



**Yuma County's Workforce Development Board (YCLWDB)**  
**Adult and Dislocated Workers**  
**Request for Proposals (RFP)**

**Schedule**

<b>ACTIVITY (All times are local Arizona time)</b>	<b>Date</b>
Issue Date	January 19, 2021
Solicitation Questions Due (4:00 p.m.)	January 27, 2021
Solicitation Questions Answered Posted on the YPIC and ARIZONA@WORK website (4:00 p.m.)	February 5, 2021
Solicitation Conference/Technical Assistance Session (2:00 – 4:00 p.m. by electronic meeting, In adherence to the current Covid-19 restriction)	February 12, 2021
Solicitation Sealed Proposal Receipt Deadline (3:00 p.m.)	March 5, 2021
Review Committee	Date and time to be determined
Tentative Award Date	April 14, 2021
Final Contract Negotiations	April 30, 2021
Contract Term:	July 1, 2021 – June 30, 2022

**Submit proposals and requests for alternate formats to:**

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 Yuma, AZ 85364  
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[ADWRFP@ypic.com](mailto:ADWRFP@ypic.com)

RFP websites: [www.ypic.com](http://www.ypic.com) and <https://arizonaatwork.com/locations/yuma-county>

This RFP does not commit the YCLWDB to award any agreement. All dates subject to change.

This is an Equal Opportunity Employer/Program. Auxiliary Aids and Services are Available upon Request to Individuals with Disabilities.

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# SECTION ONE

## 1.1 Introduction:

The Yuma Private Industry Council, Inc. on behalf of the Yuma County Local Workforce Development Board (YCLWDB, is seeking contractors to coordinate integrated workforce and employment services within Yuma County in compliance with all federal Workforce Innovation and Opportunity Act (WIOA) regulations.

Yuma County is in the southwestern corner of the U.S. in the State of Arizona. As of the 2010 census, its population was 196,160. According to the Arizona Office of Economic Opportunity, the population for Yuma County in 2019 was estimated to be 229,957. Yuma County includes the Yuma, Arizona Metropolitan Statistical Area. The county borders three States: Sonora, Mexico, to the South, and two other States to the West, across the Colorado River: California of the United States and the Mexican State of Baja California.

Agriculture is a \$3 billion business annually, employing tens of thousands of workers at minimum wage. During the winter agricultural season from November to March, some 40,000 Mexican workers cross the border daily to work in United States fields. The area is watered by the Colorado River, and the sector supplies a large part of the US leafy vegetables.

Yuma County has a five-member Board of Supervisors. The Board of Supervisors has focused on these 11 targeted industries:

- Manufacturing
- Renewable Energy
- Transportation and Warehousing
- Healthcare
- Agriculture, Forestry, Fishing, and Hunting
- Professional Scientific and Technical Services
- Construction
- Accommodation and Food Services
- Public Administration
- Other Services (except Public Administration)
- Administrative and Waste Services

## 1.2 Background:

Congress passed the Workforce Innovation and Opportunity Act (WIOA) in July 2014, which became effective July 1, 2015. WIOA opens the door to states' greater use of sector partnerships and career pathway models and includes higher levels of accountability and outcome data reporting. WIOA is designed to build and support a demand-driven workforce system that helps job seekers access employment, education, training, and support services to succeed in the labor market and to match companies with the skilled workers they need to compete in the global economy. Congress passed the Act by a wide bipartisan majority; it is the first legislative reform of the public workforce system in 15 years. WIOA supersedes

the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973.

Governor Ducey identified Arizona's 12 local workforce development areas as required under WIOA (Public Law 113-128) in June 2015. This included the designation of Yuma County as a Local Workforce Development Area. In Arizona, this public workforce system operates under the brand of ARIZONA@WORK.

The Yuma County Board of Supervisors serves as the Chief Elected Officials (CEO's) and Yuma County has been granted WIOA Local Area designation by the Governor of Arizona and certified by the Workforce Arizona Council (WAC). The CEO has appointed the Yuma Private Industry Council, Inc. (YPIC) to function as the Yuma County Local Workforce Development Board (YCLWDB). Incorporated as a 501(c) (3), YPIC promotes and develops a workforce system that is responsive to the needs of business and job seekers resulting in increased economic prosperity in the county. YPIC is also the fiscal agent for all local WIOA Title I, Adult, Dislocated Worker and Youth funding. The following cities and municipalities/incorporated and unincorporated areas and census designated areas:

- Cities and municipalities/incorporated: Cities of Yuma, San Luis, and Somerton
- Unincorporated Communities: Mohawk, Roll, Wellton, and Gadsden
- Census Designated Areas: Tacna and Dateland

### **1.3 Purposes of the Workforce Innovation and Opportunity Act (WIOA):**

To provide workforce investment activities through statewide and local workforce development systems that increase the employment, retention, earnings of participants, and increase attainment of recognized postsecondary credentials by participants, and as a result, improve the quality of the workforce, reduce welfare dependency, increase economic self-sufficiency, meet the skill requirements of employers, and enhance the productivity and competitiveness of the Nation. (Workforce Innovation and Opportunity Act, Public Law 113-128, Sec. 2)

### **1.4 Target Population and Geographic Areas:**

- The target populations are: WIOA eligible Adults and Dislocated Workers ages 18 and older;
- Priority of Service: The following individuals are those other than low-income adults and public assistance recipients, who must be given priority by law:
  - 1) Veterans and military spouses;
  - 2) Individuals with disabilities;
  - 3) Individuals with substantial language or cultural barriers;
  - 4) Homeless individuals;
  - 5) Public assistance recipients;
  - 6) Low-income adults;
  - 7) Other hard to serve populations as defined by the Governor such as;
    - a. Older workers
    - b. Displaced homemakers
    - c. Individuals with multiple barriers to employment
    - d. Offenders

### **Veteran's Priority of Service:**

The YCLWDA must ensure that all eligible Veterans are identified at the point of entry and given an opportunity to take full advantage of the priority of service. Individuals meeting the eligibility criteria will be afforded priority over individuals who are not Veterans.

Additionally, the YCLWDA will ensure that all Veterans are made aware of their entitlement to the priority of service, the full array of employment, training, and placement services available under the priority of services, and any applicable eligibility requirements for those programs and/or services.

It is critical for the proposer to identify and describe how the targeted population is determined in need of training. In addition, the proposer must ensure training is not being provided by mandated partners; the proposed training will benefit the participant, and will contribute to meeting performance measures. Training shall be linked directly linked to high in demand occupations in the local area. The Proposer must ensure accessibility, equal opportunity and non-discrimination to all individuals and comply with provisions.

### **1.5 Qualified Applicants:**

Any private for-profit business entity, private nonprofit corporation, institutes of higher education or public entity may apply for available funds. An organization, agency, or company submitting a proposal must do so as an individual organization and must be prepared to either deliver the planned WIOA services directly or to enter into an agreement with appropriate providers. For more information, please see [Federal Register 20 CFR 684.200](#)

Entities that are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any Federal department or agency are not eligible to respond to this RFP or to receive a contract in accordance to 29 CFR, part 98.

