



**Request for Proposal
RFP #13210201
Fiscal and Program Monitoring**

Issuance of RFP	November 2, 2020
Virtual Bidders Conference	November 10, 2020 at 10:00 a.m.
Deadline for Submitting Questions	November 11, 2020 by 5 p.m.
Question and Answer Released	November 17, 2020
Courtesy Letter of Intent to Submit Proposal	November 18, 2020 by 5 p.m.
Proposal Due Date	December 15, 2020 by 3:30 p.m. (CST)
Evaluation Period	December 16 – 23, 2020
Contract Established	January 1, 2021

**The Heart of Texas Workforce Development Board, Inc.
801 Washington Avenue, Suite 700
Waco, Texas 76701
254-296-5300
www.hotworkforce.com**

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TTY/TDD via RELAY Texas service at 711 or (TDD) 1-800-735-2989/ 1-800-735-2988 (voice).

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PART 1 PURPOSE AND BACKGROUND

1.1 Background

The Board of Directors for Workforce Solutions Heart of Texas, a nonprofit 501©3, is a volunteer body appointed by the Chief Elected Officials of the six-county region - Falls, McLennan, Hill, Bosque, Freestone and Limestone. The Board is composed of individuals living in the area who represent local employers, organized labor, economic development, education, community-based organizations, state employment services, state human services department and state rehabilitation services. The majority of the members and the appointed Chair of the Board is representative of private sector employers, as these are the primary customer of the workforce development system.

The mission of the Board is to support economic development through identification, advocacy for, and facilitating the development of a quality workforce and worker supports in the six county Heart of Texas area. Through the administration of the workforce system programs under its purview, the Board aims to provide individuals quality workforce services, resources, and skill training needed by local business and industries. The Board's objective is to ensure that these services are delivered in an efficient and customer-oriented manner to strategically enhance the economic vitality of this region.

As important as its administrative oversight of federally funded workforce services, the Board chooses to direct energy toward facilitating important workforce partnerships between educational and economic development entities, industries, small businesses, and community and faith-based organizations that depend upon and interact with the workforce of the area. The Board is dedicated to increasing employer involvement in the current workforce system and to improving the system for the delivery of services to jobseekers in order to meet their workforce needs. To this end, the Board developed the following characteristics they expect of the workforce system:

- High quality customer service;
- A balance between meeting customer needs and achieving performance;
- User friendly, easily accessible information and services;
- Knowledgeable and professional staff - entry-level through management;
- Awareness of business cultures;
- Honest assessments of job seekers, both in terms of helping customers understand what they need as well as providing businesses with well-matched applicants;
- Engaging and personalized services to job seekers and to employers;
- Well-developed processes and strategies for serving customers; and
- Credibility among stakeholders.

1.2 Purpose of Solicitation

The purpose of this RFP is to solicit proposals from qualified organizations/firms to perform independent financial and program monitoring services of the Board and its subcontractors, primarily the operators of Workforce Center Programs and Child Care Services Program. In addition, the financial and program monitor shall perform other related reviews and consultation of program related functions of the Board as deemed necessary to ensure compliance and fiscal integrity. Proposers may submit bid proposals to Heart of Texas Workforce Development Board, Inc. 3
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perform both the program and financial monitoring or may submit a proposal for providing the financial or program monitoring to be reviewed as a stand-alone proposal.

1.3 Solicitation Process

This is a competitive procurement utilizing the Request for Proposals method and as such, award does not have to be given to the lowest priced proposal, but rather to the offeror submitting the most responsive proposal satisfying the Board's criteria at a reasonable cost.

This RFP document and procurement process complies with all applicable Federal, State and local policies governing procurements under the grant funds to be contracted as a result of this process. This procurement provides a standardized method of ensuring open, free, maximum competition in the solicitation for fiscal and program monitoring services in the Heart of Texas workforce area. This document contains the necessary background, requirements, instructions, specifications for submitting a response to this solicitation, and the proposal evaluation/selection process. This is not a purchase agreement, contract, or commitment to purchase the solicited services, nor does it commit the Board to pay for any costs incurred in preparation of a response to this RFP.

Contractual obligations will be negotiated with the successful proposer (s). Failure to successfully agree on the terms, conditions, and obligations within 30 days can result in termination of negotiations for a contract, and the Board reserves the right to open negotiations with the next highest ranked offeror. Additionally, the Board reserves the right to withdraw or reduce the amount of an award if there is misrepresentation of the proposer's ability to perform as stated in the proposal/contract.

1.4 Legislative Authority and WIOA

The Board is funded via the Texas Workforce Commission (TWC) and is responsible for administering an integrated workforce development system for the State of Texas, including job training, employment, and employment related educational programs.

