

**Genesee, Livingston, Orleans, Wyoming Workforce Development Board  
(GLOW WDB)  
Request For Proposals (RFP)  
Workforce Innovation and Opportunity Act (WIOA) of 2014  
FISCAL MONITORING  
Contract Period: November 1, 2021 to June 30, 2022**

*GLOW WDB may amend contracts based on performance and funding availability, and/or renew contracts for up to 3 subsequent, consecutive contract periods (September 1 through June 30) based on performance and funding availability through June 30, 2025. Performance is defined as meeting all deadlines and following up on all resolutions of findings.*

**Procurement Timeline**

<b>RFP Issued and Approved by:</b>	<b>GLOW WDB Executive Committee Thursday, August 19, 2021</b>
<b>Issue Date:</b>	<b>Friday, August 20, 2021</b>
<b>Maximum Contract Award:</b>	<b>Not to exceed <u>\$20,000</u> first year of contract; <u>\$21,000</u> of second program year (first renewable) of contract; <u>\$22,000</u> of third program year (second renewable); and <u>\$23,000</u> of fourth program year (third renewable) of contract. The total maximum that is able to be awarded under the multiyear RFP is <u>\$86,000</u>.</b>
<b>Question Deadline (email only):</b>	<b><u>Questions Due by Wednesday, 8/31/2021 to:</u> Jay Lazarony, GLOW WDB Executive Director, (585) 344-2042 x4212, Email: <a href="mailto:jay.lazarony@co.genesee.ny.us">jay.lazarony@co.genesee.ny.us</a> <u>Electronic Response posted as FAQs on</u> <a href="http://www.glowworks.org">www.glowworks.org</a> by: Thursday, 9/2/2021</b>
<b>Deadline For Submission:</b>	<b>Tuesday, September 14, 2021, 12 p.m.</b>
<b>GLOW Workforce Board Selection Approval:</b>	<b>Tuesday, September 21, 2021</b>
<b>Formal Award Notification:</b>	<b>Wednesday, September 22, 2021</b>
<b>Contract Development:</b>	<b>September 23 to October 31, 2021</b>
<b>Target Contract Start Date:</b>	<b>November 1, 2021</b>
<b>Contact Information:</b>	<b>Jay Lazarony, GLOW WDB Executive Director, (585) 344-2042 x4212, Email: <a href="mailto:jay.lazarony@co.genesee.ny.us">jay.lazarony@co.genesee.ny.us</a></b>

**Contracting Entity:**

GLOW Workforce Development Board  
587 East Main Street, Suite 100  
Batavia, NY 14020

## 1. **BACKGROUND:**

- The GLOW Workforce Development Board (WDB) is requesting proposals to provide fiscal monitoring to contractors who are receiving Workforce Innovation Opportunity Act (WIOA) funds. This is a federally funded program awarded to New York State who then subawards to the Genesee, Livingston Orleans, Wyoming Workforce Development Board (GLOW WDB).
- The GLOW WDB is a subrecipient of these federal funds and subject to monitoring by NYS Department of Labor. The GLOW WDB currently contracts Title I Adult, Dislocated Worker, and Youth Services to Genesee County Job Development Bureau, Livingston County Office of Workforce Development who is the Grant Recipient and monitored by NYSDOL, Orleans County Job Development Agency, Wyoming County Community Action, and Genesee Finger Lakes Regional Planning Council as the One Stop System Operator.
- The GLOW WDB is responsible for subrecipient monitoring for contracted service providers in accordance with the Uniform Guidance Code of Federal Regulations (CFR) (Part 200 Office of Management and Budget (OMB) Guidance, as well as WIOA Law, applicable WIOA specific TEGl's and NYSDOL Technical Advisories.
- Monitoring will include desk audits as well as site visits to GLOW WDB contractors.
- **Section WIOA §679.370(i)(1-3)** of the Workforce Innovation Opportunity Act (WIOA) requires the Local Board, in partnership with the Chief Local Elected Official (or the CLEO's designated fiscal agent) to conduct oversight of the WIOA programs and the One-Stop delivery system in the local area. 2 CFR 200.331 requires that recipients and sub recipients must continuously monitor grant-supported activities in accordance with the uniform administrative requirements at Title 29 CFR Parts 95 and 97, as applicable. 2 CFR 200.331 (d) & (e) requires that each recipient and sub recipient must conduct regular oversight and monitoring of its WIOA activities and those of its sub recipients. The purpose of this requirement is to ensure that expenditures meet the programmatic, cost category and cost limitation requirements of WIOA and the regulations, and to determine that there is compliance with other provisions of the WIOA regulations and other applicable laws and regulations, and to ensure that technical assistance is provided as needed. TA 19-4 2 CFR 200.330 Subrecipient and Contractor Determinations and 2 CFR 200.331 Requirements for Pass through Entities. Using the Subrecipient vs. Contractor Determination checklist attachment A, the GLOW WDB Executive Director along with the Livingston County Principle Account Clerk will make the determination if the non-federal entity is a Subrecipient or contractor.
- **Livingston County Office of Workforce Development is the Grant Recipient for the GLOW WDB and currently has four (4) contracted service providers**

