



Request for Proposals

Workforce Alliance of the North Bay

For

Financial and Accounting Services for Workforce Innovation and Opportunity Act and Related Workforce Development Programs

ISSUE DATE: May 24, 2017

DUE DATE: June 7, 2017

The Workforce Alliance of the North Bay does not discriminate on the basis of sex, race, color, religion, disability, marital status, or national origin in employment or in its educational programs and activities. Auxiliary aids and services are available upon request to individuals with disabilities. Alternative formats will be made available upon request.

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A. Background

The Workforce Alliance of the North Bay (WANB) was formed in May 2016, as a Joint Powers Agency responsible for the policy making and implementation of the Workforce Innovation and Opportunity Act (WIOA) programs and services administered in Lake, Marin and Napa counties via their respective America's Job Centers of California (AJCCs). Mendocino County may join the WANB in June 2017, pending Governing Board approval.

The counties decided to merge for various reasons including common industries, labor pool/workforce and a desire to consolidate both the administrative and the planning functions from the three counties into a single governance structure. By working across county boundaries, the WANB provides several benefits. The workforce and the business community will gain an improved labor market information system, more efficient governance/administrative system that will achieve economies of scale; and inclusive and better-performing job centers.

The WANB Governing Board has a critical role in the creation and oversight the workforce system with the following responsibilities:

- Serve as the local WIOA grant recipient and bear the liability for funds flowing to the regional workforce development area.
- Determine the local administrative entity that will be the local grant recipient and fiscal agent for the disbursement of the funds.
- Determine the size and appoint members to the regional board based upon the criteria established by WIOA.
- In coordination with the regional board, produce and submit a comprehensive regional plan that meets all the requirements of WIOA.
- Work with the regional board and the Governor to negotiate local performance accountability measures as part of the local workforce strategic plan.
- In coordination with the regional board, develop workforce investment activities and approve providers of WIOA services.
- Approve and monitor as required the WIOA budget/expenditures, activities and performance outcomes including the one-stop delivery system.

The WANB is requesting proposals from qualified contractors to provide financial and accounting services. The contractor will enter into a contract agreement with the WANB. The contractor will receive and manage all formula WIOA and non-WIOA funds for WANB including but not limited to: Adult, Dislocated Worker, and Youth as well as special grants and other private, federal or state funds. The contractor will provide services related to general accounting and financial services, oversight for fund integrity, and collaborate with WANB staff in the technical assistance process.

The contractor will work closely with the Career Service Providers and the One-Stop Operators throughout the period of the contract. The contractor shall comply with all relevant federal and state confidentiality laws.

This contract is for consultant services; therefore, costs shall include all overhead, insurance, wages, and operating costs. The maximum possible contract award is \$70,000 for the term of FY 2017-2018, with additional funding and term to be determined and approved by the WANB annually.

B. RFP Timeline

ACTIVITY	DATE
Release RFP	May 24, 2017
End of questions period	May 31, 2017
All proposals due to WANB office 1814 Soscol Ave Napa, CA 94559 by 4:00 p.m.	June 7, 2017
Proposal Review	June 8, 2017
Interview candidates, if necessary	June 13, 2017
Award notification	June 14, 2017
Contract negotiations begin	June 15, 2017

Approval of contract	June 29, 2017
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This RFP will be in effect for three years from the date that notifications are sent to proposers. WANB may use this RFP to justify contracts/grants with a term start date within the three year time frame and for any necessary amendments to those agreements. The term of any agreements (and their amendments) do not need to conclude within the three year timeframe. The list of prequalified firms created through this RFP will be active for three years.

Schedule may change if necessary.

Any updates to the schedule or changes to the content of the RFP will be posted on the WANB website at this link: www.workforcealliancencorthbay.org

It is the respondent's responsibility to review all changes posted and adjust responses as needed.

C. Respondents' Questions

Respondents may request clarification or ask questions about this document by emailing bruce.wilson@countyofnapa.org through May 31, 2017. No phone or fax questions will be answered. Email subject line should say "Questions Regarding WANB RFP." Questions should refer to the specific RFP paragraph number and page and should clearly indicate the passage in question.