The selected Proposer must be well informed about all TWC rules and regulations pertaining to all applicable state and local laws and requirements including practices that may be mandated by TWC and the Board including WD Letters, TA bulletins, TEGs and other guidance communicated by TWC, DOL, the Board and other governing bodies. The selected contractor shall have experience in fiscal and program monitoring including but not limited to the following federal laws for which funding is provided:

- Workforce Innovation and Opportunity Act (WIOA), enacted July 22, 2015;
- Wagner-Peyser Act of 1933, as amended, [29 USCA S. 29 et seq.];
- Social Security Act [42 USC §301, et seq.];
- Food Stamp Act of 1977 [7 USC § 2000 et. seq.];
- Personal Responsibility and Work Opportunity and Reconciliation Act of 1996 [Public Law 104-193] as amended by the Deficit Reduction Act of 2005;
- Federal regulations issued by the U.S. Department of Health and Human Services, inclusive, for services funded for Temporary Assistance to Needy Families;
- Federal regulations issued by the U.S. Department of Agriculture at 7 CFR §271 through 273 Food Stamp employment and training services;
- Federal laws and regulations concerning nondiscrimination and equal opportunity; federal labor and employment laws;

- State and federal guidance and regulations from Office of Management and Budget 2 CFR Chapter 1, Chapter 11, Part 200, et al. Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Final Rule;
- State legislation Senate Bill 642 as amended by House Bill 1863;
- Sections of the Texas Administrative Code Title 40, Part 20 and the Texas Government Code Chp. 2308, as they pertain to workforce center systems, operations and programs;
- Plans and policies of the Heart of Texas Workforce Development Board related to workforce system programs and operation.

For more information, see the Texas Workforce Commission web page at:

<https://twc.texas.gov/agency/laws-rules-policy>

1.5 Eligible Proposers

Entities possessing the capacity and demonstrated ability to perform successfully under the terms and conditions of a contract with the Board are encouraged to respond. Organizations (private for-profit, private non-profit, governmental, or faith-based); individuals or a team of individuals applying in collaboration under an established legal entity; and individuals proposing a personal contract arrangement are eligible to apply.

Historically Underutilized Businesses (HUB) are encouraged to apply. Bidders who qualify as HUBs must attach a copy of the certificate issued by the State of Texas to the Bidder as documentation to receive the bonus points.

In addition, violation of the following provisions may cause an application to be rejected:

- a) Bidders shall not under penalty of law, offer or provide any gratuities, favors, or anything of monetary value to an officer, member, employee, or agent of the Board to influence their selection.
- b) No employee or agent of the Board shall participate in the selection or administration of a contract if a conflict of interest, or potential conflict, is involved.
- c) Bidders shall not engage in any activity that restricts or eliminates competition.
- d) The contents of a successful bid may become a contractual obligation. Failure of the Bidder to accept this obligation may result in cancellation of the award. No plea of error or mistake shall be available to successful offeror as a basis for release of proposed services at stated price/cost.

PART 2 INFORMATION AND GENERAL INSTRUCTIONS

2.1 Services Contract Term Period

Subject to the availability of funding, the initial contract term period will be January 1, 2021 - to September 30, 2021. The Workforce Solutions for the Heart of Texas reserves the right to offer up to four additional one-year (twelve month) extensions (October – September) allowing for a total 5-year contract based on the evaluation of the services, achievement of annual performance, availability of funds, and capacity of the contractor (s) to meet standards for the fiscal and program monitoring services.

Upon selection of contractor (s), the Board will negotiate and develop a contract for execution. A work statement, budget, and performance objectives will be negotiated, and the contractor will be expected to meet all contract objectives.

2.2 Type of Contract

The contract executed will be a fixed-price, hourly rate contract, with cost reimbursement for travel, accommodations, and consumables such as supplies, copies, etc. required to perform the services requested. The contract will be based on a negotiated line item budget for fiscal and program monitoring cost. For profit entities will be contracted based upon a negotiated line item budget that may include "reasonable profit" as determined by the Board through a cost/price analysis. All contract types will contain negotiated performance/deliverable criteria and a work statement.

2.3 Services to be Provided

Services to be provided under this RFP consist of the provision of fiscal and program monitoring services. Selected vendor may be required to:

- Perform review of fiscal and program requirements,
- Perform on-site fiscal and program reviews and monitoring,
- Perform cost analysis for planned programs/projects/services,
- Develop fiscal risk assessments,
- Develop fiscal integrity reviews,
- Coordinate plans and reports with HOTWDB staff, and
- Provide special consulting and fiscal reviews.

Furthermore, the contractor may be required to meet in person or via conference call with the WSHOT Board Oversight Committee regarding their work and reports.

The selected contractor will deliver fiscal monitoring and program monitoring assistance for the HOTWDB related to Workforce Development programs. The contractor will also consult with HOTWDB management to address fiscal and program compliance plans or other compliance issues identified by State or Federal funding agencies. HOTWDB has fiscal and program oversight of the following programs.

