



**RFP # 13210101  
Request for Proposals  
for the  
Heart of Texas Workforce System  
Workforce Innovation and Opportunity Act (WIOA)  
Youth Services**

ISSUANCE DATE: MONDAY, MAY 10, 2021

VIRTUAL BIDDERS' CONFERENCE: TUESDAY, MAY 18, 2021–10 a.m.

PROPOSAL DUE DATE: THURSDAY, JUNE 3, 2021 by 4 p.m.

CONTRACT EFFECTIVE DATE: JULY 1, 2021

**The Heart of Texas Workforce Development Board, Inc.  
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Waco, Texas 76701  
254-296-5300  
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The Heart of Texas Workforce Development Board, Inc. is an equal opportunity employer/programs and auxiliary aids and services are available upon request to include individuals with disabilities.

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. REQUEST FOR PROPOSAL SCHEDULE

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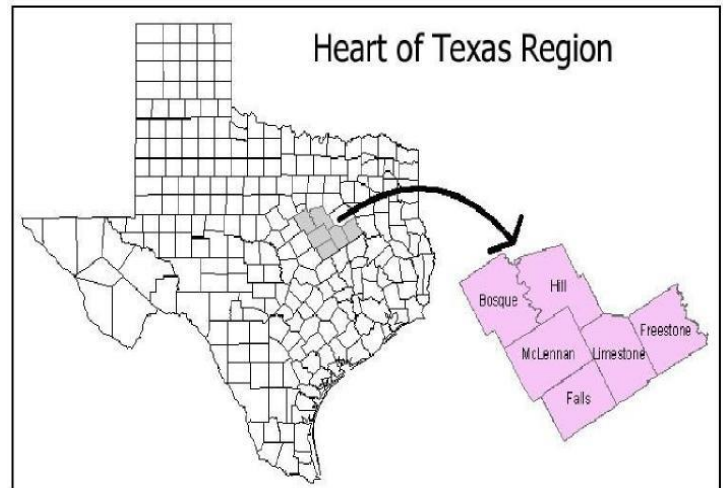
<b>Issuance Date</b>	<b>Monday, May 10, 2021</b>
<b>Virtual Bidder's Conference</b>	<b>Tuesday, May 18, 2021 – 10 a.m.</b>
<b>Last Day for Questions</b>	<b>Wednesday, May 19, 2021 by 5 p.m.</b>
<b>Questions/Answers Released</b>	<b>Monday, May 24, 2021</b>
<b>Courtesy Letter of Intent to Submit</b>	<b>Tuesday, May 25, 2021 by 4 p.m.</b>
<b>Proposal Due</b>	<b>Thursday, June 3, 2021 by 4 p.m.</b>
<b>Evaluation Phase</b>	<b>Friday, June 4 – Monday, June 14, 2021</b>
<b>Present Recommendation to Board</b>	<b>Thursday, June 17, 2021</b>
<b>Transition/Contract Negotiations</b>	<b>June 18 – June 30, 2021</b>
<b>Contract Established</b>	<b>Wednesday, July 1, 2021</b>

## PART 2. INTRODUCTION

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### 2.1. Heart of Texas Workforce Development Board, Inc. Board of Directors

The Heart of Texas Workforce Development Board, Inc. (Board) is a nonprofit 501(c)(3) corporation doing business as Workforce Solutions for the Heart of Texas and serves the Heart of Texas region that is composed on the following counties: Bosque, Falls, Freestone, Hill, Limestone and McLennan. The Board is a body appointed by the Chief Elected Officials of the region. 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 are representatives of private sector employers, as these are the primary customers of the workforce development system.



The Board of Directors is responsible for the planning of all services and procurement for contractors who demonstrate the capacity to achieve the goals and objectives of the Board through service delivery operations.

## 2.2. The Mission of the Board

The mission of the Board is to support economic development through identification, advocacy for, and facilitating the development of a quality workforce in the six county Heart of Texas region. Through the administration of the WIOA Youth programs under its purview, the Board aims to ensure quality workforce services, resources, and skill training for industries, businesses, and job seekers that contribute to the economic strength and growth of the region and Texas. Equally important as its administrative oversight of federally funded workforce services, the Board directs 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.

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## PART 3. WIOA AND GENERAL INFORMATION

**Note:** For Purposes of this RFP, the words “Applicant”, “Proposer” and “Bidder” shall refer to an entity submitting a proposal in response to this procurement. The term “Contractor” shall refer to entities awarded and entering into a formal contract with the Heart of Texas Workforce Development Board, Inc. which will be referred to as the “Board”.

### 3.1. Purpose of Solicitation

This Request for Proposals (RFP) solicits qualified applicants to provide WIOA Youth program services that places primary emphasis on serving out-of-school youth ages 16 to 24 while offering in-school youth services (ages 14-21) in the Workforce Solutions for the Heart of Texas (WS HOT) workforce area. Selected applicant must provide youth services in accordance with the Workforce Innovation and Opportunity Act, Public Law No: 113-128, and any related U.S. DOL, and Texas Workforce Commission (TWC) rules and regulations, policies, directives and the Board Plan.

Proposers are advised to consult the Department’s website at <http://www.doleta.gov> for program guidance and updates. The Workforce Innovation and Opportunity Act legislation is available at: [www.congress.gov/113/bills/hr803/BILLS-113hr803enr.pdf](http://www.congress.gov/113/bills/hr803/BILLS-113hr803enr.pdf). Copies of other pertinent legislation may be found through the Texas Workforce Commission at: [www.twc.state.tx.us](http://www.twc.state.tx.us). Contractors selected will be required to assume full responsibility for all activities and services included in the contract.

Please read this document carefully. This RFP provides a uniform method for the procurement of the WIOA Youth System, providing for full and open competition. It contains the necessary background, requirements, information, instructions, and forms for responding to this RFP.

### 3.2. Funds, Contract Term Period and Type

**Funding for this procurement is WIOA Youth funds, an estimated \$425,000 is available for the WS HOT Youth Program.**

The Board will establish a contract with the selected bidder with an anticipated one-year period that will begin on **July 1, 2021 and end on September 30, 2021**. The Board reserves the right to offer up to four one-year (twelve month) extensions of the contract based on evaluation of the state of the WS HOT WIOA Youth system, achievement of performance, availability of funds, and capacity of the contractor to meet new or revised goals, objectives and standards of the Board. The total contract term period for this procurement shall not exceed five-years.

Year One Contract	July 1, 2021 – September 30, 2021
Year Two Contract	October 1, 2021 – September 30, 2022
Year Three Contract	October 1, 2022 – September 30, 2023

Year Four Contract	October 1, 2023 – September 30, 2024
Year Five Contract	October 1, 2024 – September 30, 2025

It is the Board's intention to negotiate a cost reimbursement contract with the successful bidder. The Board reserves the right to vary or change the terms of any contract executed as a result of this RFP, including funding levels, the scope of work, performance standards, and shortening or extending the contract period, as it deems necessary in the interest of the Board and its programs, pending availability of funds. The resulting contract will establish a contractor relationship that involves fiscal, administrative, monitoring and programmatic responsibilities for the WIOA Youth program.

It is also the Board's intent to secure one contract to provide the fourteen program elements to WIOA eligible participants in the Heart of Texas region.

### 3.3. Background on WIOA

WIOA outlines a broad youth vision that supports an integrated service delivery system and provides a framework to support in-school youth (ISY) and out-of-school youth (OSY).

Key areas of WIOA as they relate to this Request for Proposal (RFP) include, but are not limited to:

- requirement to expend a minimum of 75% of youth funds on Out-of-School Youth (OSY), age between 16 - 24;
- at least 20% of funds are to be used for work experience activities such as summer employment, pre-apprenticeship, on-the-job training and internships; and
- Fourteen Program Elements (listed in 3.7)

The OSY population may include youth in foster care, those aging out of foster care, youth offenders, children of incarcerated parents, homeless youth, school drop-out, youth in single one parent family, youth with disabilities, pregnant or parenting teens, youth who are basic skills deficient.

### 3.4. WIOA Service Strategies

WIOA requires the service strategy to be linked to one or more of the indicators of performance in WIOA sec. 116(b)2(A)(ii) and must identify career pathways that include appropriate education and employment goals.

WIOA enhances the youth system design through an emphasis on individual participant needs by adding components to the objective assessment and development of the individual service strategy. WIOA incorporates career pathways as part of both the objective assessment and development of the individual service strategy. The program design under WIOA also includes effective connections to employers, including small employers, high growth industry sectors and occupations in our local area.