Proposers must disclose and rectify any and all outstanding monitoring auditing concerns from any of the respondent's previous other contracts prior to accomplishing the scope of work and objectives stated in this RFP. Proposers are expected to have the technical competence, knowledge, expertise in management and administration, the professional staff, and fiscal management systems to accomplish the scope of work, goals and objectives stated in this RFP. Furthermore, proposers must meet high standards of public service and fiduciary responsibility. Proposers are responsible for being knowledgeable of all laws, regulations, and policies of the specific funding sources involved as well as applying them in developing the RFP response.

Each proposer must already be registered through the System of Award Management (SAM). If not registered, the proposer will be immediately disqualified.

### **1.6 Contracts:**

There are two contract options; proposers may opt to submit proposals for any of the categories listed below. *Separate proposals must be submitted for each of the categories.*

- **Adults:** Full Services: Career Services, Training Services, and Follow Up Services.
- **Dislocated Workers:** Full Services: Career Services, Training Services, and Follow Up Services.

## **1.7 Scope of Work:**

The proposer to this RFP will begin serving Adult and Dislocated Worker starting on July 1, 2021 and end on June 30, 2022. The hours of operation must coincide with the One Stop Center. The current hours are Monday – Friday 8:00 am – 5:00 pm (one hour of administrative time per week is negotiable). Non-traditional hours can be scheduled to accommodate special needs of the local economy and community. The holidays will be negotiated with the proposer.

The YCLWDB seeks service provider(s) that have vision, innovation, accountability, and effective use of resources in workforce development programs. In the interest of establishing seamless service delivery for all prospective clients, and in keeping with the spirit of WIOA as it pertains to the participation the service provider(s) will operate in the most effective and integrated manner possible. The proposer will ensure customer flow through a seamless service using the ISDS and CRS to identify the needs of the jobseekers. This includes offering virtual and in person services.

Under WIOA, Adult and Dislocated Worker programs are designed to provide quality employment and training services to assist eligible individuals in seeking and obtaining meaningful employment. Moreover, through WIOA Adult and Dislocated Worker Programs employers receive assistance with finding the skilled workers they need to compete and succeed in business.–Proposer will be responsible for recruitments of job seekers and business for WIOA services. All recruitment and marketing materials must have the appropriate tag lines.

### **1.7.1 WIOA Registration/Eligibility Determination and Verification:**

Contractors are responsible for determining eligibility, suitability, identifying barriers and collecting and verifying all necessary eligibility documents. These verification documents must be maintained electronically. Electronic files are subject to ongoing review by the YCLWDB staff and it is recommended for contract supervisors to confirm eligibility and review data entered. The proposer may request technical assistance as needed to help assure compliance with eligibility requirements. The proposer will have 15 business days to enter data in the AJC system. The YCLWDB staff will provide technical assistance at the request of the proposer on the eligibility determination process, how to use the Integrated Services Delivery System (ISDS), and use the State WIOA database reporting system known as Arizona Job Connection (AJC) and any other data internal management systems.

### **1.7.2 Initial Assessment:**

WIOA requires that Adult and Dislocated Workers service contractors administer or obtain a thorough and in-depth assessment of the academic level, skill levels, and service needs of each participant prior to enrollment into individualize and/or training WIOA. For basic academic skills, the YCLWDB requires that contractors use the Tests of Adult Basic

Education (TABE). Other assessment tools should be utilized for assessing career interests and aptitudes, etc.

### **1.7.3 Case Management:**

The selected proposer will deliver high quality career services that create training and employment opportunities for economic and career success connecting jobseekers with employer-driven job placement. The proposer will need to seek and contact prospective employers to develop on-the-job training, internships and work experience. The selected proposer will engage participants at a meaningful frequency (bi-weekly), driven by needs and career interest and goals, as well as the scope and objectives of the program. The proposer will document such engagement appropriately in the participant case files. The proposer will maintain an even distributed caseload per staff member. All case notes and documents must be kept confidential.

### **1.7.4 Career Services:**

There are three types of “**Career Services**” basic career services, individualized career services, and follow-up services. These services can be provided in any order; there is no sequence requirement for these services. Career services under this approach provide local areas and service providers with the flexibility to target services to the needs of the customer. The three categories of career services are listed as follows and defined in [State Policy Chapter 2 - Section 100](#) and [Federal Register](#).

1. **Basic Career Services:** Basic career services must be made available to all adults and dislocated worker accessing the one-stop delivery system in each Local Workforce Development Areas; however, not all individuals will receive all services. When an adult receives a basic career service that requires significant staff assistance, he or she must be enrolled in either the WIOA Adult or Dislocated Worker program.
2. **Individualized Career Services:** Individualized career services must be made available to eligible adults accessing the one-stop delivery system and based on the needs of the individual customer in each LWDA when an LWDA determines additional services beyond basic career services are required to obtain or retain employment; however, not all individuals will receive all services. Adults must meet the local eligibility requirements to be enrolled in order to receive individualized career services, and LWDA must collect documentation for the priority of service for adults enrolled in the WIOA adult and dislocated worker program. Individualized career services must include:
  - Comprehensive and specialized assessments;
  - Development of an Individual Employment Plan (IEP);
  - Group and/or individual counseling and mentoring;
  - Career planning;
  - Case management;
  - Short-term pre-vocational services;
  - Internships and Work Experience (WEX)
  - Workforce Preparation Activities
  - Financial Literacy Services
  - Out-of-state are job search

- Assistance and relocation assistance
3. **Follow-Up Services:** The contractor shall provide a minimum of 12 months of follow-up services to clients who have obtained unsubsidized employment and exit the WIOA adult and dislocated workers program to promote job retention, wage gains, and career progress. For more information on follow-up services, please see [State Policy Chapter 2 - Section 100](#) and [YCLWDB Follow-Up Services Policy](#).

### **1.7.5 Training Services:**

Training services are available to assist individuals in gaining the skills and knowledge to obtain and retain employment. The contractor must utilize and promote the trainings listed on the Eligible Training Provider List (ETPL). For more information on training services, please see the State Training Service Policy, [State Policy Section 500](#) and [YCLWDB Training Policy](#) Example of Training Services may include:

- Occupational Skills training;
- On-The-Job training;
- Registered Apprenticeship;
- Incumbent Worker Training;
- Workplace Training and Cooperative Education Programs;
- Private Sector Training Programs;
- Skill Upgrading and Retraining;
- Entrepreneurial Training;
- Transitional Jobs;
- Adult Education and Literacy activities; and
- Customized Training.

#### **a. On-The-Job Training (OJT):**

Training provided under a contract with an employer who is reimbursed a percentage of the wage rate of the participant being trained while engaged in productive work in a job to help them prepare for long-term unsubsidized employment. Yuma County may contract with neighboring States to provide OJT training; this will be considered on a case by case basis and must be approved by the YCLWDB:

- Yuma County's policy is to reimburse up to 50% of the wage rate of an OJT;
- OJT duration is based on an academic skill, identified training need, prior work experience, position training required and the wage amount to be reimbursed;
- OJT can be provided to eligible existing workers if; the employee is not earning a self-sufficient wage, the employee needs to learn new technologies, production and/or service procedures, upgrading to new job duties that include the need to increase workplace literacy;
- OJT may be written for Registered Apprenticeship programs or participating employers in a registered apprenticeship program to cover the on-the-job training portion. For more information refer to the YCLWDB'S training policy link [On-The-Job Training](#).