Grant Funds Administered (Approximate annual budget is \$19,757,000.00)

Workforce Innovation and Opportunity Act	Temporary Assistance for Needy Families-Choices
Child care Management System	Trade Act Services
Child Care Quality Improvement Activities	Supplemental Nutrition Assistance Employment and Training
Child Care Local Initiative	Wagner Peyser Employment Services

HOTWDB administers four major subcontracts that provide the following services:

Child Care Group	Management and Operations of the Child
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	Care Management Systems
Education Service Center, Region 12	Fiscal Services
CECT Workforce Solutions, LLC	Operation and Management of the Workforce Solutions Heart of Texas Workforce Center System
Communities in Schools - Heart of Texas	WIOA Youth Services

Additionally, HOTWDB issues between 15-20 other single-purpose or smaller subcontracts requiring fiscal evaluations annually. Services are required in the following areas:

1. Fiscal monitoring activities and program monitoring assistance to ensure that resources are efficiently and effectively used for authorized purposes and are protected from waste, fraud, and abuse including review and evaluation to determine sub-recipient and contract service provider performance.
2. Sub-recipient and contract service provider performance shall include a review, evaluation, and determination of compliance with the appropriate uniform administrative requirements for grants and agreements, as well as the appropriate cost principles applicable for the type of entity receiving funds as listed in circulars or rules of the Office of Management and Budget.
3. For all WIOA funds, sub-recipient and contract service provider performance must include a review, evaluation, and determination of compliance with requirements regarding cost categories and cost limitations.

2.4 Geographic Area to be Served

Fiscal and Program Monitoring services will be done for workforce system programs provided in Bosque, Falls, Freestone, Hill, Limestone and McLennan counties.

2.5 Reports

A timeline to provide fiscal and program monitoring services will become part of the Statement of Work in the contract. Types of reports for both programmatic and fiscal monitoring will be specified in the contract negotiations. Failure of a successful Bidder to accept these obligations may result in a decision not to contract with that Bidder.

2.6 Proprietary Information

Any restriction on the use of data contained within a proposal must be clearly stated in the proposal. Proprietary information submitted in response to this RFP will be handled in accordance with your submission and in accordance with State law.

The Board, as a State agency, is subject to the Texas Open Records Act (TORA). The purpose of the Texas Open Records Act is to maintain the people's control over the instruments they have created. The TORA allows the public to have access to information in the possession of a governmental body.

Therefore, proprietary information identified by the bidder in advance will be kept confidential by the Board to the extent that State law permits it. All documentation provided therein, and materials and innovations developed as a result of these contractual services cannot be copyrighted or patented without written authorization from the Board. All data, documentation, materials, and innovations become the property of the Board.

Any copyright material authorized by the Board or distribution of materials developed through this agreement must acknowledge use of Federal funds through the Board. All materials with the acknowledgement must be submitted to the Board for approval prior to distribution.

2.7 Monitoring and Evaluation

Any contractor funded under this RFP will be monitored by the Board for compliance with WIOA and associated regulations and policies. The selected Service Provider will be notified in writing regarding any area of concern identified through such monitoring activity.

2.8 General Conditions

- a) This Request for Proposal does not commit the Board, to pay for any cost incurred prior to execution of a contract, or prior to fund availability.
- b) Neither Board staff nor members will provide individual technical assistance to bidders in the preparation of responses.
- c) Bidders should designate a contact person responsible for proposed information and with the authority for contract negotiations.
- e) The Board retains the right to accept or reject any or all proposals.
- f) The Board reserves the right to vary the provisions set forth herein at any time prior to the execution of a contract where the Board deems such variances to be in their best interest.
- g) All responses and the accompanying attachments become the property of the Board upon submission. Materials submitted will not be returned.
- i) If selected for contractual negotiations, the proposer may be required to prepare and submit additional information prior to final contract execution, in order to reach terms for the provision of services that are agreeable to both parties.
- j) If selected, the Proposer may be required to establish and maintain procedures to secure the confidentiality of all records of participants and other data, in accordance with applicable State and Federal law and regulations.
- k) The execution of financial contracts resultant of this RFP process is dependent upon the availability of adequate funds and the needs of the State.
- l) The Board reserves the right to further define and add additional components as needed. Bidders selected as responsive to the intent of this RFP will be given equal opportunity to update proposals for the newly identified components.
- m) Profit margins will be negotiated only with for-profit organizations. A fair and reasonable profit will be determined with consideration to the following: 1) complexity of work; 2) risk borne by contractor and 3) contractor's investment. Profit may not exceed 5% of the contract amount. Profit will be negotiated and tied to the achievement of performance benchmarks. The payment schedule for profit will be negotiated as a separate item during contract negotiation.