### 3.5. WIOA Concepts

The Board seeks innovative proposals that reflect a clear approach to delivering comprehensive youth workforce program activities to disconnected youth. WIOA calls for customer-focused services based on the needs of the individual participant; proposals must include plans for addressing the differing needs of youth. This includes the creation of career pathways for youth as part of a youth's individual service strategy. Youth are closely involved in the proposed design and implementation of services to ensure their buy-in and needs are met. WIOA requires programs to address the individual needs of youth; it is critical for youth to master the developmental tasks associated with soft skills job-readiness, which are key to long-term employment success.

By repositioning youth as an asset to employers with a need for skilled workers, the value of employers engaging the youth workforce system and programs is enhanced. Employers are critical partners that provide meaningful growth opportunities for young people through work experiences that give them the opportunity to learn and apply skills in real-world setting and ultimately jobs that young people are ready to fill given the opportunity. A variety of innovative

workforce development activities must be available to assist youth in identifying personal and vocational interests and begin to establish employment goals.

In addition, WIOA includes a major focus on providing youth with work experience opportunities. WIOA prioritizes work experiences with the expenditure requirement of a minimum of 20% on work experience. Under WIOA, work experience becomes the most important of the program elements.

### 3.6 WIOA Youth Definitions

**Definitions for Out-of-School and In-School youth.** Please see the descriptions below and for additional details, please refer to [www.doleta.gov](http://www.doleta.gov).

**Out of school youth** - Not attending school (as defined under State law). *One or more of the following:*

- 16- 24 years old
- school dropout
- A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter
- A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is basic skills deficient or an English language learner
- An individual who is subject to the juvenile or adult justice system
- A homeless individual
- An individual who is pregnant or parenting
- A youth who is an individual with a disability
- A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment

**In- school youth** - Attending school (as defined by state law)

- 14- 21 years old
- Attending secondary or postsecondary school at the time the eligibility determination
- *A low-income individual and one or more of the following:*
  1. Basic skills deficient
  2. An English language learner
  3. An offender
  4. A homeless individual
  5. Pregnant or parenting
  6. Youth who is an individual with a disability
  7. An individual who requires additional assistance to complete an educational program or to secure or hold employment.

### 3.7 WIOA Fourteen Program Elements

Proposers must describe how they will provide the WIOA Youth's fourteen program elements. If a proposer is sub-contracting to provide some of the required program element services, the proposal description must identify each sub-contract provider and must include a Letter(s) confirming services described in the proposal. The Adult Education and Literacy for the Heart of Texas grant recipient is McLennan County College (MCC); proposers should address how collaboration will be done between programs to address some of the program elements.

**1. Tutoring, study skills training, and 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 or for a recognized postsecondary credential.

**2. Alternative secondary school instruction or dropout recovery services** - alternative secondary school instruction will be available through the Adult Education and Literacy for the Heart of Texas grant. *Co-enrollment between these two programs is encouraged to disconnected youth.* However, a bidder may offer dropout recovery services.

3. **Paid and unpaid work experiences** that have an academic component and occupational education which may include summer employment opportunities, pre-apprenticeship programs, internships and job shadowing, and on-the-job training. Reference: NPRM §681.460 (a) (3) and further defined in NPRM §681.600 and WIOA section 129 (c) (4).
4. **Occupational Skills training** that aligns with the Board's approved demand occupations. Reference: NPRM §681.540 for information about occupational skills training.
5. **Leadership development opportunities** encourage responsibility, employability and pre-employment training, citizenship skills, life skills, decision-making skills, cultural diversity, community service projects, self-esteem building activities and real life skills. Peer mentoring and tutoring. Reference: NPRM § 681.520
6. **Supportive services** such as childcare, transportation, work attire/related tools, etc. is provided through other WS HOT Contractors. Reference: NPRM § 681.570 for allowable support services.
7. **Adult mentoring** will be required for the period of program participation and a subsequent period; however, it will not be less than 12 months. Reference: NPRM §681.490
8. **Follow-up services** for not less than 12 months after the youth are exited from the program. The type and intensity of follow-up services may differ for each participant; however, follow-up must include more than a single contact attempt made for securing documentation. Reference: WIOA sec. 129©(2)(I), NPRM §681.520 and 681.570
9. **Comprehensive guidance and counseling** activities to assist youth in making well thought out decisions regarding their education and career plans and goals. Reference: NPRM §681.510 and WIOA sec. 129©(I©(J))
10. **Education offered concurrently** with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster. Reference: WIOA sec. 129©(2)(E)
11. **Financial Literacy Education** to assist participants in creating real-life household budgets, initiate savings plans to make informed financial decisions. Reference: NPRM § 681.500
12. **Entrepreneurial Skills Training** to obtain information and knowledge about self-employment, business plans, planning and record keeping and required taxes.
13. **Labor market and employment information** – career awareness, exploration, and counseling
14. **Activities to assist youth in the transition to post-secondary education and training**

**3.8. Selected proposer will offer:**

- An objective assessment of the academic levels, knowledge, skills and abilities of each participant
- Service strategies for each participant,
- Innovative meaningful activities that lead to the attainment of a secondary school or its recognized equivalent or a recognized post-secondary credential,
- Preparation for post-secondary educational and training opportunities
- Linkages between academic instruction and occupational career education that leads to a career path and attainment of recognized post-secondary credentials,
- Preparation for unsubsidized employment opportunities,
- Connection to local employers

Proposers will address how the following requirements will be met as part of an overall WIOA youth system design:

- Eligibility determination and verification of WIOA registration
- Comprehensive Assessment
- Individual Service Strategy



- Comprehensive case management
- WIOA data validation and record keeping
- Information and referrals for non-WIOA- eligible youth
- WIOA performance
- The Workforce Information System of Texas (TWIST)
- Work in Texas (WIT)

### 3.9 Performance Measures

In order to provide successful services to youth, a comprehensive accountability system must be in place to determine contractor's effectiveness in providing services. Contractors will be required to meet the current performance outcomes and process measures and subsequently added performance measures.

- Employed/Enrolled Quarter 2, Post Exit - Youth
- Employed/Enrolled Quarter 4, Post Exit - Youth
- Credential Rate - Youth
- Median Earnings - Youth
- Measurable Skills Gains - Youth

WS HOT Board staff will monitor measures regularly and written reports will be provided to selector proposer. Selected proposer will be expected to promptly address any problem areas.

## PART 4. SUBMISSION PROCEDURAL INFORMATION

### 4.1. Issuance of Request for Proposal (RFP)

RFP issuance date is Monday, May 10, 2021, the RFP is available to download from the Board's website: [www.hotworkforce.com](http://www.hotworkforce.com).

### 4.2. Virtual Bidders' Conference and Questions/Answers

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

**Tuesday, May 18, 2021 – 10 a.m. (CST)**

Attendance at this conference is not mandatory but is strongly recommended. A virtual call-in system will be set up, interested parties may participate by e-mailing Margie Cintron at [jcintron@grandecom.net](mailto:jcintron@grandecom.net) for the virtual call-in information. The conference offers potential proposers the opportunity to obtain guidance on the scope and nature of the work required or to ask technical questions.

Questions may be sent prior to the bidder's conference and through **Wednesday, May 19, 2021 by 5 p.m.** Responses will be posted on the Board's website at [www.hotworkforce.com](http://www.hotworkforce.com) on **Monday, May 24, 2021** and will also be sent to all conference attendees.

Questions may be faxed, emailed, or mailed. Responses to written questions received prior to the bidders' conference will be addressed at the conference, or in the Q&A provided on Monday, May 24, 2021. Submit questions to:

The Heart of Texas Workforce Development Board, Inc.  
 Attn: Margie Cintron  
 801 Washington Avenue, Suite 700  
 Waco, Texas 76701  
 FAX (254) 753-3173  
[Email: jcintron@grandecom.net](mailto: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 applicants 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 an applicant.

#### **4.3. Courtesy Letter of Intent to Submit Proposal**

The Board request proposers to submit a notice of intent to submit proposal (Sample Template Attachment A) by **4:00 p.m. Tuesday, May 25, 2021**. This is not a mandatory step for proposers and submitting the notice of intent to submit proposal does not commit the proposer to submit a proposal, 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 [jintron@grandecom.net](mailto:jintron@grandecom.net).