A consolidated list of questions and answers will be posted on the WANB website at this link: www.workforcealliancencorthbay.org . Respondents are responsible for reviewing the website and incorporating guidance as appropriate.

D. Scope of Work

1) Control of WANB Funds

- a. The contractor shall project cash needs and request cash to coincide with timely payment to WANB and its service providers and contractors.
- b. The contractor will receive and manage all funds in compliance with applicable state, federal, and WANB policy and fund-specific regulations; and ensure internal controls to maintain fiscal integrity.

- c. The contractor will not be required to conduct annual fiscal monitoring of Direct Career Service Providers and/or One-Stop Operators, but will work with WANB staff or oversight contractors in that pursuit.

2) Disbursement of Funds

- a. The contractor shall disburse funds in accordance with the WIOA, the WIOA Final Regulations and EDD grant specific requirements.
- b. Disbursements shall be made by the contractor from available funds at the direction of the WANB within a reasonable time following receipt of complete and accurate requests for reimbursement.
 - 1. Service and other contractors will submit periodic invoices, that will be reviewed by WANB staff and authorized for payment.
- c. The contractor will adhere to the applicable cost principles found in the OMB circulars. The OMB circulars are incorporated herein by reference and are further specified in program regulations at 29 CFR 95.27 and 29 CFR 97.22 d.

3) Accounting of Funds

- a. The contractor will maintain an accounting of all revenue, expenditures, program income, and applicable credits associated with all funds by funding stream for the duration of the term of its services. This accounting will also be accounted for in aggregate and for each county.
- b. The contractor will ensure that all financial procedures are in compliance with Generally Accepted Accounting Procedures (GAAP), OMB policies, Code of Federal Regulations (CFR), Federal Acquisition Regulations (FAR), and any other federal or state regulatory requirements.
- c. The contractor, to the best of its ability, will limit the risk of questioned or disallowed costs by working with WANB staff when irregularities are observed.
- d. The contractor will implement any invoicing system, or procedures deemed necessary by WANB in order to comply with its duties and responsibilities.
- e. The contractor will maintain an accounting of expenditures by expense type and service provider/vendor.
- f. The contractor will establish as necessary and maintain appropriate ledgers to manage obligations and expenditures of funds.
- g. The contractor will establish procedures and processes to ensure that all amounts payable to contractors, and/or vendors, are paid from existing funds and that proper documentation for each claim is maintained for monitoring and audit purposes.
- h. The contractor will establish procedures and processes to ensure that all amounts receivable or due to the WANB are collected and recorded on a timely basis.

- i. The contractor will maintain a record of all financial transactions for WIOA and other funds allocated and expended under the authority of WANB.
- j. The contractor will assist with processes and procedures for invoicing, proper documentation, and reporting from contractors to WANB.
- k. The contractor will consult with and prepare the cost allocation plan for the WANB.
- l. The contractor will establish a procedure to record and report all costs and matching funds (cash and in-kind).
- m. As requested, the contractor will provide training and technical assistance to WANB contractors on fiscal matters.

4) Financial & Grant Reporting

- a. To support the oversight role of the WANB, the contractor will prepare and disseminate financial reports on a monthly basis in formats prescribed by the WANB to identify revenues, expenditures, accounts payable, accounts receivable, and balances and obligations, by funding stream, and contractors.
- b. The contractor will work with the WANB and develop and provide standard financial reports as needed by the WANB, EDD or Career Service Providers and/or One-Stop Operators.
- c. The contractor will report on an accrual basis in accordance with the US Department of Labor and Office of Employment Training (OET) requirements and systems.
- d. The contractor will report total obligations by funding stream as required by WANB.
- e. The contractor will prepare required federal and state financial reports associated with management of grant funds.
- f. The contractor will provide reports and other assistance to the WANB so that WANB can monitor fiscal performance of all contractors and budgets.
- g. The contractor will be required to prepare financial reports and grant closeouts annually.
- h. The contractor will assist WANB and the Direct Career Service Providers and/or One-Stop Operators with the preparation of grant and contract budgets.
- i. The contractor will provide local allocation, expenditure and budget spreadsheets for WANB and Direct Career Service Providers and/or One-Stop Operators review on a monthly/year-to-date (YTD) basis.