2.9 Grievance and Protest Procedures

The Board is the responsible authority for handling complaints or protests regarding the procurement and proposal selection process. This includes, but is not limited to, disputes, claims, protests of selection or non-selection for award, or other matters of a contractual or procurement nature. Matters concerning violation of laws shall be referred to such authority, as may have proper jurisdiction.

All proposers will be notified in writing of the final results of the procurement process within ten (10) working days of the decision of the Board. Proposers not selected by this procurement process may appeal the decision by submitting a written Notice of Appeal to the Board within ten (10) working days following the receipt of Board notification of the procurement decision. This written notice must clearly state that it is an appeal and identify (1) the funding decision being appealed; (2) the name, address, phone and fax number (if available) of the appealing party(ies); and (3) the specific grounds of the appeal. The Notice of Appeal must be sent by registered mail or hand delivered (a receipt will be issued) and addressed to:

Heart of Texas Workforce Development Board, Inc.
Attn: Eunice Williams, Director of Strategic Planning
801 Washington Avenue, Suite 700
Waco, Texas 76701
Dated Material Enclosed

Facsimile or email shall not be accepted at any stage of the appeals process. Written acknowledgement of receipt of the Notice of Appeal will be provided to the appealing party within three (3) working days of receipt of the Notice of Appeal. Such acknowledgement will include specific instructions for completing the appeals process and the date, time and place of the next step, the Informal Hearing.

The filing of an appeal within the specified time frame and in the manner required is a non-waivable requirement. There is no relief accorded to appellants for not filing within the published deadlines or following instructions. The appeal must indicate the Board action appealed and the violation, which forms the basis for the appeal, and shall be signed by the appellant organization's authorized representative. Fax and e-mail transmittals will not be accepted. The filing of the appeal within ten business days is a condition precedent. There is no relief accorded appellants for not filing within the deadline. Hearings shall be conducted in accordance with Board procedures, available on request.

Request for Debriefing: A request for a debriefing may be submitted within fifteen (15) days of the receipt of notification of the procurement decision by any unsuccessful respondent not filing an appeal. The purpose of the debriefing is to promote the exchange of information, explain the procurement process, including proposal evaluation process, and help unsuccessful bidders understand why they were not selected. Debriefings serve an important educational function for proposers, which hopefully will help them to improve the quality of any future proposals. The debriefing shall be scheduled as soon as possible but no later than thirty (30) days from the receipt of the Request for Debriefing.

PART 3 SUBMISSION INFORMATION

3.1 Procurement Schedule

Issuance of RFP	November 2, 2020
Virtual Bidders Conference	November 10, 2020 at 10 a.m.
Deadline for Submitting Questions	November 11, 2020 by 5 p.m.
Question and Answer Released	November 17, 2020
Courtesy Letter of Intent to Submit Proposal	November 18, 2020
Proposal Due Date	December 15, 2020 by 3:30 p.m. (CST)
Evaluation Period	December 16 – 23, 2020
Contract Established	January 1, 2021

3.2 Submittal of Proposals

The deadline for receipt of submissions to this RFP is **3:30 p.m. (CST) on December 15, 2020**. All responses must be received at the Board’s administrative office addressed as:

Heart of Texas Workforce Development Board, Inc.
Fiscal and Program Monitoring Services
Attn: Aquanetta Brobston
801 Washington Avenue, Suite 700
Waco, Texas 76701

Proposals can be hand delivered, mailed through the USPS, or sent via commercial service. Regardless of the method of delivery, the proposal **MUST** be physically at the Heart of Texas Workforce office by **3:30 on December 15, 2020** in order to be considered. No exceptions will be made regarding the submission deadline.

3.3 Withdrawal of Applications

The applicant or his/her authorized representative may withdraw proposals by written request sent by registered mail or in person, provided that the identity and authority of the individual making the request is made known and a receipt for the proposal is provided.

3.4 Bidders Conference and Questions and Answers

A conference for prospective proposers to learn more about this RFP and to ask questions will be conducted:

Tuesday, November 10, 2020 at 10 a.m.

A Virtual Bidders Conference will be held via Zoom. To receive the access code and password please e-mail Margie Cintron at jcintron@grandecom.net. Attendance is not mandatory, but strongly recommended. The conference offers potential proposers the opportunity to obtain guidance on the scope and nature of the work required or to ask technical questions.

To ensure that all prospective proposers have access to the most current RFP addenda, questions and answers, and other pertinent information updates will be posted to the Board's website during the RFP period, at www.hotworkforce.com.

Prospective Proposers may submit written questions beginning November 2 – November 11, 2020 by 5 p.m. CST. Questions may be faxed, emailed, or mailed. Responses to written questions received prior to the bidders' conference will be addressed there, or in the Q&A provided on November 17, 2020. Submit questions to:

Heart of Texas Workforce Development Board, Inc.
Attn: Margie Cintron
801 Washington Avenue, Suite 700
Waco, Texas 76701
Email: jcintron@grandecom.net

Board members, Board staff, and associated parties are precluded from entertaining any questions outside the bidders' conference and/or the written question process described above. Potential proposers are asked to respect these conditions by not making personal requests for assistance. No unauthorized methods or sources of responses or clarification are considered valid. Any violation of this process may disqualify a proposer.