#### **4.4. Proposal Due Date**

All **Proposals**, regardless of the method of submitting the application must be received at the address specified below not later than **4 p.m. (CST), Thursday, June 3, 2021**. Proposals must be mailed, sent by courier or hand-delivered to:

**The Heart of Texas Workforce Development Board, Inc.**  
**Attn: Margie Cintron**  
**801 Washington Avenue, Suite 700**  
**Waco, Texas 76701**

Timely delivery of proposals is the sole responsibility of the Proposer. Proposals submitted by mail, courier or overnight delivery services must be received by the deadline specified above regardless of postmark or shipping date. The Heart of Texas Workforce Development Board, Inc. is not responsible for any failures, errors of omission or otherwise on the part of the U.S. Postal Service or other carrier. Disputes concerning late or non-delivered proposals cannot be appealed.

Any modifications or amendments to a proposal (i.e. one already submitted prior to the deadline) must also comply with the above requirements and the response deadline. Any proposals or amendments delivered/received after the deadline date and time will not be considered and will be deemed as late and non-responsive to the RFP procurement process – no exceptions. Late proposals or amendments will be returned without review.

Applicants may submit proposals any time prior to the deadline between the hours of 8:00 a.m. and 5:00 p.m., Monday through Friday at the address stated above.

#### **4.5. 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. The eligible bidders/contractors may include private and public, secondary or post-secondary education institutions, faith-based organizations, for-profit and not-for-profit agencies, Community Based Organizations (CBO), or other entities. Partnerships or consortiums may respond; however, proposers submitting bids must identify a lead entity that will be responsible for management, coordination of services, operations, financial accountability, legal obligations and all reporting requirements. This lead entity must demonstrate its capacity to set direction, achieve outcomes, leverage matching or in-kind resources and manage overall operations, including staff oversight, customer services, continuous improvement, and achievement of performance measures.

#### **4.6 Responsible Contractor**

Bidders must have the technical competence, expertise in management and administration of youth workforce programs and the fiscal management systems to meet the highest standards of public service and fiduciary responsibility. Bidder must have adequate financial and technical resources or the ability to obtain such resources as required during the performance of the Workforce Solutions for the Heart of Texas WIOA Youth Contract.

Additionally, the Proposing contractor assures the Board that its performance under the terms and conditions of this Contract will be in accordance with highest integrity and business ethics. If the Board determines, at its sole discretion, that

the Proposing contractor is not responsible and/or it does not possess the administrative, financial, and technical resources and capabilities necessary to successfully perform under the terms and conditions of this Contract, it shall terminate the Contract.

#### **4.7 Pre-Award**

Applicants should possess experience and program knowledge necessary to provide high standards of customer service and satisfaction while maintaining and exceeding program performance standards. The successful applicant will demonstrate in the proposal and through a pre-award review the capacity to perform the requested services and manage funds to the Board's expectations. Pre-award documents that will be requested, include, but are not limited to the following:

- Personnel Policies
- Employee Manual
- Job Descriptions
- Insurance Policies
- Bank Statements
- HR Forms (Timesheet and Application)
- Program Policies
- Audits
- Cost Allocation Plan

#### **4.8 High Risk Contractor**

The Board, in its sole discretion, may deem the Contractor a "high risk" if there is serious questions or issues regarding the Contractor's administrative, financial or technical capability in meeting the terms and conditions of this Contract. This may occur if the Contractor: (1) has a history of unsatisfactory performance, or (2) is not financially stable, or (3) has a management system which does not meet management standards as determined by the Board, or (4) has not conformed to terms and conditions of previous awards, or (5) is otherwise not responsible as determined by the Board. In such event, the Board may establish and impose upon Contractor any special conditions and/or restrictions, it deems in its sole discretion, appropriate and necessary for the duration of the Contract period or until such time as the "high risk" status is removed by the Board.

The Board is prohibited from contracting with any entity debarred, suspended, or otherwise excluded from or ineligible for participation. Accordingly, a contract requires contractors to certify that they are in compliance with the Federal regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98-510.

The prospective recipients 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 a Federal department or agency.

#### **4.9. Historically Underutilized Business (HUB)**

Minority, disadvantaged, and women-owned businesses that are certified by the State as HUBs are encouraged to respond to this RFP. Certified HUBs shall receive 5 points on the proposal evaluation. HUB Certification must be included with the proposal to receive these points.

## **PART 5. SELECTION PROCESS**

### **5.1. Method of Procurement and 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

evaluation criteria. This RFP document and procurement process complies with all applicable Federal, State (TWC FMGC) 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 WIOA Youth services in the Workforce Solutions for the Heart of Texas region. 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. 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 second highest ranked offeror. Additionally, the Board reserves the right to withdraw or reduce the amount of an award if there is misrepresentation of the applicant's ability to perform as stated in the proposal/contract.

**5.2 Standards of Review for Proposals**

Selection of the Contractor shall be in accordance with federal procurement principles and the TWC Financial Manual for Grants and Contracts, which requires “full and open competition”, fair and equal treatment, and “arm’s length” relationships with all potential applicants. The selection process used by the Board is intended to help the Board identify the most qualified and responsive proposal for WIOA Youth Services contract negotiation. The selection process has four parts:

**1. A proposal must meet minimum standards before being considered for further evaluation:**

- Submitted by the deadline;
- Contains all required elements, required signatures on the Original; complete USB copy of proposal documents submitted, and;
- Format complies with proposal instructions, including but not limited to formatting instructions, narrative instructions, and submission order and budget instructions.
- Contains no evidence of conflict of interest.

2. All responsive proposals will be subject to review and scoring. The Board will utilize qualified independent evaluators to review and score each responsive proposal using a standardized instrument. Evaluators will award proposals scores for specific criteria with the highest possible total being 105. Proposals that contain all of the required elements will be deemed responsive and eligible for contracting if they score at least 75 points based on the evaluation criteria listed below. Proposals will be ranked from highest to lowest average score. The entity with the highest overall average score will either be approved or disapproved by the Board. Once approved, if negotiations are not successful with the top ranked vendor, negotiations may begin with the next vendor in the order of the ranking until a contract is reached or the Board has rejected all proposals.

3. The bidder authorized representative may withdraw the submitted proposal prior to the deadline 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 return of the proposal is provided.

**5.3. 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. The Board will evaluate proposals and rank vendors based on the following four criteria areas and weights; the description of each criteria follows:

CRITERIA	MAXIMUM POINTS
(1) Organizational Capability, Capacity and Demonstrated Experience/Effectiveness	25
(2) Design and Approach	30

(3) Financial Experience and Organizational Stability	25
(4) Budget	20
(5) HUB	5
TOTAL POINTS AVAILABLE	105

**Organizational Capability, Capacity and Demonstrated Experience/Effectiveness: 25 Points**

Capability refers to the organization’s ability to accomplish its work through the knowledge, skills, and abilities of its people (i.e. qualifications and experience of staff). Capacity refers to the organization’s ability to ensure sufficient staffing, work processes, technology, etc. to successfully deliver services. Though not discounting the importance of knowledge and experience, the proposer must make clear how they will be an asset to the Board in achieving local goals and objectives through rigorous management, continuous improvement and excellence in the provision of WIOA Youth services. Reviewers will look closely at proposer’s capacity to deliver WIOA Youth services, current/past programmatic and fiscal performance to include participant levels, status of performance measures, status of corrective action plans, status of monitoring reports, expenditure levels, timely submittal of invoices and closeouts.

The proposing entity must demonstrate a history of successfully providing the same or similar services to those specified in the RFP, specifically relating to the types of activities, targeted populations, performance outcomes (measures/targets), contractual compliance, etc. and resolution of monitoring/audit issues.

Evaluation for proposers with experience in youth services will include a review of staff development and support activities.

**Design and Approach: 30 Points**

This area will examine the proposed overall approach, design, strategies, processes, etc. in delivering WIOA Youth services in support of the Board’s mission, vision, goals, expectations, etc. The successful proposer must demonstrate a thorough understanding of workforce-targeted programs and services offered in the Heart of Texas region. The innovative youth workforce system design must meet the needs of employers, youth, and partner agencies and show collaboration to provide the WIOA fourteen program elements. The successful proposer will also work to continuously improve performance and services. The bidder will utilize the information described in Part 3 WIOA and General Information of this RFP, that indicates some of the WIOA strategies and references to providing an innovative youth system. Proposers must have a comprehensive approach to staff development and enrichment. The proposer must demonstrate understanding of performance measures and the ongoing management of these measures.

