporate/business structure submitting the response to this Request for Proposals: <input style="width: 20px; height: 20px; margin-left: 10px;" type="text"/> |  |                                       |                                       |
| Total Amount of Funds Requested:   | TOTAL FUNDS REQUESTED:<br><br>Grand Total (PY 21 and PY 22): | PY 2021<br>July 1, 2021-June 30, 2022 | PY 2022<br>July 1, 2022-June 30, 2023 |
|  |  | \$                                    | \$                                    |
|  |  | \$                                    |                                       |
|  |  |                                       |                                       |
|  |  | Signature: _____                      | Date: _____                           |
|  |  | Printed Name: _____                   |                                       |
| <b>Check all applicable boxes:</b>   |  |                                       |                                       |
| For Profit Corporation:  |  | Sole Proprietorship:                  |                                       |
| Not-for-Profit Corporation:  |  | Faith-Based Organization:             |                                       |
| Partnership:   |  | State Agency:                         |                                       |
| Educational Institution:   |  | Labor Organization:                   |                                       |
| Business Association:  |  | Community Based Organization:         |                                       |
| Other Public Agency (Specify):   |  | Other:                                |                                       |

Attachment B

**Non-Collusion Affidavit**

State of Indiana

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

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

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

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

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

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

County of

Commission Expiration Date

Attachment C

**Assurances and Certifications**

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

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

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

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

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

\_\_\_\_\_  
Date

# Western Indiana Workforce Investment Board, Inc.

## Financial Proposal Scoring Criteria

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

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

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

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

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

TOTAL \_\_\_\_\_