Courtesy Letter of Intent to Submit Proposal: The Board request interested proposers sign a courtesy notice of intent to submit proposal (Attachment I) by 5 p.m., November 18, 2020. This is not a mandatory step for proposers and submitting the courtesy notice of intent to submit does not commit the proposer, but it does give the Board the opportunity to plan and anticipate the number of expected proposals. All notices regarding this procurement will be sent directly to all proposers submitting the notice. Letter of Intent may be sent by post, facsimile (254-753-3173) or e-mail to Aquanetta.Brobston@hotworkforce.com.

3.5 General Instructions for Submittal

FORMAT – The original proposal must be typed in no smaller than 12-point font and submitted on 8 1/2 x 11-inch paper. Emphasis must be placed on addressing the requirements of this RFP in a clear and concise manner.

NUMBER OF COPIES – Submit one complete original, and three copies of proposal in hard cover binder, and a complete proposal copy in MS Word on USB drive. The USB drive copy must contain all the elements contained in the original proposal including the signature attachments. All documents submitted must be legible, complete and fully assembled. Any proposal lacking required copies or required proposal signatures on the original copy or the USB drive, will be deemed unresponsive, and will not be evaluated.

COVER SHEET - All items on the Cover Sheet must be completed. Identify the primary contact person, as well as the Signatory Authority -- the person with the legal authority to negotiate and sign a contract. (This is the person who must sign the certification forms.)

RESUME - Resume of the individual who will have day to day oversight of the Fiscal and Program monitoring must be included. Please limit to 4 pages inclusive of all education, germane training, certifications, and a sequential history of professional experience beginning with the most recent. Each referenced employer should include names of immediate supervisors with current phone numbers.

PROFESSIONAL REFERENCES -- Proposer must submit three (3) professional references, including complete contact information and an explanation of the context in which the reference knows the proposer.

QUESTIONS -- Submit a written response to each of the questions contained in Part 5 Proposal Submission Questions. Failure to follow the Criteria and related question format will result in a reduced evaluation score.

3.6 SEQUENCE OF SUBMISSION – The original proposal and proposal copies should be submitted with elements in the following order please mark or tab each section:

1. Proposal cover sheet
2. Table of Contents
3. Proposal Criteria Questions
4. Professional Resumes (limited to 4 pages)
5. Complete contact information for three professional references
6. Certification of Bidder (Attachment A)
7. Certification Regarding Debarment (Attachment B)
8. Certification Regarding Drug-Free Workplace (Attachment C)
9. Certification Regarding Lobbying (Attachment D)
10. Certification Regarding Conflict of Interest (Attachment E)
11. Certification Regarding Equal Opportunity (Attachment F)
12. Certification of Regarding Franchise Tax (Attachment G)
13. Assurance and Certifications (Attachment H)
14. Courtesy Letter of Intent to Submit Proposal (Attachment I) (do not re-submit Attachment I with Proposal)

PART 4 SELECTION PROCESS

4.1 Standards of Review for Proposals

The selection process used by the Board is intended to help the Board identify the most qualified and responsive proposal to begin contract negotiations for Fiscal and Program monitoring services. The selection process includes:

1. **A proposal must meet minimum standards before being considered for further evaluation:**
 - Submitted by the deadline;
 - Contains all required information and forms including the one original and three required copies;
 - USB copy of proposal documents including signature attachments submitted, and;

2. **Once determined responsive, a review of the proposal** by an evaluation team using a standardized instrument will be conducted. The evaluation results will provide a ranking for the proposals from highest to lowest average score that will be used to begin contract negotiations.

4.2 Evaluation Criteria

Proposals that contain all of the required elements will be deemed responsive if they score at least seventy-five (75) points based on phase one of the evaluation criteria. Points will be awarded based on the thoroughness of proposal elements in response to the RFP and the consistency of the proposal with those elements.

CRITERIA	MAXIMUM POINTS
(A) Organizational Effectiveness and Experience	35
(B) Proposed Work Plan	35
(C) Cost Reasonableness	30
(D) Certified HUBs shall receive 5 points on the proposal evaluation. HUB Certification must be included with the proposal to receive these points.	5
Possible Total Combined Points	105

A Organizational Effectiveness and Experience: 35 Points

Demonstrated effectiveness refers to the bidder's prior experience in related projects and in providing services similar to those requested in this RFP. When addressing provide all key personnel and past experience with workforce development programs and requirements of TWC's Financial Manual for Grants & Contracts; Knowledge of and experience with fund accounting; Past experience with federal or other governmental fiscal systems; Knowledge of grant funded contracts, personnel systems, and nonexpendable property; Proposer's references will also be evaluated under this criteria.