**Financial Experience and Organizational Stability: 25 Points**

The proposing entity must demonstrate that it is in sound financial condition and has effective fiscal and administrative management systems, fiscal organizational structures, financial resources, financial capacity, and fiscal knowledge in accordance with federal, state and generally accepted accounting practices. This Criterion also includes demonstrating effective financial performance under contracts with Workforce Development Boards, preferably in Texas, by meeting all fiscal expenditure goals and the ability to utilize funds to derive organizational strategic objectives. (See TWC Rule 801.54). Proposer must have the ability to secure at least 10% of the contract total.

**Budget: 20 Points**

Bidders will submit a one-year budget for this RFP. Budgets will be reviewed to determine that proposed costs are reasonable, necessary, allocable and allowable. Cost reasonableness will be determined by comparing each proposer’s proposed cost to other proposals, and to existing market rates paid for WIOA Youth services in Texas. Other areas of review shall include, but not limited to the following: cost allocation methodology, competitive indirect rate or management fees, overhead costs, profit, budget narrative and justification of costs, in-kind or matching funds.

All associated costs should be included in the proposed budget including WIOA Youth staff, all corporate management staff and fees, quality assurance, indirect costs and profit, if applicable. All overhead costs corporate and local shall be

allocated to the benefitting cost objectives (programs, cost categories, budget line items, etc.) using a direct charge method in lieu of an indirect cost rate.

The amounts and allocation methods of all overhead, corporate, direct services, and any other costs directly or indirectly benefitting this project shall be documented in an FMGC Chapter 11 compliant cost allocation plan.

This criterion also relates to the proposer's capability to bring value added tools, processes and resources that are above and beyond and will enhance what is basically required to operate the WIOA Youth Program.

#### **Historically Under-utilized Business: 5 Points**

Current signed certification for the proposing lead entity must be submitted to receive the 5 points allocated to this criteria. Pending certifications will not be considered.

#### **5.4. Proposer Inquiry and Appeals Process**

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:

**The Heart of Texas Workforce Development Board, Inc.  
Attn: Aquanetta Brobston, Quality Assurance/EO Officer  
801 Washington, Suite 700  
Waco, TX 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.

#### **5.5. 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 respondents 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 6. GENERAL INSTRUCTIONS FOR SUBMITTING A PROPOSAL

**6.1. Format** – The original proposal must be typed in no smaller than 12-point font and submitted on 8 1/2 x 11-inch papers. Fancy or bulky binding, colored displays and promotional material are not permitted. No page limits: however, emphasis must be placed on addressing the requirements of this RFP in a clear and concise manner.

**6.2. Number of Copies** – Submit one complete original, five copies, and a USB flash drive or data storage device with original files in MS Word and Budget in MS Excel formats. The USB drive copy must contain all the elements contained in the original proposal including the signature attachments to complete the responsiveness of the proposal's submission determination. Any proposal lacking required copies and required proposal signatures on the original copy, the complete proposal on the USB drive, will be deemed unresponsive and will not be evaluated. All documents submitted must be legible, complete and fully assembled. All original documents requiring a signature must be signed using blue ink.

**6.3 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.)

**6.4 Executive Summary** – The Executive Summary should be concise and be a summary of proposed innovative activities, collaborating partners, and proposed outcomes.

**6.5 Narrative** -- Submit a written response to each of the narrative elements contained in Part 8 Narrative, identify each question by the assigned number found under each respective criteria. Failure to follow the narrative format will result in a reduced evaluation score.

**6.6 Budget Form** -- Using the RFP budget form (Attachment C) present a line item budget of your proposed costs to the Board. Present a total budget cost for a twelve (12) month period. Should your proposal be selected for consideration, this budget will be the basis for negotiating the contract amount. If applicable, include costs for office space and office equipment. The proposed budget should include the following items:

- Staffing costs;
- Management fee/s;
- Indirect cost/s;
- Profit;
- Travel

Include a budget narrative that describes/explains each cost and how it was calculated.

**6.7 Sequence of Submission** – The original proposal and proposal copies should be submitted with elements in the following order:

1. Proposal cover sheet (Attachment B)
2. Executive Summary
3. Proposal Narrative
4. Organizational Chart
5. Monitoring Reports – Program and Fiscal
6. Disclosure Matrix Table
7. Budget Form (Attachment C) with Budget Narrative
8. Cost Allocation Plan
9. Audit Reports
10. Professional Resumes
11. Proof of Incorporation or Agency Status
12. Sub-contract Agreements
13. Proof of bonding (if applicable) and Certificates of Insurance
14. Certification Regarding Debarment, Drug-Free Workplace and Lobbying (Attachment D)
15. Certification Regarding Franchise Tax, as applicable (Attachment E)
16. Certification Regarding Conflict of Interest (Attachment F)
17. Assurances and Certifications (Attachment G)

18. Certification of Proposer Non-Discrimination and Equal Opportunity Provisions (Attachment H)
  19. Administrative Management Survey (Attachment I)
  20. Financial Systems Survey (Attachment J)
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## PART 7. PROPOSAL CONDITIONS

Following are conditions that apply to this RFP and any subsequent contract. Any potential contract resulting from this procurement is contingent on the results of the pre-award survey that will be performed prior to signing a contract.

- 7.1 The ultimate result of the procurement process is to ensure uniform information in the solicitation of proposals for the WIOA Youth services. This RFP is not to be construed as a purchase agreement or contract, or as a commitment of any kind; nor does it commit the Board to pay for any costs incurred in the preparation of a response, or any other costs incurred prior to the execution of a formal contract, unless such costs are specifically authorized in writing by the Board.
- 7.2 The Board reserves the right to waive any defect in this procurement process or to make changes to this solicitation as deemed necessary where such change is in the best interest of the Board. The Board shall provide notifications of such changes to all bidders that have submitted a courtesy letter of intent to submit a proposal.
- 7.3 Proposals must conform to relevant state and federal laws and regulations governing the use of applicable funds for services and programs.
- 7.4 The Board may negotiate a contract for services based on the evaluated proposal and verbal agreements made in the negotiation process.
- 7.5 The funding of any proposal is contingent upon an annual appropriation by the United States Congress that permits the United States Department of Labor and The Texas Workforce Commission to contract with WS HOT Board to provide and procure for workforce services. WS HOT reserves the right to terminate or adjust to conform to available annual funds received by Board from the State of Texas and/or the federal government.
- 7.6 Contractor shall ensure that all funds provided through this contract are expended for allowable activities, and that no expenditures have as their objective the funding of sectarian worship, instruction, or proselytizing. This provision shall not be interpreted to prohibit the contractor from subcontracting for goods or services with any religious institution or entity.
- 7.7 Other than providing technical assistance during the Bidder's Conference, Board staff will not assist any proposer in the preparation of the proposal.
- 7.8 All proposals and any attachments, appendices, or other information submitted as a part of a proposal become the property of the Board upon submission and may be reprinted, published, or distributed in any manner by the Board according to open records requirements, applicable state and federal laws, policies, and procedures, as well as those of the Board. Subject to the Texas Public Information Act, respondents may protect trade and confidential information from release. Trade secrets or other confidential information, submitted as part of a proposal, shall be clearly marked on each page it appears. Such marking shall be in boldface type at least **14-point font**.
- 7.9 No employee, member of a Board of Directors or other governing body, or representative of a proposer who submits a proposal may have any contact outside of the formal review process with any employee or any member of the Board, or any Chief Elected Official for purposes of discussing or lobbying on behalf of the proposer's proposal. This contact includes written correspondence, email, fax, telephone calls, personal meetings, tweets, text messages or other kinds of personal contact. The Board will reject proposals of those proposers who violate this condition.
- 7.10 The Board reserves the right to accept or reject any or all proposals received; to cancel this RFP in part, or in its entirety; or to reissue the RFP.
- 7.11 In order to ensure that the needs of the region are adequately met, the Board reserves the right to request additional information and/or negotiate issues prior to making a selection.
- 7.12 The Board reserves the right to contact any individual, agencies or employers listed in a proposal, to contact others



who have experience and/or knowledge of the proposer's relevant performance and/or qualification, and to request additional information from any and all proposers. Misrepresentation of the proposer's ability to perform as stated in the proposal may result in cancellation of a contract resulting from this procurement.