## 2. **PURPOSE:**

The purpose of the Request for Proposal (RFP) is to obtain proposals from a qualified firm to conduct Annual Financial Management and Property Management and Procurement reviews. Both property management and procurement reviews are completed on a biennial basis and will be due the first year of this contract. All necessary fiscal monitoring review guides will be provided. ***Please refer to Page 7, Link to NYSDOL Review Guides.***

1. Annual Financial Management/Cost Allocation Reviews for Contracted Service Providers  
At least once each year, July through June, a financial management review will be initiated by 12/1 and completed by 6/30 for each contracted service provider. The review will determine the adequacy of internal controls and reliability of the sub-recipients financial management system as they relate to the contract and to ensure that sub-recipients meet the term and conditions of the contract, fiscal goals or requirements and that amounts reported are accurate, allowable, supported by documentation and properly allocated. A written report will be issued summarizing the visit and any exceptions found. Follow-up will occur within

90 days of issuance if any corrective action is required. The contractor will be responsible for ensuring the corrective actions have been implemented.

2. Biennial Property Management Review

Beginning in the second quarter, 12/1 of the program year and completed by the fourth quarter 6/30 of the same program year, the contractor will conduct a biennial on-site property management review of all sub-recipients and contracted service providers to determine if the sub-recipient maintains property management records, conducts physical inventory, has control systems in place to prevent loss, damage and theft and has adequate maintenance procedures. A written report will be issued summarizing the visit and any exceptions found. Follow-up will occur within 90 days of issuance if any corrective action is required. The contractor will be responsible for ensuring the corrective actions have been implemented.

3. Biennial Procurement Management Review

Beginning in the second quarter, 12/1 of the program year and completed by the fourth quarter 6/30 of the same program year, the contractor will conduct a biennial on-site procurement review of all sub-recipients and contracted service providers to determine if the sub-recipient's policies and procedures are comprehensive and contain provisions per the One-Stop Comprehensive Financial Management Technical Assistance Guide (TAG), follow stated policies and procedures, are properly supported and documented, ensure that all goods and services are competitively procured and contracts contain provisions of the TAG. A written report will be issued summarizing the visit and any exceptions found. Follow-up will occur within 90 days of issuance if any corrective action is required. The contractor will be responsible for ensuring the corrective actions have been implemented.

The GLOW WDB intends to obligate up to a maximum of **\$86,000** for a multiyear fiscal monitoring RFP for this reimbursement-based contract. At its discretion, the Board may amend contracts based on performance and funding availability, and/or renew contracts for up to 3 consecutive contract periods (September 1 through June 30). Performance is defined as initiating all reviews by 12/1 of any program year and completing all reviews by 6/30; meeting all deadlines; and following up on all resolutions of findings. The successful bidder will receive up to **\$20,000** in the first year with an increase per renewable program year based on successful performance, funding availability, and the GLOW WDB approval. The first renewable program year the contractor will receive **\$21,000**; the second renewable program year the contractor will receive **\$22,100**. The third renewable program year the contractor will receive **\$23,000**. The total maximum that is able to be awarded under the multiyear RFP is **\$86,000**.

3. **ALLOWABLE EXPENSES**

Salaries and fringe, supplies, travel, printed materials are allowable expenses with documentation. Expenses must follow your agency's transportation and procurement policies and procedures. **Please provide these policies and procedures with proposal.** No Equipment purchases can be made under this contract. The contractor will submit monthly vouchers for reimbursable expenses.

4. **MONITORING**

The financial review will be done on an annual basis. The property and procurement review will be conducted on a biennial basis. All reviews are to be initiated by 12/1 of the program year and completed by 6/30. The contractor will follow the auditing and monitoring guides provided by NYSDOL FOTA. (*Local Workforce Development Area's Program, Fiscal & Performance Monitoring*

Guide for Subrecipients). The GLOW WDB and Grant Recipient will take possession of the final work product. *Please refer to Page 7, Link to NYSDOL Review Guides.*

## **5. APPLICANT ELIGIBILITY**

The WIOA Joint Final Rule requires Local Workforce Development Boards to use a competitive process based on local procurement policies and procedures, and the principles of competitive procurement in the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) at 2 CFR part 200 and 2 CFR part 2900, which may be found at <http://www.ecfr.gov>.