OJT Contracts will be written **only** for permanent in demand occupational positions and must be for full time. **Maximum training time will not exceed 1040 hours and will not exceed six months** unless the contract is modified due to the actual training hours not being completed within a six month period.

**b. Measureable Skills Gains:**

The proposer will ensure Measurable Skill Gains is achieved when participants are in education or training programs leading to recognized postsecondary credential or employment as outlined in the measurable skills gains performance measure. Refer to [YCLWDB Measurable Skill Gains Policy](#). Section 116 of WIOA establishes performance accountability on measurable skills gain to assess the effectiveness and achieve positive outcomes for individuals served by the Workforce Development Systems, which includes Adult and Dislocated Worker.

**c. Incentives:**

Incentives may be awarded to WIOA Adult and Dislocated Worker participants to motivate, encourage, or congratulate when certain milestone, goals and/or activities are completed. WIOA incentives may not be used for recruitment and eligibility determination. Contractors are encouraged to provide such incentive awards but must not exceed the limited amounts as outlined in the policy. For more information on Incentives, please see YCLWDB's Adult Incentive Payment Policy link [Incentives](#).

**d. Support Services:**

The contractor shall provide supportive services on an on-going basis to assist all target populations in overcoming barriers that are hindering self-sufficiency. These services must be available for participants who may need additional assistance, as determined through comprehensive assessment and meet the local eligibility requirements. (i.e. assistance with transportation, work-related attire and equipment, and needs-related payments) as outlined in the supportive services policy. For more information on Support Services, please see YCLWDB's Adult and Dislocated Worker Supportive Service Policy link [Support Services](#).

**1.7.6 Performance Measures:**

WIOA Section 116 (2) (A) establishes performance accountability measures that apply across the core programs to assess the effectiveness of states and local areas in achieving positive outcomes for individuals served by those programs. The proposer is required to meet or exceed all six performance measures listed below. This includes the measure on Effectiveness in Serving Employers. Proposers failing to meet the performance measures after receiving technical guidance will be placed on corrective action, probation or possible loss of contract.

Below is the chart showing PY2021 Performance Goals negotiated by YCLWDB with the State. For more information on Performance Measure, please click on the link [TEGL 10-16 Change 1](#).

<b>Adult</b>	<b>Final Negotiated Targets for PY2021</b>
Employment 2 <sup>nd</sup> Quarter after exit	76.9%
Employment 4 <sup>th</sup> Quarter after exit	71.4%
Median Earnings in the 2 <sup>nd</sup> quarter after exit	\$5,400
Credential attainment rate	66.0%
Measurable Skills Gain	59.2%
<b>Dislocated Worker</b>	
Employment 2 <sup>nd</sup> Quarter after exit	78.0%
Employment 4 <sup>th</sup> Quarter after exit	75.0%
Median Earnings in the 2 <sup>nd</sup> quarter after exit	\$5,400
Credential attainment rate	71.1%
Measurable Skills Gain	50.0%

## **1.8 Reporting Requirements:**

Proposer will be required to utilize various data management systems to submit monthly/quarterly reports as outlined in the section below. Proposers will report monthly to the YCLWDB staff on actual levels of service and performance goals progress. Proposer will meet quarterly to review program outcomes and budgets expenditures.

### **1.8.1 Providers Report (inconclusive list listed below)**

<b>Monthly</b>	<b>Quarterly</b>
Total number of participant served	Equal Employment Opportunity (EEO)
Number of participants placed	Americans with Disability Act (ADA)
Number of participants training	

### **1.8.2 Customer Tracking Systems**

Proposer will be required to use the various data management systems for provision of all customer and business services. In addition to reporting and tracking customers through the various programs, partners must submit monthly reports that document outcomes on agreed-upon key benchmarks.

The proposer will be accountable for the integrity of the data presented and responsible for ensuring that staff is appropriately trained in the use of the systems. The proposer will be responsible for developing, implementing, and overseeing processes to collect, manage, and utilize information provided by the system. The proposer will ensure all data entry, including case notes are entered into the AJC system within 15 business days.

### **1.8.3 Client Referral System (CRS)**

The CRS system is the central component for referring customers between partners. The system is an internet-based to ensure that all partners are allowed to utilize the system to improve overall system effectiveness and maximize co-enrollments. The referral process provides timely and effective support that ensures that an appropriate plan of action for clients is initiated and properly tracks the client's referrals to services providers and community partners. The proposer will be responsible to follow-up on every referral

received and/or referred-out as well as making contact with the referred participants. ***The proposer will be required to utilize the YCLWDB data system.***

#### **1.8.4 Integrated Services Delivery System (ISDS)**

The ISDS allows the proposer to track customer navigation through the system. The database also provides detailed reports of customer visits. It is an important internal support tool that complements the Arizona Job Connection (AJC) System. This shared database greatly reduces the duplication of services. In addition, the ISDS has a user's manual for the ISDS Self-Registration Kiosk via touch screen. The manual explains the features, provides a general overview of the system and establishes the ISDS Self-Registration Kiosk as an *integral* component of the ISDS. ***The proposer will be required to utilize the YCLWDB data system.***

#### **1.8.5 File Maintenance:**

The proposer shall maintain all records pertinent to WIOA Title I adults and dislocated worker grant agreements and contracts, including financial, statistical, property, participant records, and supporting documentation in accordance with Federal and State requirements and the YCLWDB's record retention policies. Electronic case files must include a variety of documentation including, but not limited to; program eligibility, suitability, assessment data, Individual Employment Plans (IEP), regular case notes (entered at least bi-weekly), progress reports, and attendance sheets for individuals receiving training services. Participant's progress and outcomes will be tracked through the Arizona Job Connection. Participant's files are required to be in electronic format.

#### **1.8.6 Monitoring and Evaluation:**

The YCLWDB staff is required to evaluate and monitor the proposer to verify that customers of WIOA funded programs are receiving the most comprehensive services, to ensure program compliance, and to evaluate the effectiveness of the service strategies. External monitoring and evaluation may also be conducted periodically by the U.S. Department of Labor, State of Arizona, State Workforce Arizona Council, and any other agency that provides funds used by the YCLWDB to contract for services in the area's workforce system.

#### **1.8.7 Confidentiality Guidelines:**

- Personally Identifiable Information (PII) and other sensitive information must be protected at all times (TEGL 39-11).
- Maintain confidentiality when accessing or utilizing AJC and maintain computer equipment with compatible software.
- All PII documents must be disposed either by shredding or placed in the locked bin provided.
- Retain records in compliance with federal and state WIOA requirements 2 CFR 200.333 and the ARIZONA@WORK – Yuma County Records Management and Retention Policy.

## 1.9 PURPOSE

### Purpose Statement

It is the purpose of this proposal to identify qualified providers (contractors) for Adult and Dislocated Workers **Career and Training Services** under the Workforce Innovation and Opportunity Act (Public Law No: 113-128 (WIOA)). **The Adult and Dislocated Workers contract begins on July 1, 2021. A transition period will be negotiated.**

Responses to this RFP will be evaluated by the **Review Committee** to recommend adult and dislocated workers service providers to be awarded contracts. Proposal should present innovative and creative strategies that enhance a customer's ability to move into self-sustaining employment, resulting in an upwardly mobile career path and potential higher earnings.