5) Recovery/Reimbursement

- a. The contractor shall assist the WANB and/or EDD with the recovery of funds paid to a contractor or vendor that might be subsequently disallowed.

- b. The contractor shall reimburse the WANB and/or EDD for any funds paid to a contractor and subsequently disallowed, to the extent that such disallowed funds are recovered from the contractor.
- c. The contractor will not be responsible for funds disallowed at the contractor level.
- d. The contractor will be responsible for any theft or misappropriation of WANB funds and is required to carry commercial liability and a fidelity bond that meets WANB requirements.

6) Deliverables

The contractor shall be responsible for:

- a. Timely processing of invoices;
- b. Accounting of grant funds by funding stream;
- c. Cash management and cash requests;
- d. Monthly financial reports;
- e. Cooperation with the WANB, it's Governing Board, Direct Career Service Providers and/or One-Stop Operators, toward goals and objectives of the WANB.
- f. The contractor must participate in Direct Career Service Providers and/or One-Stop Operator's meetings as required and attend WANB meetings and other meetings called by the WANB as appropriate.

The contractor will be expected to participate in some Statewide Fiscal Officers meetings, when appropriate and directed by WANB.

7) Scope of Work Transition

The County of Marin (Department of Health and Human Services) is the current contractor. The transition of those functions will commence immediately with the execution of this contract, and the new contractor will work with Marin County to transition the systems, processes and procedures to successfully carry out the contractor functions. WANB staff will assist and aid in the transition as required.

- a. The contractor will budget and establish a plan with reasonable staff time to successfully transition the functions from Marin County.

E. Minimum Qualifications

This RFP is open to public agencies, non-profit agencies, for-profit agencies, proprietary business entities, independent consultants, or any other qualified service provider.

Respondents must have a minimum of three years of verifiable experience providing financial services similar to those described in the scope of work.

The WANB may make reasonable investigations deemed necessary and proper to determine the ability of contractor to perform the work, and the contractor shall furnish to WANB all information for this purpose that may be requested. Contractors may be required to submit satisfactory evidence that they have the necessary financial resources to perform and complete the work outlined in this RFP. Contractor will be paid on a cost reimbursement basis after satisfactory work has been completed and invoice submitted.

The WANB reserves the right to reject any proposal if the evidence submitted by, or investigation of the contractor fails to satisfy WANB that said contractor is properly qualified to carry out the obligations of the contract and to complete the work described therein.

No proposal will be accepted from, or contract awarded if, there is a pending or threatened litigation involving a contractor in which a claim is made that the contractor provided or furnished materially defective workmanship or materials and/or that the contractor failed to substantially comply with the contract terms and conditions.

F. Content of Response Package

Submissions in reply to this RFP must be in the form of a “response package” containing the response and all required supporting information and documents. Respondents are required to provide all information requested below and to clearly address the minimum qualifications noted above.

Unexplained omissions in the response package may disqualify the entire response package from review. Proposals received after the due date and time will not be considered. Postmark by the deadline shall not constitute receipt. Fax or electronically transmitted proposals will not be accepted. All proposals received are final. All proposals submitted become the property of WANB.

Submission requirements:

1. One complete response package may be submitted via email to bruce.wilson@countyofnapa.org. To the extent possible the entire response package should be submitted as one file attachment – either Microsoft Word or PDF.

2. Or, three hard copies and an electronic copy on a thumb drive of the complete response package may be delivered to Bruce Wilson, Executive Director, 1814 Soscol Avenue, Napa CA 94559.