The awarded Monitoring Contractor may be a single entity (public, private, or non-profit) or a consortium of entities.

### **Qualifications for Bidders are:**

- An understanding of the Workforce Innovation and Opportunity Act and understanding of the local workforce system and its stakeholders. *Please refer to Page 7, Links to WIOA Law and Technical Advisories and [www.glowworks.org](http://www.glowworks.org).*
- Experience in completing Financial Management reviews, along with Property and Procurement reviews. Review Guide provided.
- **Audit firms or Audit professionals familiar with the performance of Single Audits and/or familiar with the Uniform Guidance, specifically 2 CFR Part 200, Appendix XI Compliance Supplement**
- Work closely with the grant recipient and Workforce Development Board to ensure GLOW contractors are providing the requirement documentation for all reviews, and are completing any corrective actions necessary to resolve the issue, and bring the review to a close.

## **6. SELECTION PROCESS**

The review process presented here represents an outline of the process that will be used by the Board in an attempt to identify a qualified entity to be considered for contract negotiation. The highest scoring proposal does not automatically become the Board's selection for contract negotiation. The GLOW WDB will consider the evaluation results and subsequent recommendations from the independent WDB members who have been involved in any aspect of the review process. All selections will be made free from real or perceived conflicts of interest to ensure that this free and open competitive procurement action is not jeopardized.

Minimum standards of review - A proposal must meet the following minimum standards before being considered for funding:

1. **Submission** - Submitted by the deadline
2. **Completeness** - Contains all required information and forms
3. **Format** - Complies completely with proposal instructions

*Note: Respondents may be required to present additional materials to the WDB Review Committee prior to determination of final selection.*

**Evaluation Process** - The process for evaluating proposals submitted in response to this Request includes:

1. Review and scoring by Independent Review Team
2. Review and approval by the WDB

## **A. Proposal Rating**

All proposals received by the deadline will be read and rated by a review committee. The average scores from the raters for the qualified proposals will be ranked numerically to develop a ranked list for each program. An overall minimum rating score of 70 must be achieved in order to be considered.

### **1) Design and Responsiveness of Program – 60 Points**

- Does the proposal illustrate the bidder's ability to effectively complete Financial Management, Property and procurement reviews? (20 points)
- Does the proposal show that the bidder's ability to conduct biennially on-site property management reviews of all sub-recipients and contracted service providers to determine if the sub-recipient maintains property management records, conducts physical inventory, has control systems in place to prevent loss, damage and theft (20 points)
- Does the proposal illustrate the bidder's ability to conduct on-site procurement reviews of all sub-recipients and contracted service providers to determine if the sub-recipient's policies and procedures are comprehensive and contain provisions per the One-stop Comprehensive Financial Management Assistance Guide (TAG), follow stated policies and procedures, are properly supported and documented, ensure that all goods and services are competitively procured and contracts provisions of the TAG.(20 points)

### **2) Qualifications of Bidder -- 20 Points**

- Is staff qualified to provide the activities/services? Are resumes provided for each staff? Is percentage of time spent on program provided for staff involved in the program? (10 points)
- Does the bidder have adequate administrative experience to operate the activities/services proposed? (5 points)
- Does the bidder have prior successful experience and a demonstrated record of meeting performance? (5 points)

### **3) Costs -- 20 Points**

- Are the costs justified and reasonable for the activities/services proposed and within the maximum cost allowable? (10 points)
- Does bidder have adequate personnel and financial systems in place to ensure costs are properly allocated? (10 points) (Include last audit report.)

## **Funding Recommendations**

Recommendation for funding will be based on the following:

- The ranked score of the proposal
- Prior administrative performance

**Notification and Debriefing** - All respondents will be notified in writing of the outcome of the proposal review process. Once respondents are notified of the outcome of the procurement process, any proposer may request a debriefing explaining their proposal's evaluation. Such requests may be made in writing to Jay Lazarony, Executive Director, and email: [jlazarony@co.genesee.ny.us](mailto:jlazarony@co.genesee.ny.us)

## **7. PROPOSER INQUIRY AND APPEAL PROCESS**

Respondents who believe that they have been treated unfairly in the proposal review process or that there is a violation of federal law or regulation may file a protest. All respondents will receive a copy of the results of the procurement within fifteen (15) working days of the final decision. Respondents

whose proposals are rejected will receive a letter of notification. Letters of protest must be submitted and arrive in the office of the GLOW WDB within fifteen (15) days of the date of the notice of rejection. Letters must be specific as to the inquiry or protest. Protests not submitted in writing, not specific in nature, or that arrive late may not be considered. Letters must be addressed as follows: Jay Lazarony, Executive Director.