All WIOA-funded services must be delivered in accordance with WIOA rules and regulations, guidance from the U.S. Department of Labor (USDOL), the State of Arizona and policies set forth by ARIZONA@WORK. The proposer will be selected based upon its demonstrated ability to serve customers within Yuma County including past performance, collaboration, experience, successful outcomes, partnerships, and cost effective service delivery.

Under WIOA, all Adults and Dislocated Workers are eligible for Career Services as defined in the WIOA, section 134 and (2) (A) (1). Those who unlikely or unable to obtain or retain employment through Career Services are eligible for Training Services (WIOA, section 134, (3) (I)(aa)); those who are in need of training services to obtain or retain employment (WIOA, section 134, (3) (I)(bb)); and those who have the skills and qualifications to successfully participate in the selected program of training services (WIOA, Section 134, (3) (1) (cc)). *The ultimate goal is full-time employment and self-sufficiency for participants.*

**Career Services and Follow-Up Services** are provided through service providers (contractors). **Training Services** are provided through approved vendors listed on the Arizona State Eligible Training Provider List (ETPL) (WIOA, Section 122).

### 1.10 RFP Questions and Requests for Clarification:

The primary mode of communication between the YCLWDB and the potential proposer will be **ONLY** in writing electronically. Verbal questions/requests for clarification **will not** be answered over the phone or in person. Further, the YCLWDB reserves the right to reject any or all requests for clarification in whole or in part. All questions pertaining to the RFP must be received in writing electronically no later than **4:00 p.m. Wednesday, January 27, 2021**, to Alicia Huizar, Contract Manager at [ADWRFP@Ypic.com](mailto:ADWRFP@Ypic.com).

To prevent perceived or actual conflict, or undue influence over the process, **all proposers** are prohibited from contacting any YCLWDB member, committee member, or staff regarding this RFP. Contact with anyone for purposes of influencing the outcome of the procurement will result in disqualification of the prospective respondents from this competitive procurement process. Proposer shall not engage in any activity that will restrict

or eliminate competition. Violation of this provision may cause a proposal bid to be rejected.

The YCLWDB anticipates posting answers to all questions by Friday, February 5, 2021. Questions and answer page will be posted on the Yuma Private Industry Council Inc. website [www.ypic.com](http://www.ypic.com) and ARIZONA@WORK website <https://arizonaatwork.com/locations/yuma-county>. It is the proposer's responsibility to check the website page frequently to stay apprised throughout the process. Only those questions directed to the above email or received at the solicitation conference will be answered. The solicitation conference is scheduled to take place on Friday, February 12, 2021, by **electronic meeting**, in adherence to the current Covid-19 restriction.

Proposers are strongly encouraged to attend the solicitation conference meeting at the date and time listed on page one. The purpose of this meeting is to review this RFP and respond to proposer questions. Please email [ADWRFP@ypic.com](mailto:ADWRFP@ypic.com) to register for this meeting.

### **1.11 Notices:**

This Request for Proposal (RFP) is a competitive solicitation method used by the YCLWDB to maximize the likelihood of selecting highly qualified providers (contractors).

Notice of this RFP is being published in the Yuma Sun newspaper, YPIC's and ARIZONA@WORK websites [www.ypic.com](http://www.ypic.com), and <https://arizonaatwork.com/locations/yuma-county> and is being distributed via email to organizations on the Bidder's List. Upon its release, the RFP, and all accompanying attachments, will be posted on YPIC's and ARIZONA@WORK websites.

Notices to the proposer shall be made by the YCLWDB staff to the person indicated on the proposal and acceptance form submitted by the contractor unless otherwise stated in the contract. Notices to YCLWDB staff required by the contract shall be made by the proposer to the solicitation contact person indicated on the solicitation cover sheet unless otherwise stated in the contract. An authorized contract manager and an authorized proposer representative may change the respective person to whom notice shall be given by written notice to the other and an amendment to the contract shall not be necessary.

### **1.12 Contract Terms and Conditions:**

The YCLWDB staff intends to award a single contract for the services identified herein. *The Contract period shall start on July 1, 2021 and end on June 30, 2022.*

Contract extensions may be available for an additional three one year contracts following approval from the YCLWDB staff. With respect to the selection of the proposer, the Executive Director and/or Operations Director will continue the past practice of exerting no undue influence on the process. In all solicitations of bids and proposals, any direction on the selection from the Executive Director and/or Operations Director (or representative) to the evaluation panel or selecting authority must be provided in writing to all prospective proposers.

Federal funding is the principal support for the Adult and Dislocated Worker program. Funding is subject to annual allocation based upon the amount secured by the YCLWDB. The contractual funding agreement shall be revised to decrease or increase funding as required to indicate federal funds awarded by the State of Department of Labor. The proposer will be awarded a “**cost-reimbursement contract**” pursuant to this RFP. Optional one year contracts may be granted based on meeting successful contract performance outcomes. The contract will also be subject to any changes in the legislation, regulations, or policies promulgated by the funding sources. The YCLWDB may expand the scope of the contract to incorporate other funding, requirements, or workforce programs that the YCLWDB deems necessary or appropriate.

All conditions contained in this RFP and completed appendices and any statements contained in the RFP will be incorporated into any contract regarding this matter. Failure of the contracting organization to accept these obligations may result in the cancellation of the contract.

The proposer shall not be subject to disbarment or suspension from receipt of Federal, State, or local funds; nor have a record of substandard performance in conducting training and employment programs.

Each proposer must indicate its ability to provide sufficient and qualified staff; maintain adequate fiscal reporting, program/management records; follow acceptable equal opportunity and affirmative action policies, and effectively administer basic services, trainings and employment programs. The YCLWDB staff reserves the right to review the proposers present and future staff qualifications.

Proposals shall comply with all Federal, State, and local laws, rules, regulations, standards, and Executive Orders, including but not limited to the Workforce Innovation and Opportunity Act, the State Workers Compensation Act, as amended, 1992, Fair Labor Standards Act, Titles VI and VII of the Civil Rights Act of 1964, The Age Discrimination in Employment Act, Section 504 of the Rehabilitation Act of 1973, State Executive Order 75-5. (Equal Employment Opportunity), American Disabilities Act, Non-Traditional Employment for Women Act, Veteran’s Policy, State Workforce Policy #8 – Conflict of Interest Policy.

Proposer shall comply with applicable provisions of A.R.S. § 46-141 and Title 6, Article 4 – Fingerprinting; which are hereby incorporated as provisions in the contract to the extent such provisions are applicable due to statute, case law, county contract, or other legal authority.

Personnel providing direct services to children and vulnerable adults must clear a ***Background Check with the Arizona Department of Child Safety Central Registry***. Release of annual allocation funds to the YCLWDB's fiscal agent depends upon meeting this criteria. The YCLWDB will maintain records of all staff employed by the Proposer to ensure compliance.

The proposer's personnel shall not be authorized to access the AJC system prior to completing the required certification.

For all new employees of the contractor the following needs to be submitted to YPIC's Human Resource on the first day of employment.

- a. Record of submittal of the direct service position certification form.
- b. Record of submittal of the Central Registry Background Check to Arizona DES. The contractor will submit the proof of Central Registry Background Clearance Form to YPIC Human Resource within 30 days.

The contractor must submit a copy of the record of application of each employee's fingerprint card to YPIC's Human Resource within the first 7 days of employment.