B Proposed Work Plan: 35 Points

This criterion emphasizes the extent to which the proposed plan of work relates to the desired outcomes. Points will be awarded on several factors, including quality of and approach to service delivery and proposed work schedules. The proposed Work Plan should include a timeline with the tasks for delivery of services once fiscal monitoring has started. The description of the services to be provided by the bidder should document the availability of qualified, adequate staff to perform the desired tasks to meet deadlines.

C Cost Reasonableness: 30 Points

This criteria will review the proposed budget that describes the hourly rate and number of hours proposed to complete scope of services. Also, cost review will include the detail estimates for travel expenses and any other related costs.

D Historically Under-utilized Business: 5 Points

Heart of Texas Workforce Development Board, Inc.
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Points for this criterion will only be awarded to the proposing contractor Proposer must attach a current signed certification to receive points. Pending certifications will not be considered. The five points will only be awarded to the proposing agency only.

PART 5 PROPOSAL SUBMISSION QUESTIONS

The following elements must be addressed in the proposal. Proposers should state each RFP question and then present their response to that question. Present thorough, complete responses to each question.

A Organizational Effectiveness and Experience: 35 Points

- (1) Organizational Structure - Briefly describe your organizational structure and attach a copy of your current organizational chart. Describe your program and fiscal monitoring experience in the following areas: Risk assessment, cost analysis and contract negotiations, fiscal and program policies and procedures, Shared Facility Agreements, Memoranda of Understanding, desk reviews, fiscal reporting, fiscal planning and compliance, and fiscal resolution.
- (2) Provide information on the background, expertise and assignment of Proposer's personnel (and subcontractor personnel, if applicable) who will be assigned to this project, include Resumes and/or jobs descriptions, including educational credentials and licenses and documentation of experience on similar types of projects. Key personnel include but are not limited to: (a) Personnel who will be involved in service delivery; (b) Project manager(s); and (c) Staff for administrative activities.
- (3) Provide a description of at least **three projects** your organization has operated, which demonstrate your capability and capacity to effectively provide the services described in this RFP. For each project listed:
 - a) Provide a brief description of where and for whom the services were provided include reference contact information for verifying information;
 - b) State whether the services were provided within cost and time constraints;
 - c) Indicate the total amount of the contracts;
- (4) If subcontractors are to be used, provide evidence of their demonstrated effectiveness. If subcontractors cannot be identified at this time, and are proposed to be used, please submit the qualifications that will be required of subcontractors.

B Proposed Work Plan: 35 Points

Proposers should submit detailed information on their methodology for the delivery of services proposed to be provided. The work plan methodology should clearly address services requested according to the requirements in this document and should emphasize the extent to which the proposed plan of work relates to the desired outcomes. The proposed Work Plan should include a timeline with the tasks for delivery of

services. The work plan should document the availability of qualified, adequate staff to perform the desired tasks to meet deadlines.

C Cost Reasonableness 30 Points:

Provide a detailed fee schedule based on the following;

- a) Category(ies) of staff (if applicable);
- b) Total estimated hours by category of staff;
- c) Per hour fee charged for each category of staff;
- d) Total estimated staff fees for year one;
- e) Direct costs incurred for reasonable and necessary staff travel;
- f) Report preparation; and
- g) Any other related expenses (explain).

D HISTORICALLY UNDER-UTILIZED BUSINESS: 5 Points

Points for this criterion will only be awarded to the proposing contractor. Proposer must attach a current signed certification to receive points. Pending certifications will not be considered. The five points will only be awarded to the proposing agency only.

THE HEART OF TEXAS WORKFORCE DEVELOPMENT BOARD, INC.

FISCAL AND PROGRAM MONITORING
WORKFORCE DEVELOPMENT PROGRAMS

RFP #13210201

PROPOSAL COVER SHEET

Name of Organization: _____	
Head of Organization: _____	Title: _____
Mailing Address: _____	
Physical Address (if different): _____	
Email Address _____	
Phone Number: _____	Fax Number: _____
Proposal Contact Person: _____	Title: _____
Proposal Contact Person's Phone Number: _____	
Contract Signatory Authority: _____	
Signature (Blue Ink) _____	
Title: _____	Phone Number: _____
Tax/Legal Status: <input type="checkbox"/> Corporation <input type="checkbox"/> Sole Ownership	
<input type="checkbox"/> Partnership <input type="checkbox"/> Other	
Date Established: _____	
State Comptroller Identification Number: _____ IRS Number: _____	
Small Business? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Is proposer certified as a historically underutilized business (HUB)? <input type="checkbox"/> Yes <input type="checkbox"/> No	
(If yes, a copy of the certification notice is required as an attachment.)	
HUB Certifying Agency? _____	
Total Amount _____	

**ATTACHMENT A
CERTIFICATION OF BIDDER**

I hereby certify that the information in this proposal and all attachments is true and correct and may be viewed as an accurate representation of proposed services to be provided by this organization. I certify that no employee, board member, or agent of the Heart of Texas Workforce Development Board, Inc. has assisted in the preparation of this proposal. I acknowledge that I read and understood the requirements and provisions of the request for proposal and that this organization will comply with all regulations, policies, and other applicable local, state and federal directives for these programs.