To the extent possible, information in the response package should be presented in the following sequence:

1. Response cover letter with contact information, including an email address for the respondent.
2. Resume(s) of key staff including experience, education, and other factors relevant to the services described in this RFP. Be sure to include information about work similar to this project, as well as any related completed projects, education or training.
3. A statement listing all contracts (both public and private) over the last five years relevant to the services solicited. The statement must also list any failure or refusal to complete a contract, including details and dates.
4. A list containing at least three professional references who can verify the respondent's previous experience and outcomes. The list should include at a minimum: name of reference, title, company, phone number, and email address as well as relationship to the project. If letters of reference are submitted, current contact information for each reference is still required.
5. Provide a statement addressing the following items:
 - a. Summary of skills, resources, and experience relevant to this contract. Be sure to address the minimum qualifications.
 - b. An estimated cost per hour for providing the services listed in this RFP.
 - c. Confirmation that the firm and respondent are not suspended, debarred, or otherwise excluded from participation in federal or local programs.

G. Final Selection

The selection process will include an initial screening of the responses based on minimum qualifications. All qualified responses will then be evaluated by WANB staff. WANB has the option of conducting oral interviews as part of the selection process. If WANB opts to conduct interviews, the WANB may elect to only interview the most qualified respondents (based on the materials submitted).

H. General Information

Conditions of response package:

1. The proposal may not be altered in any way after submission.
2. The respondent agrees that the materials submitted become the property of the WANB.
3. The respondent agrees to comply with all WANB contracting requirements, including general liability, professional liability, workers' compensation and auto insurance coverage, equal opportunity and any other applicable federal, state, or local laws and regulations.
4. Respondent agrees that all costs incurred in developing this proposal are the Respondent's responsibility and at the Respondent's cost.
5. Respondent understands and agrees that any proposal may be rejected if it is conditional, incomplete and/or deviates from the specifications contained in this RFP. Respondent understands and agrees that minor defects may be waived at the discretion of the WANB.

Cancellation: The procurement process for this RFP may be delayed, suspended, or canceled if the WANB determines that to take such action is in the best interest of WANB.

Extendibility of Procurement Justification: This RFP procurement process, and the submissions received as a result of it, may be used to justify contractor grant funding decisions for other similar services and/or other funding that becomes available through WANB.

Awarding of the Contract:

1. All respondents will be notified in writing of the results of the evaluation of their submitted package. Receipt of a notification letter confirming the respondent met the minimum qualifications set forth in the RFP is **not a promise to contract for services**.
2. The tentative award may be conditioned on the inclusion of changes/additional terms. Negotiations over specific terms and language may be required
3. If WANB is unable to satisfactorily negotiate an agreement with a qualifying respondent, WANB may terminate negotiations with that respondent and proceed to negotiate with other qualified respondents. This process may be repeated until a satisfactory contractual agreement has been reached.

Right to Reject: The WANB reserves the right to reject any and all proposals or any part of any proposal, to waive minor defects or technicalities, or to solicit new

proposals on the same project or on a modified project which may include portions of the originally proposed project as the WANB may deem necessary in its interest. The WANB may also declare a failed procurement. Failed procurement occurs when no bids are received, or only one bid is received, or bids received do not meet responsiveness, or submission requirements or competition was determined inadequate. In the event of failed procurement, WANB has the option to reissue the RFP or enter into a noncompetitive procurement, in which case the standards for a noncompetitive procurement must be satisfied.

If the WANB determines that none of the proposals received offers a suitable solution to the request at a reasonable price, all proposals may be rejected. WANB will formally notify contractors of such rejection and/or of their non-selection under the RFQ process.

Appeals Process: Following the review and announcement of qualified bidders, WANB will accept appeals regarding the proposal process and determination of pre-qualified bidders. If the dispute or protest cannot be informally resolved, the following procedures for an appeal must be followed:

Submission of a written appeal that includes the following items:

- The full name, address, and telephone number of the appealing respondent. A brief statement of the reasons for appeal, including citations to the RFP and other pertinent documents.
- A statement of the relief sought.

Appeals must be submitted in writing to:

Bruce Wilson
Executive Director
Workforce Alliance of the North Bay
1814 Soscol Avenue
Napa, CA 94558

Request for appeals should be submitted within five (5) calendar days of the date of the letter notifying respondents of whether or not they met the minimum qualifications.

The decision by the Executive Director of the WANB on all appeals is final and any affected parties will be notified in writing of the outcome.