- a. Copy of Level One Finger Print Clearance card application confirmation receipt
- b. The original card will be provided to the YPIC Human Manager for processing.
- c. For all new employees of the contractor the following needs to be submitted to YPIC's Human Resource: Record of fingerprint application within seven (7) days of employment.

YCLWDB reserves the right to terminate any or all contracts granted after the first year of performance, as deemed necessary or appropriate and select a proposer.

YCLWDB retains the right to decline any contractor staff member, whether an employee, contractor, or volunteer to perform services under this contract if YCLWDB deems that the staff member could negatively impact participants or the program. This would include any situation where the contractor staff member is related to a YPIC employee and the said employment by the contractor could be deemed or viewed as nepotism or a conflict of interest.

### **1.13 YCLWDB Reservation of Rights**

The YCLWDB reserves the right to take any course of action the YCLWDB deems appropriate at the YCLWDB's sole and absolute discretion, which may include:

- Reserves the right to reissue, delay, reject, amend, modify, or cancel any or all proposals at any time without prior notice;
- Negotiating with any qualified proposer;
- Extending the deadline for proposals;
- Requesting additional information from any or all proposers; and/or
- The YCLWDB is not responsible for any costs incurred by the proposer in preparation of responses to this RFP.

### **1.14 Termination of Contract**

#### **a. Failure to Perform**

If through any cause, the contractor fails to perform in accordance with the terms of the contract in a timely and proper manner and/or violates any requirements of the contract, the contractor will receive technical assistance from the YCLWDB staff.

The contractor must comply with corrective action requirements in a timely manner as specified by the YCLWDB staff. If the contractor does not comply, then the

contract may be terminated, in whole, or in part, by either party to the contract. In this event, the aggrieved party shall provide written notification at least 10 working days in advance to the other party specifying the performance failure and the intent to terminate.

**b. Without Cause**

Either party to this contract may elect to terminate the contract without cause by delivering a ninety (90) day written notice of intent to terminate to the other party.

**c. Funding**

The YCLWDB may terminate, renegotiate or modify this contract at any time if its federal, or State grants are suspended, reduced, or terminated before or during the contract period, or if federal or State grant terms and regulation change significantly. In the event of early contract termination initiated by either party for whatever reason, the contractor is only entitled to costs incurred prior to the time of contract termination.

**1.15 YCLWDB'S Right To Disqualify For Conflict Of Interest**

The YCLWDB reserves the right to disqualify any propose that fails to provide information or data requested herein or that provides materially inaccurate or misleading information or data. The YCLWDB reserves the right to disqualify any proposer on the basis of any real or apparent conflict of interest that is disclosed by the proposal submitted or any other data available to the YCLWDB. This disqualification is at the sole discretion of the YCLWDB.

## SECTION TWO

### 2.0 PROJECT TIMELINES

#### Proposal Review Process and Contract Award Schedule

January 19, 2021	<b>RFP Process Opens:</b> Proposers may pick up RFP packages beginning at 8:00 a.m. Arizona Time at Yuma Private Industry Council, 3834 W. 16th Street, Yuma, AZ 85364, or may download from the website: <a href="http://www.ypic.com">www.ypic.com</a> and <a href="https://arizonaatwork.com/locations/yuma-county">https://arizonaatwork.com/locations/yuma-county</a> . The primary mode of communication between the YCLWDB and the proposer will be <b>ONLY</b> in writing electronically. Questions <b>will not</b> be answered over the phone or in person.
February 12, 2021	<b>Solicitation Conference/Technical Assistance Session:</b> Scheduled for 2:00 – 4:00 pm Arizona Time, <b>by electronic meeting</b> , in adherence to the current Covid-19 restrictions. It is recommended that proposers who have general questions regarding the RFP process be present at this session. All questions pertaining to the RFP must be received in writing via email no later than 4:00 pm Wednesday, January 27, 2021. Questions will not be accepted after this date. Any changes or additional information regarding the RFP, as well as all questions and answers, will be faxed and/or emailed to those who attended the Technical Assistance Session. Solicitation questions will be answered and posted at YPIC and ARIZONA@WORK website at 4:00 pm on February 5, 2021.
March 5, 2021	<b>Proposal Receipt Deadline:</b> Proposals must be received by 3:00 p.m. Arizona Time at Yuma Private Industry Council, 3834 W. 16th Street Yuma, AZ 85364. <b>Late submissions will not be considered.</b>
March 2021	<b>PROPOSAL REVIEW COMMITTEE:</b> Date and time to be determined
April 14, 2021	<b>WORKFORCE DEVELOPMENT BOARD APPROVAL OF RECOMMENDED PROVIDERS</b>
April 30, 2021	<b>FINAL CONTRACT NEGOTIATIONS</b>
July 1, 2021	<b>PROGRAM START DATE</b>

## 2.1 PROPOSAL INSTRUCTIONS

Submit sealed proposal no later than 3:00 p.m. Arizona Time on March 5, 2021, at 3834 W. 16th Street, Yuma, AZ 85364. Please ask for a proposal receipt which will have the date and time stamped on it. Mailed proposals must be received by the same time and date. All documents submitted by proposers shall be the property of the YCLWB and become a matter of public record available for review pursuant to Arizona law. **Proposals received after the deadline will be disqualified as non-responsive.**

Submit one original and two (2) copies of the entire proposal and appendix. Must include financial audits for the past 5 years and documented findings of waste, fraud and abuse (if applicable). Please submit an electronic copy of the proposal on a thumb drive.

Proposers are cautioned and advised that proposals must be accurate and complete, addressing each of the RFP sections. Deadlines will be enforced fully, and failure to comply with any requirements of this RFP may result in the proposal's disqualification and removal from any further consideration.

The proposers must submit questions to the Contract Manager in writing at [ADWRFP@ypic.com](mailto:ADWRFP@ypic.com).

Proposals are limited to 30 letter-size pages, excluding appendixes and the audits for the past five (5) years. All pages must be numbered. Responses should be typed in 12-point font, New Times Roman, with one-inch margins, and double spaced. Each copy should be clipped together. Please do not staple your proposal copies.

Proposer must submit proposal package in the proper layout and sequence as noted on 2.13

## 2.2 Solicitation Provisions

- YCLWDB reserves the right to make technical corrections or additions to this RFP. Such corrections or additions shall be sent to each applicant that registers at the Technical Assistance Conference.
- This RFP does not commit the YCLWDB to accept any proposal, nor is the YCLWDB responsible for any costs incurred by the respondent in the preparation of responses to this RFP.
- The YCLWDB reserves the right to reject any or all proposals, to accept or reject any or all items in the proposal, and to award the sub-award in whole or in part as is deemed to be in the best interest of the YCLWDB.
- The YCLWDB reserves the right to negotiate with any respondent after proposals are reviewed if such action is deemed to be in the best interest of the YCLWDB.
- The proposer will be asked to continue providing services to customers already registered into the WIOA program. It is the wish of the local board that the disruption of services to customers is avoided. The proposer will accept all carryover participants from the previous contractor.

## 2.3 Contract Award

Funding recommendations shall be made by the proposal Review Committee to the YCLWDB staff.

The Review Committee and/or the YCLWDB staff will select finalists to make a presentation to the board and make the final selection and award contracts.