Upon receipt of letter, the Executive Director or his/her designee will contact the respondent to arrange for an appeals conference. A Committee of the GLOW WDB will form an Appeals Committee and attend the Appeals Conference. At the conclusion of the conference, the Committee will determine if there is sufficient reason to have the WDB reconsider the decision in question.

## **8. PROPOSAL INSTRUCTIONS**

### **Deadline**

**Proposals submitted in response to this RFP must be received as a Word or PDF file document no later than Tuesday, September 14, 2021 12 p.m. via email (subject line to read “Fiscal Monitoring Proposal for GLOW WDB”) to Michele Nichols, GLOW WDB Assistant, Email: [Michele.Nichols@co.genesee.ny.us](mailto:Michele.Nichols@co.genesee.ny.us)**

All Proposals received on/or before the deadline and that comply with all RFP requirements will be reviewed and considered for funding.

## **9. FORMAT OF PROPOSAL**

- A single optimized PDF document or Word Document
- Arranged in proper order
- Not to exceed four (4) pages of narrative
- Formatted to 8.5 x 11 paper size using 12 point Times New Roman font with 1 inch margins
- Text lines may be single spaced
- All pages of narrative section must be numbered and contain the applicant name as the footer
- Quantify hours of service and other crucial components of service delivery
- Any proposed collaboration must be supported by detail
- Be concise and avoid extraneous references and unnecessary detail
- Submit budget that must include hourly reimbursement rate in the proposal. Details should include staff title and hourly rate by staff level along with any specific staff level credentials. The rate should be inclusive and detail all expenses, i.e., travel etc.

### **Content Requirements**

Organizations with interest in providing the required services should submit a proposal narrative of not more than four (4) pages that outlines the following information:

- The organization of the entity’s understanding and experience in workforce development, including the local system, and/or of WIOA and WIA.
- Overview of the organization or entity’s previous experience facilitating large, diverse stakeholder groups to a common goal or outcome is expected. Specific examples are strongly encouraged. What is your approach in navigating and resolving challenging partnerships?
- Description of the organization or entity’s expected client engagement approach. Frequency and methods of communication, expected approach in meeting agenda development, planning and execution, etc.
- Other information, experience, or products deemed relevant to this solicitation.

**Required attachments will not count against the narrative page total. Such attachments include:**

- Resumes of key staff who will be assigned to this project and their roles on the project
- Budget to include hourly rate, and expenses included within the hourly rate calculation;
- Three recent (last 5 years) references

**Link to NYSDOL Review Guides:**

<https://dol.ny.gov/monitoring-guides#fiscal-monitoring-of-local-areas> – See Fiscal Monitoring of Local Areas section – each review topic has its associated guide posted. Please be aware that guides are subject to change if/when updates become necessary or available and up to the discretion of GLOW WDB.

**Links to WIOA Law and Technical Advisories**

WIOA Law: <https://www.congress.gov/113/bills/hr803/BILLS-113hr803enr.pdf>;

NYSDOL Technical Advisory (see embedded reference links included in the Technical Advisory document as well); Monitoring – Subrecipient Oversight and Monitoring Responsibilities for Chief Elected Officials (CEOs) and Local Workforce Development Boards (LWDBs)

<https://dol.ny.gov/system/files/documents/2021/03/ta-19-04.pdf>

Easily searchable and direct links to the Electronic CFR are as follows:

PART 679 - STATEWIDE AND LOCAL GOVERNANCE OF THE WORKFORCE DEVELOPMENT SYSTEM UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT

<https://ecfr.federalregister.gov/current/title-20/chapter-V/part-679>

PART 680 - ADULT AND DISLOCATED WORKER ACTIVITIES UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT <https://ecfr.federalregister.gov/current/title-20/chapter-V/part-680?toc=1>;

PART 681 - YOUTH ACTIVITIES UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT

<https://ecfr.federalregister.gov/current/title-20/chapter-V/part-681>;

PART 682 - STATEWIDE ACTIVITIES UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT <https://ecfr.federalregister.gov/current/title-20/chapter-V/part-682>;

PART 683 - ADMINISTRATIVE PROVISIONS UNDER TITLE I OF THE WORKFORCE INNOVATION AND OPPORTUNITY ACT <https://ecfr.federalregister.gov/current/title-20/chapter-V/part-683>