I, _____, certify that I am the _____
(title) of the proposer herein, and that I am legally authorized to sign this proposal and submit it to the Heart of Texas Workforce Development Board, Inc. on behalf of said organization.

Signature of Authorized Signatory

Date

Printed or Typed Name and Title of Authorized Signatory

**ATTACHMENT B
CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION
LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 20 CFR Part 98. The regulations were published as Part VII of the May 26, 1988, Federal Register (pages 19160-19211).

(Before completing certification, read the attached instructions which are an integral part of the certification.)

The prospective recipient of Federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

Name of Applicant Organization: _____

Print Name of Authorized Signatory: _____

Print Title of Authorized Signatory: _____

Signature of Authorized Signatory

Date

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that

its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

ATTACHMENT C
CERTIFICATION REGARDING
DRUG-FREE WORKPLACE REQUIREMENTS

- A. The grantee certifies that it will continue to provide a drug-free workplace by:
- i. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the work place and specifying the actions that will be taken against employees for violation of such prohibition.
 - ii. Establishing an ongoing drug-free awareness program to inform employees about:
 - 1. The dangers of drug abuse in the workplace;
 - 2. The grantee's policy of maintaining a drug-free workplace;
 - 3. Any available drug counseling, rehabilitation and employee assistance programs; and
 - 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
 - iii. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a).
 - iv. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - 1. Abide by the terms of this statement;
 - 2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five (5) calendar days after such conviction.
 - v. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant.
 - vi. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted –
 - 1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - 2. Requiring such employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State or local health, law enforcement or other appropriate agency.
 - vii. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:
Place of Performance:
Are there workplaces on file that are not identified here? Yes No N/A

Print Name of Application Organization: _____

Print Name and Title of Authorized Signatory: _____

Signature: _____ Date: _____

**ATTACHMENT D
CERTIFICATION REGARDING
LOBBYING CERTIFICATION FOR CONTRACTS,
GRANTS, LOANS AND COOPERATIVE AGREEMENT**

The undersigned certifies, to the best of his/her knowledge and belief, that:

- (1) No Federally 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 an officer or employee of an agency, a Member of Congress, an Officer or employee of Congress or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making any Federal loan, the entering into 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.
- (2) If any funds other than Federally appropriated funds have 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, an officer or employee of Congress or an employee of a Member of Congress in connection with the Federal contract, grant loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents 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 disclose accordingly.

This certification is a material representation 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 imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Print Name of Applicant Organization: _____

Print Name of Authorized Signatory: _____

Print Title of Authorized Signatory: _____

Signature: _____ Date: _____

**ATTACHMENT E
CERTIFICATION REGARDING CONFLICT OF INTEREST**

By signature of this proposal, Proposer covenants and affirms that:

- (1) No manager, employee or paid consultant of the Proposer is a member of the Policy Board, the Executive Director, or an employee of Region 12 Education Service Center;
- (2) No manager or paid consultant of the Proposer is married to a member of the Policy Board, the Executive Director, or an employee of Region 12 Education Service Center;
- (3) no member of the Policy Board, the Executive Director or employee of Region 12 Education Service Center owns or controls more than a 10 percent interest in the Proposer;
- (4) No spouse or member of the Policy Board, Executive Director or employee of Region 12 Education Service Center is a manager or paid consultant of the Proposer;
- (5) no member of the Policy Board, the Executive Director or employee of Region 12 Education Service Center receives compensation from Proposer for lobbying activities as defined in Chapter 305 of the Texas Government Code;
- (6) Proposer has disclosed within the Proposal any interest, fact or circumstance, which does or may present a potential conflict of interest;
- (7) 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 relation to any contract with Region12 Education Service Center and shall immediately refund to Region 12 Education Service Center 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 Region 12 Education Service Center relating to that contract.

Disclosure of Potential Conflict of Interest

Name of Applicant Organization: _____

Name of Authorized Signatory: _____

Title of Authorized Signatory: _____

Signature _____ Date: _____

ATTACHMENT F
CERTIFICATION OF PROPOSER
NON-DISCRIMINATION AND EQUAL OPPORTUNITY PROVISIONS

I acknowledge that I have read and understand the following nondiscrimination and equal opportunity provisions Section 188 of the Workforce Innovation and Opportunity Act (WIOA) signed on July 22, 2014 and will comply with applicable local, state and federal regulations and directives implementing these provisions as they apply to programs and activities under the WIOA.