Funding of any and all proposals is subject to fund availability and level of funding by the US Department of Labor. This RFP does not commit the YCLWDB to award a contract, to pay any costs for preparation of proposals, or to procure or contract for services.

- **Proposal Award**  
The YCLWDB shall hold all proposals submitted in confidence pending completion of awards. Following the award process, proposals will be available to the public.
- **Negotiations**  
The Review Committee may require the selected proposer to participate in negotiations following the award process and request revision to the proposal, as needed.
- **Contract Agreement**  
The Contract Manager will send the final contract to the awarded proposer. The awarded proposer must sign and submit the final document to the Contract Manager within thirty (30) calendar days from the date the contract is sent. If the Contract Manager does not receive the signed agreement and all other required documentation from the awarded proposer within 30 calendar days, the YCLWDB may consider awarding the agreement to the next highest-ranked proposer.
- **Review Committee**  
The Review Committee will consist of five (5) panel members to review the proposals. Each proposal will be scored independently by using the below evaluation criteria rubric. Committee members are encouraged to make comments when rating each proposal. Proposer may request in writing their individual rating forms after the contract has been awarded. These are intended to assist proposers in determining their areas of strength and weakness in responding to the RFP. The Review Committee members ranking forms will be identified by number, not by name, and will be distributed upon request. **Note: The YCLWDB retains the right to request additional information or request oral presentations from proposers. If no response adequately addresses the services and outcomes requested, the committee may recommend that no awards be made.**

**Evaluation Criteria – NARRATIVE: SCOPE OF WORK**

EVALUATION ITEMS	Maximum Points
<b>Evaluation Criteria – Narrative: Scope of Work</b>	
Program Overview/Executive Summary	5
Community Need/Opportunity Targeted	5
Target Population	10
Program Goals/Performance	20

Program Activities/Methodology	20
<b>Evaluation Criteria – Narrative: Agency Capacity</b>	
Agency Background	10
Agency Expertise	10
Collaboration and Leverage Resources	10
<b>Evaluation Criteria – Budget</b>	
Budget	10
Total	100

## 2.4 The YCLWDB reserves the right to:

- Renew contracts up to three one year periods without reissuing an RFP.
- Award locally allocated Federal Funds received by Yuma County and the State of Arizona to the bidder of this RFP.
- Accept or reject any or all of the proposals received and to cancel in part or in its entirety this request, if it is in the best interest of the YCWDB to do so.
- Negotiate necessary adjustments in proposed funding levels and program activities.
- Direct subcontractors to implement changes in accordance with State directives in order to comply with WIOA and applicable regulations.

## 2.5 Funds Available

YCLWDB, operated by the Yuma Private Industry Council, Inc. (YPIC) is advertising for services. The quantities listed below reflect the **estimated funds** available, **the YCLWDB may grant multiple contracts to different proposers**, therefore the funds will need to be distributed amongst those that are granted contracts.

**Adults:** Full Services: Career Service, Training Services, and Follow Up Services. **\$4,500,000**

**Dislocated Workers:** Full Services: Career Service, Training Services, and Follow Up Services. **\$1,000,000**

**Total funds:** **\$5,500,000**

## 2.6 Compensation Method

The YCLWDB will issue a cost-reimbursement contract. The contractor will be reimbursed for allowable actual service delivery costs on a monthly basis after submittal and approval of the payment invoice as described in the contract. Payment invoices will be due by the 15<sup>th</sup> of each month for the previous month. Invoices are to be submitted **every month** even if there is zero expenditure for the month reported.

In addition to the provisions of the RFP and the awarded proposal, which shall be incorporated by reference in the contract, any additional clauses or provisions required will be included as an amendment to the contract.

The proposer shall create, collect, and maintain all records relating to program activities that are required to be made by applicable federal or State laws or regulations, made relevant by guidance from the U.S. Department of labor, and/or which are necessary for determining Yuma County Workforce Board's compliance with oversight of the operator role and contract.

Any revenues generated by the providers including interest income or other program generated income must be disclosed to the YCLWDB and charged against expenses for the continued operation of the services provided **as required by the U.S. Department of Labor**. For-profit entities must negotiate profits separately with the YCLWDB. In addition, any negotiated allowable profit earned by for-profit entities will need to be reported monthly.

Any contract awarded may be terminated for fiscal necessity, convenience, or for breach as required by the United States Department of Labor.

## 2.7 Subcontracting

The proposers must identify any subcontractor and the activities such subcontractor will undertake in the proposal narrative. If the proposer currently subcontracts certain functions or activities and intends to do so as part of its response to this RFP, the subcontractor must be identified and certification must be included from the subcontractor attesting to its agreement to the terms of the proposal and any resulting contract. The subcontractors(s) are subject to the same terms, conditions, and covenants contained with this RFP, including the insurance requirement, and subject to Central Registry Background Check. The proposers will be primarily liable for the provisions of all deliverables under the contract and will monitor any approved subcontractors to assure all requirements under the contract are being met.

## 2.8 Invoicing Requirements

The Contractor shall:

1. Invoices must be *submitted by the 15<sup>th</sup> of each month* for any expenses incurred in the prior month (**Appendix J**).
2. The invoice shall include the following:
  - Name of Contractor
  - Invoice Date
  - Invoice Number
  - Total invoice amount
  - Reporting period represented by the invoice
  - Year-to-date reporting by category
  - Authorized signature
  - Budget column
  - Available balance by category
  - Copies of invoices
  - General Ledger matching invoice amount (as attachment)
  - Documentation supporting the general ledger totals.

## 2.9 For-Profit Entities

Pursuant to Training Employment Guidance Letter (TEGL) 15-16, For-profit entities that are recipients and sub-recipient of a Federal award, **shall adhere** to the Uniform Guidance at 2 CFR parts 200. Department of Labor (DOL) adoption of the Uniform Guidance at 2 CFR 2900.2 expands the definition of a non-Federal entity to include for-profit entities. As such, any private for-profit entity as well as non-Federal entities including grant recipients and sub-recipient of a DOL award must adhere to the Uniform Guidance.

## 2.10 Licensure Qualifications Requirements Standard Financial Management, Participant Data System, and Other Requirements

1. General. The financial management system and the participant data system of each contractor and subcontractor shall provide federally required records and reports that are uniform in definition, accessible to authorized Federal and State staff, and verifiable for monitoring, reporting, audit, program management, and evaluation purposes (Workforce Innovation and Opportunity Act Subtitle E).

An awarding agency may review the adequacy of the financial management system and participant data system of any contractor/subcontractor as part of a pre-award review or at any time subsequent to award.

2. Financial Systems. Contractors and subcontractors shall ensure that their financial systems, as well as those of their subcontractors, provide fiscal control and accounting procedures that meet the following minimum standards, as well as comply with Workforce Innovation and Opportunity Act Section. 185:
  - a. In accordance with generally accepted accounting principles, financial systems shall include:
    - Information pertaining to subcontract and contract awards, obligations, un-obligated balances, assets, expenditures, and income;
    - Effective internal controls to safeguard assets and assure they are proper to use;
    - A comparison of actual expenditures with budgeted amounts for each subcontract and contract;
    - Source documentation to support accounting records; and
    - Proper charging of costs and cost allocation; and
  - b. Financial systems shall be sufficient to:
    - Permit preparation of required reports;
    - Permit the tracing of funds to a level of expenditure adequate to establish that funds have not been used in violation of the applicable restrictions on the use of such funds;
    - As required by Workforce Innovation and Opportunity Act Section 185, permit the tracing of program income, potential stand-in costs, and other funds that are allowable except for funding limitations as defined in 20 CFR 667 of this Part, Audits; and

3. Applicant and Participant Data Systems. Each contractor and subcontractor shall ensure that records are maintained in the State of Arizona’s Job Connection (AJC) Management Information System.