- 7.13 Solicitation and selection of proposals must conform to relevant State and Federal laws and regulations and local policies governing the procurement of services. Proposers are responsible for familiarizing themselves with these laws and regulations.
- 7.14 Contract executed as a result of this RFP will be cost reimbursement or a fixed unit cost. The contract shall be contingent upon the receipt of sufficient funding from the Texas Workforce Commission (TWC). Negotiated contract amounts and details of programmatic requirements will be contingent upon funding and implementation procedures actually received. Final contract will also be subject to any changes in legislation, regulations, or policies promulgated by the Federal funding sources, the U.S. Department of Labor, or the Texas Workforce Commission (TWC). Workforce Solutions will reserve the right to vary or change the terms of any contract solicited under this RFP, including funding levels, the scope of work, performance standards, and shortening or extending the contract period, as it deems necessary in the interest of Workforce Solutions.
- 7.15 Profit margins and the circumstances by which profit may be earned will be negotiated with for-profit organizations.
- 7.16 Non-Discrimination - As a condition for receipt of federal funds, the proposer must assure, with respect to the operation of the program and all agreements or arrangements to carry out the program, that the proposer is prohibited from discriminating on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, citizenship or participation in programs funded with federal funds.
- 7.17 This is a competitive procurement utilizing the Request for Proposal method, and as such, award does not have to be based on the lowest priced offer, but rather to the respondent submitting the most responsive proposal that satisfies the Board's requirements.
- 7.18 The Board may require selected proposer(s) to participate in contract negotiations in person at the Board office, 801 Washington Avenue, Suite 700, Waco, Texas.
- 7.19 The Board reserves the right to conduct credit check, criminal history, drug tests, and other background investigation of the selected proposer and, if a corporation, its directors, shareholders, or partners and managerial and supervisory personnel retained by the proposer for the performance of the contract. A contract with the selected provider may be withheld, at the Board's sole discretion. If issues of contract or regulatory compliance, or questioned/disallowed costs exist that were not identified in the proposal, a contract may be withheld until such issues are satisfactorily resolved. Award of contract may be withdrawn if resolution is not satisfactory to the Board.
- 7.20 Subcontractors must be specified in the proposal narrative, all contract provisions and federal, state or Board standards that apply to lead contractor must be followed by all subcontractors.
- 7.21 The proposer will comply with conflict-of-interest requirements contained in TAC Title 40, Part 20, Chapter 801, and Subchapter C - The Integrity of the Texas Workforce System.
- 7.22 If a proposer intends to use a managing director/PEO model, the contractor is solely responsible for oversight, management, supervision, criminal background checks, hiring, firing, training, promotion, demotion, evaluation and reprimanding all WIOA Youth employees and coordination of employee benefits and payroll with a PEO. The human resource's function related to staffing shall be conducted by the contracted PEO, who will be the employer of record for all WIOA Youth staff. Management decisions regarding staff shall be at the discretion of the Managing Director. The Managing Director/PEO partnership must be in place prior to submitting a proposal (See TWC WD Letter 02-07).
- 7.23 All proposals submitted must be an original work product of the bidder. The copying, paraphrasing or otherwise using of substantial portions of the work product of others and submitted hereunder as original work of the bidder is not permitted. Failure to adhere to this instruction may cause the proposer to be disqualified.
- 7.24 The contents of a successful proposal may become a contractual obligation and be incorporated by reference if selected for award of a contract. Bidders must intend to fulfill all of the representations made in the submitted proposal. Failure of the bidder to accept this obligation may result in cancellation of the award.

- 7.25 Selected contractor may be provided with inventory upon execution of contract and will assume complete responsibility for updating and maintaining during the contract term period.
- 7.26 Special provisions for Summer Employment – Minimum Wages for Participants – In all instances where wages are paid to a participant enrolled in the WIOA Youth program and in all instances when a job-ready participant is placed in unsubsidized employment, the selected contractor shall ensure the participant is compensated at rate which is no less than the highest of the following standards:
- The minimum wage rate specified in Section 6(a)(1) of the Fair Labor Standards Act of 1938, as amended; or
  - The state or local minimum wage for the most nearly comparable covered employment; or
  - The prevailing rates of pay for persons employed in similar occupations and skill level by the same employer; or
  - The minimum entrance rate for inexperienced workers in the same occupation in the establishment; or if the occupation is new to the establishment, the prevailing entrance rate for the occupation among other establishments in the community or area; or any minimum rate required by an applicable collective bargaining agreement.
- 7.27 The Contractor shall be subject to the following federal laws governing the programs for which funding is provided:
- Workforce Innovation Opportunity Act Titles 1-IV (NPRMS) – TWC WD Letter 12-15
  - Section 504 of the Rehabilitation Act of 1973
  - The Americans with Disabilities Act
  - Wagner-Peyser Act of 1933, as amended, [29 USCA S. 29 et seq.];
  - Portions of the 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 at 45 CFR Parts 270 through 275, inclusive, for services funded by Temporary Assistance to Needy Families; federal regulations issued 45 CFR Part 260, et al.;
  - 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 on Financial Management including appropriate OMB circulars, Uniform Grant Management Standards, and TWC's Financial Manual for Grants and Contracts;
  - 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 Chap. 2308, as they pertain to the WIOA Youth Program's operations and programs;
  - Plans and policies of the WS Heart of Texas Workforce Development Board, Inc.

## **PART 8. NARRATIVE QUESTIONS**

The following elements must be addressed in the proposal. Flow charts, organizational charts and other diagrams requested may be attached to the proposal in the preferred sequence. Be sure to reference any such attachments in the responses. Proposers should state each RFP question and then present their response to each question.

### **8.1. Executive Summary**

The narrative is the proposer's opportunity to present a synopsis of their qualifications, experience and approach to managing the WS Heart of Texas Workforce Youth System.

**Narrative**

**8.2. Organizational Capability, Capacity and Demonstrated Experience/Effectiveness: 25 Points**

1. Provide a brief history of your organization; include year established, location of home/corporate office, location(s) of any regional offices, number of employees, and other lines of business. Proof of Incorporation or Agency Status must be submitted.
  - If you are submitting a proposal as a partnership, consortium or joint venture the roles and responsibilities of each party and identify the lead entity. A copy of the partnership, consortium or joint venture agreement must be included as an attachment.
  - If you are submitting a proposal using a Managing Director/Professional Employer Organization (PEO) Model a copy of the agreement between the Managing Director and the PEO or staffing agency must be included in the proposal as an attachment.
  - If you are subcontracting any services, identify which services will be subcontracted and the rational behind using a subcontractor rather than providing the services yourself. Describe how subcontracts were or will be procured, their qualifications and the basis for payment.
2. Present your proposed organization chart for your organization and delineate how the WS Heart of Texas youth service system staff positions and lines of responsibility will fit in the corporate organization.
3. Describe the governance and oversight role of your organization include:
  - Assigned responsibilities of each proposed corporate staff assigned to this contract
  - Synopsis of experience of each proposed corporate staff member assigned to this contract
  - Provide copies of WIOA management teams' resumes that show experience with youth workforce programs. Also include in resumes the types and tenure of management roles and number of staff currently managing directly and indirectly – Submit Resumes in order described in the submission sequence (Part 6.7 of the RFP).
4. How is contract performance, including monitoring reports, compliance, etc. reported to upper management and how often is report done? Include any sample reports, if available
5. Describe your process for continuous improvement.
6. Provide as an attachment the most recent program compliance monitoring reports (TWC and Independent Review) from the past (2) years for Texas Workforce WIOA Youth Programs or other youth funded contracts.
7. Describe your experience providing youth workforce program systems over the last three years include a list of all youth service contracts (current and for the past three (3) years). For each contract, provide the following:
  - Name of the contracting entity
  - Name of contact person, mailing address, phone number, and e-mail
  - Date(s) of contract(s)
  - The number of youth service staff managed
  - Program service included under the contract(s)
  - Amount of contract
8. Present your organization’s annual contracted performance measures against actual performance for youth service contracts you have managed over the last three years. Include all program performance indicators and measures.
9. Please use the following Disclosure Matrix Table to address the resolution or current status of any findings, exceptions, or disallowed costs. Proposers must disclose any and all outstanding monitoring and/or audit concerns from any of the bidder’s other contracts. You may add columns, if additional are needed.

<b>Disclosure Table</b>			
	Board Area	Board Area	Board Area
9.1 Have you ever been identified as a “High Risk” contractor or auditee? If so, describe the circumstances.			

9.2 Are you currently operating under any form of corrective action, technical assistance or performance improvement plan? If so, for what Board and for what purpose and what is your progress?			
9.3 Are you currently, or within the past two (2) years, been under any form of sanction? If so, describe the sanctioning Board's basis for the sanction and duration.			
9.4 Identify any contracts that you have "lost" within the past three (3) years – i.e., terminated early or not renewed. Specify the reason(s) for the early termination			
9.5 Provide a summary of ALL EEO related complaints you have received during the past two (2) years. Include resolution or current status for each.			
9.6 Provide information about any questioned cost, how much, when, what program and how it was resolved.			