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

Section 188 of the WIOA, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any 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 grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIOA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIOA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.”

I _____, certify that I am the _____
(Typed Name) (Typed Title)

of the corporation, partnership, organization, or other entity named as Respondent herein and that I am authorized to sign this proposal and submit it to the Heart of Texas Workforce Development Board, Inc. on behalf of said organization by authority of its governing body.

(Signature)

(Address)

(Phone)

**ATTACHMENT G
CERTIFICATION REGARDING TEXAS CORPORATE
FRANCHISE TAX**

Pursuant to Article 2.45, Texas Business Corporation Act, state agencies may not contract with for profit corporations that are delinquent in making state franchise tax payments. The following certification that the entity entering into this subcontract is current in its franchise taxes or is not subject to the payment of franchise taxes to the State of Texas must be signed by the individual authorized to sign the subcontract for the subcontracting entity.

The undersigned authorized representative of the entity subcontracting herein certifies that the following indicated statement is true and correct and that the undersigned understands making a false statement is a material breach of subcontract and is grounds for subcontract cancellation.

Indicate the certification that applies to your subcontracting entity:

The subcontracting entity is a for-profit corporation and certifies that is not delinquent in its franchise tax payments to the State of Texas.

The subcontracting entity is a non-profit corporation or is otherwise not subject to payment of franchise tax to the State of Texas.

Name of Applicant/Organization

Name and Title of Authorized Representative

Signature of Authorized Representative/ Date

ATTACHMENT H
ASSURANCES AND CERTIFICATIONS

Applicant warrants and assures:

The information contained in this proposal is true and correct.

The costs described in the budget accurately reflect the cost of providing services.

No employee, member of a government board or board of directors, or any other individual associated with an organization or individual person offering a proposal under this Request for Proposals has offered or will offer any gratuities, favors, or anything of monetary value to any member of the Heart of Texas Workforce Development Board, or any employee of the Heart of Texas Workforce Development Board for the purpose of or having the effect of influencing the decisions of the Board with respect to the organization or individual's proposal or any other proposal.

No employee, member of a governing board or board of directors, or any other individual associated with an organization or individual person offering a proposal under this Request for Proposals has engaged or will engage in any activity which may be construed in restricting or eliminating competition for funds available under this Request for Proposals.

The organization or individual possesses the legal authority to offer this proposal.

If the applicant is an organization, a resolution, motion, or similar action has been duly adopted or passed as an official act of the applicant's governing body authorizing the submission of this proposal.

No person will be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or be denied employment in the administration of or in connection with any program operated with funds from this Request for Proposals because of race, color, religion, sex, national origin, age, disability, sexual orientation, or political affiliation or belief.

We understand and agree that the Heart of Texas Workforce Development Board (HOTWDB) may utilize information provided outside of this request in evaluating this proposal.

We understand and agree that we may be subject to an on-site review and must be able and willing to provide documentation of information in the proposal at the request of the HOTWDB prior to execution of a contract.

We understand and agree that the HOTWDB has the right to reject any and all proposals and negotiate outside of the terms of this proposal.

We understand and agree that the HOTWDB is not required to select the lowest cost proposal.

We understand and agree that any material misrepresentation or deliberate omission of a fact in this proposal may be justification for rejection of the proposal.

Applicant will abide by the rules of the laws, acts, codes, etc. and all applicable rules and regulations promulgated there under, as a condition to award of contract from the Heart of Texas Workforce Development Board with respect to operation of programs or activities and all agreements or arrangements to carry out Board funded programs or activities.

By signing I acknowledge that I agree to these assurances and certifications and that I am authorized to bind the organization I represent to these requirements should this proposal be accepted for funding.

Signature

Proposing Organization

Typed Name and Title

Date

Attachment I

COURTESY NOTICE OF INTENT TO SUBMIT A PROPOSAL

**Heart of Texas Workforce Development Board, Inc.
Fiscal and Program Monitoring**

Name of Organization/Individual: _____

E-mail address: _____

Address: _____

City/State: _____ **Zip:** _____

Contact Person: _____ **Title:** _____

Telephone: (____) _____ Fax: (____) _____

Email: _____

The Heart of Texas Workforce Development Board is hereby put on Notice that the above stated organization/individual intends to submit a proposal for consideration for the Fiscal and Program Monitoring Request for Proposal. If you decide to not submit a proposal, after submitting this Form, this Notice does not obligate your organization in any manner.

Name **Title**

**Please submit to: Aquanetta Brobston
801 Washington Avenue, Suite 700
Waco, Texas 76701**

You may also email the document to Aquanetta.Brobston@hotworkforce.com, or send by facsimile to (254) 753-3173 by November 18, 2020 by 5 p.m.