4. Insurance: Each contractor and subcontractor shall obtain and maintain at its own expense, during the entire term of this Contract the following type(s) and amounts of insurance: (Yuma County and YCLWDB shall be listed as an also insured on all policies)

- General Aggregate – \$2,000,000
- Products – Completed Operations Aggregate – \$1,000,000
- Personal and Advertising Injury - \$1,000,000
- Damage to Rented Premises \$ 50,000
- Each Occurrence \$1,000,000

a. The policy shall be endorsed, as required by this written agreement, to include the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees as additional insured with respect to liability arising out of the activities performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].

b. The policy shall contain a waiver of subrogation endorsement, as required by this written agreement, in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].

(Note that the other governmental entity(ies) is/are also required to be additional insured(s) and they should supply the [SUBCONTRACTOR OR SUBAWARDEE] with their own list of persons to be insured.)

Insurance must be from carriers acceptable to the Yuma Private Industry Council, Inc. (YPIC). Contractors and subcontractors shall provide the Workforce Development Board with certificates of insurance. Commercial General Liability shall name Yuma County and YPIC as an "Additional Insured". All certificates must provide for 30-day advance notice of any modification, material change, non-renewal, or cancellation. In addition, **evidence of statutory Workers' Compensation coverage must be provided.**

The policy shall be endorsed to include the following additional insured language: “The State of Arizona and the Department of Economic Security shall be named as additional insured with respect to liability arising out of the activities performed by or on behalf of the Contractor”.

5. Business Automobile Liability

Bodily injury and Property Damage for any owned, hired, and/or non-owned vehicles used in the performance of this contract.

Combined Single Limit (CSL) - \$1,000,000

- a. The policy shall be endorsed, as required by this written agreement, to include the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees as additional insured's with respect to liability arising out of the activities performed by, or on behalf of, the [SUBCONTRACTOR OR SUBAWARDEE] involving automobiles owned, hired and/or non-owned by the Subawardee.
- b. The policy shall contain a waiver of subrogation endorsement as required by this written agreement in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the [SUBCONTRACTOR OR SUBAWARDEE].

(Note that the other governmental entity(ies) is/are also required to be additional insured(s) and they should supply the [SUBCONTRACTOR OR SUBAWARDEE] with their own list of persons to be insured.)

6. Worker's Compensation and Employers' Liability

- Workers' Compensation Statutory
- Employer's Liability
  - Each accident \$1,000,000
  - Disease-Each Employee \$1,000,000
  - Disease-Policy Limit \$1,000,000

- a. The policy shall contain a waiver of subrogation endorsement, as required by this written agreement, in favor of the State of Arizona, and its departments, agencies, boards, commissions, universities, officers, officials, agents, and employees for losses arising from work performed by or on behalf of the subawardee.
- b. This requirement shall not apply to each Subawardee or Subawardee that is exempt under A.R.S. §23-901, and when such Subawardee or Subawardee executes the appropriate waiver form (Sole Proprietor or independent subawardee).

7. Regulations and Cost Principles: In addition, each contractor and subcontractor must comply, if and to the extent applicable, with the following regulations and cost principles, including any subsequent amendments:

1. Uniform Administrative Requirements:
  - 2 CFR 200, for State/Local Governments and Indian Tribes, or
  - 2 CFR 215, for Institutions of Higher Education, Hospitals and other Non-Profits
2. Cost Principles
  - 2 CFR 225 for State, Local and Indian Tribes Governments,
  - 2 CFR 220, for Institutions of Higher Education, or
  - 2 CFR 230, for Non-Profit Organizations

3. Other Requirements
  - 2 CFR 501, Single Audit Act
  - 2 CFR 450, Lobbying Certification
  - 2 CFR 180, Debarment and Suspension; Drug-Free Workplace
  - 29 CFR 38, Nondiscrimination and Equal Opportunity Requirements

Any such applicable legal authority, including but not limited to the provisions of the Workforce Innovation and Opportunity Act of 2014 (WIOA) and regulations adopted under the act, shall be incorporated into the agreement by reference and, to the extent inconsistent with any provision of this RFP or the contract, shall supersede and be substituted for the inconsistent contractual provision.

## **2.11 YCLWDB RESPONSIBILITIES (Separation of Duties)**

### **The Yuma Private Industry Council will:**

- Maintain all aspects of file compliance such as data entry and maintenance of data in the management systems and AJC system.
- Provide the selected provider(s) with technical assistance as deemed necessary.
- Convene system stakeholders as allowed in the law.
- Prepare and submit local plans (as required under Sec. 107 of WIOA.)
- Negotiate Local Performance Accountability Measures.
- Provide programmatic, fiscal, and EEO/ADA monitoring as deemed necessary.
- On-site visits to ensure the quality of services as deemed necessary.

## **2.12 The selected proposer (Service Provider) of Full Services (Career Services, Training Services, and Follow-Up Services) will:**

- Maintain all aspects of file compliance such as data entry and maintenance of data in the management systems and AJC system.
- Develop an Individual Employment Plan (IEP) for each participant.
- Ensure all program services are made available to participant from enrollment to exit, as applicable.
- Proposers will provide follow-up for 12 months after the participant exits the program, as applicable.
- Ensure that all pertinent performance measures are met for each of the participants.
- Proposer is expected to meet or exceed all performance measures.
- All other aspects and situations that may arise during serving Adults or Dislocated workers will be managed by the service provider (contractor).
- Training services that are provided through ITA or a contract must be provided in a manner that maximizes **consumer choice**. For more information, please see [State Policy Chapter 2 - Section 500](#), [Federal Regulations](#), and [TEGL 19-16](#).
- Maintain the ARIZONA@WORK – Yuma County logos and branding standards as defined in the State branding guide. The proposer is prohibited from displaying its own name or logo on any materials associated with performing this scope of work.