10. Describe your proposed transition plan include continued customer service, record transfer, staffing and benefits and any additional required activities. If you are a proposing bidder, include actions to be taken by you and the current contractor to ensure a smooth transition of services. If you are the current contractor include actions to be taken by you and the new contractor to ensure a smooth transition of services.

### 8.3 Design and Approach 30 Points

11. With the 75% expenditure requirement for out of school youth, describe proposed number and type (age and/or grade level) of OSY participants to be served and identify who and how you will collaborate with other local youth program providers to ensure the fourteen WIOA youth elements are made available to youth participants? Identify any paid subcontractors and submit copy of Agreement or MOU, if applicable.
12. Describe your proposed methods and strategies for outreach to out-of-school youth.
13. Describe specific proposed strategies and process benchmarks including strategies and timelines to assess and determine if TWC performance measures and program outcomes will be met.
14. Describe proposed strategies for serving in-school youth, include proposed number of participants to be served and outcomes and program attainment.
15. Present a participant flow chart/s detailing your proposed service design to serve WIOA Youth.
16. Describe strategies to manage the WIOA participant's progress through progression steps from enrollment, employment and retention and also illustrates a clear connection between learning and work.
17. What is your strategy for outreaching and building relationships with employers for employment and other proposed program activities?
18. Describe how you will facilitate youth participating in the program that avoids any delays including providing youth with an understanding of the WIOA eligibility process and how eligibility determination will be documented.
19. Describe how you will conduct a comprehensive assessment of each youth, the type of assessment that will be used in the development of an Individual Service Strategy/Individual Employment Plan include academic levels, skill levels, how the assessment will help participants build sustainable career pathways with upward mobility and the provision of support services. Include the frequency of ISS/IEP updates.

20. Describe your strategies to meet the required minimum of 20% on work-based learning activities, such as pre-apprenticeships, apprenticeships, internships and work experience and how youth will be selected and prepared to enter into such activities.

21. Describe number and type of proposed staff assigned to youth services, proposed case load, your training, and development process, orientation, programmatic training process, staff development process, and how you will utilize technology for professional development and cross train staff on program regulations and functions that support the highest quality youth services.

22. Describe your proposed case management strategies to ensure that WIOA staff achieves their goals and how bidder proposes to work with community partners on referrals in order to maximize available resources and avoid duplication.

23. Describe your follow-up services for a minimum of 12 months after the participants exit from the program and how you will ensure that participants remain on their targeted career path after exiting from the program.

24. TWC requires that all data be managed through the state sponsored system – The Workforce Information System of Texas (TWIST), what processes are in place to ensure timely data and management including data integrity?

25. Describe the self-monitoring systems that are in place that ensure the program is operating efficiently and in compliance with Federal, State and local employment laws, rules and regulations, include how reports will be used for continuous improvement for performance and services.

#### **8.4 Financial and Organizational Stability 25 Points**

26. Provide copies of fiscal monitoring reports for the last two years for each WIOA Youth contract. Include both TWC and Independent monitoring reports. Describe efforts undertaken to address deficiencies identified in these reports.

27. Provide a copy of your cost allocation plan detailing how your organization's costs are shared from multiple funding sources.

28. Submit the last three years of audit reports to include any management letter comments and all audit related correspondence, disallowed cost and any corrective action plans to address reportable conditions, and the status of these plans. Nonprofit organizations must submit a copy of their most recent IRS Form 990.

29. Describe your fiscal management system to include a description of the accounting system, audit and audit resolution, budget management, financial reporting, property management and procurement.

30. Describe your internal fiscal monitoring systems and techniques used to measure budgeted vs. actual costs. Describe your encumbrances and expenditures process.

31. How do you propose to pay disallowed costs should such costs occur in the course of WIOA Youth service operations under your management? Include the source of funds and the approximate amount on hand or accessible should such costs arise.

32. Describe your experience in developing and managing budgets from multiple funding sources in accordance with federal accounting practices and principles.

33. Discuss any legal proceedings or lawsuits pending that may affect your ability to provide the requested services.

#### **8.5 Budget - 20 Points**

The following guidance applies to all proposals. Budget forms are attached and are available on-line in Microsoft Excel format at [www.hotworkforce.com](http://www.hotworkforce.com). These forms must be used to submit the proposed budgets and are described below:

**A. Line-item budget**

Complete an Operating Budget using the forms provided. This should include any costs anticipated for the transition month (transition dates are based on the finalization of the contract).

**B. Budget Backup: Personnel Salaries**

Use the form provided to account for all staff included in this proposal. Each position must be detailed on a separate line.

**C. Budget Backup: Personnel Fringe**

Use the form provided to detail the fringe benefit costs for each proposed position. The positions shown on this form will need to correspond to those listed in the personnel salaries detail.

**Budget Backup - All Other Line Items**

In addition to the forms required above, Proposers must provide a detailed narrative to justify the costs proposed and the amount budgeted for all other line items in the proposed budget. Proposers are expected to be clear and thorough in documenting costs in all line items in the budget. The budget narrative should follow the order of the line items in the budget.

The budget narrative should provide a level of detail sufficient to justify the proposed expenditure and show how the budgeted amount was developed.

A complete explanation and documentation of “overhead costs” and what costs make up overhead costs will be required. Any costs for staff that is not housed at the board facilities should be consider overhead costs

The proposal must identify all direct and indirect personnel costs. If these costs are paid from other non-federal sources the costs should be identified as potential stand-in costs

Any expense for staff and related costs that are not housed in Board facilities will be coded as Management and Oversight and must be reflected accordingly in the budget, to include any payroll related costs which should be broken out in the detailed explanation of your proposed budget.

**D. Budgeting Considerations**

a. Administrative Costs

Administrative costs are defined as those costs not related to the direct provision of services to participants. For purposes of this RFP, the Board is using WIOA forthcoming definition of administrative costs. Under this definition, these costs may be both personnel and non-personnel in nature, and include the following:

1. Performing the functions of accounting, budgeting, financial and cash management, procurement and purchasing, property management, personnel management, payroll, coordinating the resolution of audit and investigative findings, auditing, legal services, and developing systems and procedures for carrying out these functions.
2. Performing monitoring and oversight specifically related to administrative functions.
3. Costs of goods and services required for administrative functions.
4. Travel costs incurred in carrying out administrative functions.
5. Costs of information systems specifically related to administrative functions.

b. Equipment and Facility

Proposers are advised that any budgeted equipment will be and will remain the property of the Board. Equipment purchases must be made following Chapter 14 of the TWC Financial Manual for Grants and Contracts (FMGC): Procurement. The WS Heart of Texas WIOA Youth program currently has 10 lap top computers and can make one cubicle in each of the workforce center available.

Successful Proposers will be required to report equipment purchased to the Board when they are made. An inventory of all equipment will also be required at contract closeout. Following closeout, the Board will make a

final determination whether equipment must be returned or may remain with the contractor for continued use. All computer equipment and software purchases will require advance approval of the Board Information Technology Department to ensure that proposed equipment meets the Board's technology standards.

- c. Indirect Costs: All overhead costs corporate and local shall be allocated to the benefitting cost objective s (programs, cost categories, budget line items, etc.) using a direct charge method in lieu of an indirect cost rate. The amounts and allocation methods of all overhead, corporate, direct services, and any other costs directly or indirectly benefitting this project shall be documented in an FMGC Chapter 11 compliant cost allocation plan.
- d. Profit: Private for-profit proposers may budget up to 8% of total personnel and operations expenditures in profit. Direct Client expenditures will not be included in the base for profit. Profit payments will be based on the attainment of contracted performance and other benchmarks negotiated.

Profit or performance bonus may not exceed eight (8) percent. The use of an indirect cost rate as the basis to allocate costs will not be allowed. All costs must be identified and direct charged to each cost objective in direct proportion to the benefits received by that cost objective.

#### **E. Budget Evaluation / Establishment of Final Budget**

The budget included in the proposal will be used as the basis for review and comparison of proposals, and the negotiation of a contract. It is expected that proposal budgets will be as realistic as possible based upon the funding estimate provided.

The final contract budget will be established during contract negotiations. The final budget will capture changes in funding that may occur prior to the beginning of the contract period. The proposed budget should support the proposal narrative and include only those costs that are reasonable, necessary and allowable to operate the WIOA Youth service system for the Workforce Solutions for the Heart of Texas Workforce development area. All costs must conform to applicable laws, regulations, rules and policies governing the workforce programs cited in this RFP, including the Texas Workforce Commission Financial Manual for Grants and Contracts.

#### **Benefits**

The Proposer must provide cost and coverage information on personnel benefits and must provide the same information on any additional menu of benefits which employees may choose to purchase through payroll deduction. Finally, the Proposer should provide cost and coverage information on other optional benefits they propose to offer to employees.

Funded benefits must include:

- Group Health Insurance meeting state and federal regulations governing such plans;
- Group Term Life Insurance;
- Retirement Savings Plan meeting federal regulations governing such plans.

Proposers may offer additional benefits either at no cost or for employee purchase to include:

- Children or Family Options on Health, Dental Insurance;
- Group Dental Plan Insurance;
- Vision Plan;
- Short Term Disability Insurance;
- Group Long Term Disability Insurance;
- Consolidated Omnibus Reconsolidation Act (COBRA) plan;
- Long Term Care Insurance;
- Family Care/Employee Assistance Program;
- 125 (Cafeteria) Plan;
- 401(k) Plan;
- Accidental Death and Dismemberment Insurance;
- Credit Union;
- Education/Tuition Reimbursement;

- Other – describe;

**8.6 Historically Under-utilized Business 5 Points - Proposer must attach a signed certification to receive points.**



**APPENDIX 1**

**APPROXIMATE ANNUAL COST OF  
THE HEART OF TEXAS WIOA YOUTH SYSTEM**

Item	Budget
Approximate Total Operations 2021-2022 Contract Year	<b>\$425,000</b>

**Attachment A**

**NOTICE OF INTENT TO SUBMIT A PROPOSAL**

**The Heart of Texas Workforce Development Board, Inc.  
WIOA YOUTH SERVICES**

**Name of Organization/Individual:** \_\_\_\_\_

**E-mail address:** \_\_\_\_\_

**Address:** \_\_\_\_\_

**City/State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Contact Person:** \_\_\_\_\_ **Title:** \_\_\_\_\_

**Telephone:** ( \_\_ ) \_\_\_\_\_ **Fax:** ( \_\_ ) \_\_\_\_\_

**Email:** \_\_\_\_\_

The Heart of Texas Workforce Development Board, Inc. is hereby put on Notice that the above stated organization/individual intends to submit a proposal for consideration of WIOA Youth Services.

\_\_\_\_\_  
**Name** **Title**

\_\_\_\_\_  
**Signature** **Date**

**Please submit to: The Heart of Texas Workforce Development Board, Inc.  
Attn: Margie Cintron  
801 Washington Avenue, Suite 700  
Waco, Texas 76701**

**You may also email the document [to.jcintron@mygrande.net](mailto:to.jcintron@mygrande.net) or send by facsimile to (254) 753-3173. Courtesy Letter of Intent Form e-mails and faxes should arrive by 4 pm, Tuesday, May 25, 2021.**

## Attachment B Proposal Cover Sheet

### PROPOSAL COVER SHEET

Name	
Mailing Address	
Phone Number	
Type of Organization	
Federal Employer ID or Social Security Number	
Texas State Comptroller ID	
HOT Workforce Board RFP	Request for Proposals WIOA Youth
Total Requested Budget	
<b>Performance Period</b>	<b>July 1, 2021 – June 30, 2022</b>
Name and Title of Authorized Signatory	
Signature and Date	

## Attachment C BUDGET FORMS

Budget Forms are available as MS Excel spreadsheets files

<b>WS Heart of Texas Workforce Youth System Budget</b>									
<b>WIOA Budget Summary</b>									
Instructions are included to the right of this worksheet in the Excel file.									
Budget Item				Total Amount Requested	Administration Amount	Program Amount	Number Staff		
<b>Personnel Salary Totals</b>									
Administrative Personnel				\$ -					
Program Operations Personnel				\$ -					
Benefits (attach detail)				\$ -					
				\$ -					
				\$ -			Total Staff		
<b>Subtotal</b>				\$ -	\$ -	\$ -			
Percent of Subtotal				#DIV/0!	#DIV/0!	#DIV/0!			
<b>Administrative Costs</b>									
Indirect Cost				\$ -					
Management Fee/Profit				\$ -					
				\$ -					
<b>Subtotal</b>				\$ -	\$ -	\$ -			
Percent of Subtotal				#DIV/0!	#DIV/0!	#DIV/0!			
<b>WIOA Youth Operation Expenses</b>									
Staff development				\$ -					
Travel				\$ -					
Office supplies				\$ -					
Printing				\$ -					
Postage				\$ -					
Communications				\$ -					

Instructions: Costs must be allocated to Administration and/or Program cost categories. Input information in the Administration Amount and Program Amount columns. The sheet will compute the Total Budget Amount.

Any cost items added must have explanations and justifications attached.

If applicable, enter amount of profit in Administration and/or Program Amount columns. The sheet will add to total budget. All costs must be consistent throughout the budget pages and be explained in a budget narrative.

Insurance/bonding		\$	-						
Other (List separately)		\$	-						
<b>Subtotal</b>		\$	-	\$	-	\$	-		
Percent of Subtotal			#DIV/0!		#DIV/0!		#DIV/0!		
<b>Direct Participant Costs</b>									
Training ITA									
Training Non-ITA									
Work Experience									
<b>OJT</b>									
<b>Support Services</b>									
<b>Subtotal</b>			#DIV/0!		#DIV/0!		#DIV/0!		
<b>Total Budget</b>		\$	-	\$	-	\$	-		
<b>Percent of Total Budget</b>			#DIV/0!		#DIV/0!		#DIV/0!		
<b>Average Cost per Month</b>		\$	-						
In addition to this form, proposers must provide backup to justify the Personnel, Operations, Management Fee/Profit,									
Indirect and Other Costs proposed using the detail forms provided.									

Line - Item	Amount	Calculation Basis/Formula
<b>WIOA Youth Operation Expenses</b>		
Staff development		
Travel		
Office supplies		
Printing		
Postage		
Communications		
Insurance/bonding		
Other (List separately)		
Subtotal	0	
Line - Item	Amount	Calculation Basis/Formula
<b>Direct Participant Costs</b>		
Training ITA		
Training Non-ITA		

Work Experience		
OJT		
Supportive Services		
Subtotal	0	
<b>TOTAL</b>	0	

HEART OF TEXAS WORKFORCE DEVELOPMENT BOARD, INC.

WIOA Youth

**Administration Expenses**

Line - Item	Amount	Calculation Basis/Formula
<b>Administrative Costs</b>		
Indirect costs		
Management Fee/Profit		
<b>Subtotal</b>	0	
<b>WIOA Youth Administration Expenses</b>		
<b>Subtotal</b>	0	
<b>Total</b>	0	

**Proposed Heart of Texas Workforce WIOA Youth System Personnel Detail**

<b>Instructions:</b> Complete one form for WIOA Youth Operations Personnel AND one form for WIOA Youth Administrative Personnel. Use as many sheets as necessary.									
<b>Proposers Name:</b>									
<b>Check one:</b> <b>Administration Costs [ ]</b> <b>Program Costs [ ]</b>									
Position Title	Annual Salary	Annual Benefits	Position Total	# of staff per position	Full/Part Time	% Charged to Contract	Total Cost	Funding Sources	
								Board Contract	Other Source/s
Totals	0	0	0	0			0	0	0

<b>Total Benefits Rate:</b>	_____ %	FICA	
		Workers Comp	
Detail:		Unemp Ins	
		Health Ins	
		Life Ins	
		Retirement	
		Other	

**TOTAL PERSONNEL/BENEFITS: \$** \_\_\_\_\_ (Should agree with Personnel total on Budget Summary)



**The Heart of Texas Workforce Budget  
WIOA Youth Staff Benefits Summary**

Explanation of Staff  
Benefits:

The offeror must provide cost and coverage information on benefits and must provide the same information on an additional menu of benefits which employees may choose to purchase through payroll deduction.

## **Attachment D**

### **Certifications Regarding Lobbying, Debarment, Suspension And Other Responsibility Matters, Ad Drug-Free Workplace Requirements**

#### **CERTIFICATIONS REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS, AND DRUG-FREE WORKPLACE REQUIREMENTS**

Lobbying: This certification is required by the Federal Regulations, implementing Section 1352 of the Program Fraud and Civil Remedies Acts, Title 31 U.S. Code, for the Department of Agriculture (7 CFR part 3018), Department of Labor (20 CFR Part 93), Department of Education (34 CFR Part 82), Department of Health and Human Services (45 CFR Part 93).

The undersigned contractor states that:

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 an officer or employee of Congress, or any employee of a Member of Congress 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.

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, and officer or employee of Congress, or an employee of a Member of Congress in connection with this 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.

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.

\* \* \* \* \*

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, 668 and 682), and Department of Health and Human Services (45 CFR Part 76).

The undersigned contractor certifies that it or its principals:

Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency

Have not within a three-year period preceding this proposal been convicted 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;

Are not presently indicted or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph 2 of this certification; and

Have not within a three-year period preceding this contract had one or more public transactions (federal, state, or local) terminated for cause or default.

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.

\* \* \* \* \*

Drug-Free Workplace: This certification is required by the Federal Regulations, implementing Sections 5151-5160 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 parts 85, 668 and 682) and Department of Health and Human Services (45 CFR Part 76).

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

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.

Establishing an on-going drug-free awareness program to inform employees of the dangers of drugs in the workplace, the Contractor's policy of maintaining a drug-free workplace, the availability of drug counseling, rehabilitation, and employee assistance programs; and the penalties that may be imposed on employees for drug abuse violations occurring in the workplace.

Providing each employee with a copy of the Contractor's policy statement.

Notifying the employees in the Contractor's policy statement that, as a condition of employment under the grant, employees will 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.

Notifying the grantor agency, Heart of Texas Workforce Development Board, Inc. in writing, within ten (10) calendar days of the Contractor's receipt of a notice of conviction of an employee.

Taking appropriate personnel action against an employee convicted of violating a criminal drug statute or requires such employee to participate in a drug abuse assistance or rehabilitation program.

These certifications are 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.

---

Signature Date

---

Title

**Attachment E**

**Certification Regarding Texas Corporate Franchise Tax**

**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 F**  
**Certification Regarding Conflict Of Interest**

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

- (1) No manager, employee or paid consultant of the Applicant is a member of the Board, or a manager of the Board;
- (2) No manager or paid consultant of the Applicant is a spouse to a member of the Board or a manager of the Board;
- (3) No member of the Board or an employee of the Board owns or controls more than ten percent (10%) in the Applicant;
- (4) No spouse of a member of the Board or employee of the Board is a manager or paid consultant of the Applicant;
- (5) No member of the Board, President, or employee of the Board receives compensation from Applicant for lobbying activities as defined in federal laws or Chapter 305 of the Texas Government Code;
- (6) Applicant has disclosed within the Proposal any interest, fact or circumstance that does or may present a potential conflict of interest;
- (7) Should applicant fail to abide by the foregoing covenants and affirmations regarding conflict of interest. Applicant shall not be entitled to the recovery of any costs or expenses incurred in relation to any contract with the Board and shall immediately refund to 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.

Name of Applicant: \_\_\_\_\_

Name/Title of Authorized Signatory: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Attachment G**  
**Assurances and Certifications**  
**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, Inc., or any employee of the Heart of Texas Workforce Development Board, Inc. 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 Board 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 Board prior to execution of a contract.

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

We understand and agree that the Board 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 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 H

### 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 I**  
**ADMINISTRATIVE MANAGEMENT SURVEY**

Proposing Organization: \_\_\_\_\_

Please answer the following questions regarding your administrative management system.

1. Does your organization have Articles of Incorporation or Charter?  Yes  No  N/A
2. Does your organization have written personnel policies?  Yes  No  N/A
3. Do your written personnel policies contain procedures for:
  - a. Employee recruitment, selection, and promotion based on ability, knowledge and skills?  Yes  No  N/A
  - b. Providing adequate and equitable compensation?  Yes  No  N/A
  - c. Training for employees to ensure high-quality performance?  Yes  No  N/A
  - d. Retraining employees based on the adequacy of their performance, and for making adequate efforts for correcting inadequate performance?  Yes  No  N/A
  - e. Assuring fair treatment of applicants and employees without regard to political affiliation, race, color, national origin, sex, age, physical handicap, or religious creed, with proper regard for their privacy and constitutional rights as a citizen?  Yes  No  N/A
  - f. Assuring that employees are protected against coercion for partisan political purposes and are prohibited from using their official authority for the purpose of interfering with or affecting the result of an election or nomination for office?  Yes  No  N/A
4. If your organization does not have the procedures noted above, can your personnel policies be revised to include these procedures?  Yes  No  N/A
5. Do your personnel policies contain a prohibition against nepotism?  Yes  No  N/A
6. Do your written personnel policies contain a prohibition against employees using their positions for private gain for themselves or other parties?  Yes  No  N/A
7. Does your organization have a travel policy for employees and authorized agents that provides for reimbursement for mileage and a per diem at a specified rate?  Yes  No  N/A
8. Does your organization have a written employee grievance procedure used to resolve employee complaints?  Yes  No  N/A
9. Does your organization have an EEO/Affirmative Action Plan?  Yes  No  N/A
10. Does your organization have the capacity or staff to produce and maintain customer records and other information?  Yes  No  N/A
11. If certain costs are determined to be disallowed, does your organization have a procedure or source for reimbursing such costs?  Yes  No  N/A
12. I certify that the information provided on this form and any accompanying attachments is an accurate and true representation of the administrative management systems of the organization.

\_\_\_\_\_  
Name of Organization

\_\_\_\_\_  
Typed/Printed Name and Title of Authorized Representative

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

\_\_\_\_\_  
Date



**ATTACHMENT J**  
**FINANCIAL SYSTEMS SURVEY**

Proposing Organization: \_\_\_\_\_

Please answer the following questions regarding your organization's financial systems.

1. Does your organization follow GAAP?  Yes  No  N/A
2. Does your accounting system:
  - a. Provide adequate control and accountability for all funds received, property, and other assets?  
 Yes  No  N/A
  - b. Provide for identification of the receipt and expenditure of funds separately for each funding source?  
 Yes  No  N/A
  - c. Provide adequate information to prepare monthly financial reports on an accrual basis?  
 Yes  No  N/A
  - d. Have the capability to track the allowability and allocation of costs in accordance with the requirements for federal grant programs?  
 Yes  No  N/A
3. Does the bank in which you will deposit contract funds insure the account(s) or put-up collateral or both equal to the largest sum of money, which would be in such account(s) at any point in time during the contract period?  
 Yes  No  N/A
4. Do you reconcile your bank accounts monthly?  Yes  No  N/A
5. Are the bank reconciliations made by the same person who performs record keeping for receipts, deposits, and disbursement transactions?  Yes  No  N/A
6. Do you record cash receipts and disbursement transactions on a daily basis?  Yes  No  N/A
7. Are the individuals or positions in your organization which hand the receipt or distribution of funds covered by a fidelity bond?  Yes  No  N/A
8. Does your organization perform an inventory audit at least once a year?  Yes  No  N/A
9. Does your organization maintain records on all property acquisition, disposition, and transfer?  
 Yes  No  N/A
10. Does your organization have written procedures and controls established for the procurement of goods and services?  Yes  No  N/A
11. Is a competitive bidding process incorporated into your purchasing procedures for the acquisition of subcontractors, major goods and services, equipment, and office space?  Yes  No  N/A
12. Are employee time records kept to support payroll disbursement?  Yes  No  N/A
13. Are records maintained to support authorized employee leave time?  Yes  No  N/A
14. Are complete records kept to support travel payments to employees or agents of your organization?  
 Yes  No  N/A
15. Does your organization maintain written accounting procedures?  Yes  No  N/A
16. Is your accounting system bound by any outside agency such as a local city or county government?  
 Yes  No  N/A

17. Does your organization have the capacity or staff to produce and maintain financial reports and other information as may be needed?  Yes  No  N/A

18. Does your organization undergo an annual audit by an independent firm?  Yes  No  N/A  
Submit copies of audits for the last 2 years as an attachment.

19. Does your organization have or will have in place the insurances required under this RFP?  
 Yes  No  N/A

20. Does your organization have an **indirect cost rate** with current approval by a cognizant agency?  
(Submit copy of plan or cognizant agency letter as an Attachment.)  Yes  No  N/A

I certify that the information provided on this form is an accurate and true representation of the financial systems of this organization.

---

Name of Organization

---

Typed/Printed Name and Title of Authorized Representative

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Signature of Authorized Signatory

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