## 2.13 Submission Format Check List

Submission of packaged documents consists of appendixes A through R

- Proposal Cover Page Form – **Appendix A**
- Executive Summary – one page
- Adult and Dislocated Program Information Form – **Appendix B**
- Narrative Response/Scope of Work and Agency Capacity – **Appendix C**
- Narrative Response Financial Structure and Fiscal Plan – **Appendix D**
- Organizational Chart
- Summaries of Key Personnel/Job Descriptions/Resumes
- Budget Guidance – **Appendix E (For reference only. Do not submit with package.)**
- Budgets – **Appendix F and G**
- Budget Narratives – **Appendix H and I**
- Invoice Format – **Appendix J**
- Fiscal Questionnaire – **Appendix K**
- IRS w-9 for Taxpayer Identification Number and Certification – **Appendix L**
- Tax Exemption Certificate
- Most recent IRS Forms 990 (non-profit tax return)
- Copy of 5 years of financial audits
- Cost Allocation Plan (CAP)
- Determination Letter from IRS verifying the organization is exempt from federal income tax under section 501(c)(3) – If applicable
- Three Letters of References
- Certificate of Good Standing
- Statement of Assurance – **Appendix M**
- Statement of Compliance – **Appendix N**
- Certificate of Lobbying Activities – **Appendix O**
- Certificate of Debarment – **Appendix P**
- Drug-Free Workplace Certification – **Appendix Q**
- Conflict of Interest Certification – Appendix R**
- Checklist

**APPENDIXES**

**Appendix A: Proposal Cover Form**

<b>2021-2022 Workforce Innovation and Opportunity Act Program</b>	
<b>Adult or Dislocated Worker Proposal</b>	
The legal name of the entity submitting this proposal:	
Address:	
<i>Proposal for <u>which category?</u></i>	
Telephone Number:	Fax Number:
Name of the contact person for this proposal:	
Contact person telephone number:	Contact person fax number:
Contact person e-mail address:	
Program Title:	
Total WIOA funds requested:	Number of Participants to be served:
To the best of my knowledge and belief, all of the information in this proposal is true and correct. The governing body of the proposer has authorized the document and the proposer will comply with the attached assurances if funding is awarded.	
Typed name of President or Chief Executive Officer:	
President or Chief Executive Officer signature:	Date signed:

## Appendix B: Adult and Dislocated Worker Information Form

Legal Name of Applicant Agency:			
Number of Years in Business:			
FEIN Number:			
DUNS Number:			
Cage Code Number:			
Type of Organization:	<input type="checkbox"/> Educational Institute <input type="checkbox"/> Private Non-for-Profit <input type="checkbox"/> Private for Profit <input type="checkbox"/> Unit of Government <input type="checkbox"/> Other _____		
Address – Administrative Office	Address:		
	City, State, Zip:		
	Web Site URL:		
Address of Service Location – This is the location where the services described in this application will be provided	Address:		
	City, State, & Zip		
	Web Site URL		
<b>Principal of the Agency –</b> CEO/Executive Director/President	Name:		
	Title:		
	Email Address:		
	Phone Number:		
Programmatic Contact Person	Name:		
	Title:		
	Email Address:		
	Phone Number:		
	<b>Amount Requested</b>	<b>Total Participant Served</b>	<b>Cost Per Participant</b>
Adult Funding	\$	#	\$
Dislocated Worker	\$	#	\$
<b>Total Amount Requested</b>	\$	#	\$
Amount of Leveraged Funds	\$		
Percentage of Leveraged Funds	\$		

## **Appendix C: NARRATIVE RESPONSE: SCOPE OF WORK AND AGENCY CAPACITY**

### **Program Overview/Executive Summary**

In the Executive Summary (**1 page only**), provide a high level overview of the organization's qualifications and identify each category of proposed services including targeted communities and populations, the total amount of funding requested, and what make your proposal effective and unique. Someone unfamiliar with WIOA program services should be able to read the summary and have a good understanding of the program's overall approach.

### **Narrative Questions (Response limited to a maximum of 30 pages not including Attachments)**

Please respond to the following questions in detail using specific examples that are evidence-based.

#### **A. System for Award Management (SAM):**

1. Is your organization registered through the System for Award Management (SAM)?

#### **B. Community Need/Opportunity Targeted**

Describe the need or opportunity that gave rise to the approach. What problem, issue, or circumstance in the community does this program seek to address? If you are proposing to serve both adults and dislocated workers, you should address the needs of each. Your discussion should include any relevant physical, economic, social, financial, institutional, or other evidence including, if applicable, the number of persons turned away or on a waiting list due to lack of space in the program. Cite the sources for any data used to support the need statement.

#### **C. Target Population**

Provide the projected unduplicated total of program participants the proposed program will serve during the 2021-2022 program year in each category you are proposing.

Describe the plan to work with an active case load of adults and/or dislocated worker participants. In addition, describe your plan to conduct follow-up services as required.

Describe target population characteristics including barriers to employment, rural clients, race/ethnicity, gender, special needs or disabilities, etc. Also, please answer the following questions:

- Will services be available to residents throughout Yuma County?
- Will you target specific geographic areas or communities within Yuma County?
- Provide a detailed description of how you will enroll English Language Learners (ELL) speaking participants and speakers of other languages into the WIOA program.

#### **D. Program Performance Goals**

Describe the ultimate purpose of the proposed program. What outcomes will the program accomplish in terms of participant change? Your response should provide quantitative

(numeric) performance goals that address the community needs you identified in terms of the **WIOA core indicators of performance**.

Describe expected qualitative outcomes and the proposed tools for measuring them, such as customer satisfaction surveys and progress reports. If quantitative outcomes differ from national performance measure goals, explain why.

Describe your plan of corrective action if performance measures do not meet the required negotiated levels.

## **E. Program Activities/Methodology**

Outline your plan of action; describe the process for assessing needs & skill levels, developing goals, an IEP with each participant. In addition, specifically, how will you address identified barriers?

- Provide a flow chart that details how customers will progress through the program from eligibility to exit, including follow-up services. The flow chart should mirror the program design.

Provide a methodology for each category in which you are proposing services. The description should include quantitative objectives (e.g. the frequency that each activity will occur, the average length of time, number of participants per activity, etc.).

- Describe a detailed description of all the services the proposer will provide the customers.
- Describe your program's job development strategies that will include employers for in demand occupations and building connections between work and learning.
- Describe the follow-up services to include: How follow-up services will be provided and information regarding duration of services. Include the type of planned follow-up activities for individuals who enter employment and/or who do not enter employment.
- Describe your process for ensuring that the training program for each participant is relevant to the current labor market, specifically available jobs.
- Describe your program process for assisting participants in their job search during active participation and/or follow-up.

## **F. Evidence of Best Practice**

Service providers can sometimes provide evidence of a program's potential for success by documenting the past experience with similar programs that were a success and contributed unique values and benefits to the participants.

## **G. Program Location**

Provide the address and facility name(s) where services will be delivered if in the different areas of Yuma County.

## **NARRATIVE RESPONSE: AGENCY CAPACITY**

### **A. Agency Background**

Describe your agency's experience providing employment and training services to disadvantaged adults and dislocated workers. Provide examples of expertise in the following areas:

- assessing individual needs and developing individual service plans
- coordinating with local businesses
- working with disadvantaged, special populations, and operating education, training, and/or employment programs

Cite recent, specific projects or programs, the year(s) they were funded, and the funding source. Provide relevant statistics for each project on numbers served, services provided, and the outcomes achieved. In particular, cite past experience meeting quantitative performance benchmarks similar to those established by WIOA. State results from any recent customer satisfaction evaluations from both participants and employers for similar services.

### **B. Agency Expertise**

Explain how the proposed program will be managed. Describe staffing and staff roles, including staff for program participation. Provide a list of key staff such as director, coordinator, case managers, teachers, trainers, accounting, and their relevant experience. Provide an organizational chart for the program in your appendix. You may also include resumes for key staff in your appendix or, if a key staff person has not yet been hired, a job description showing the expected qualifications for the position.

Describe the agency's financial accounting system and include a copy of your agency's most recent audit in the appendix. What is the organization's capacity to perform necessary program, fiscal, MIS, and AJC functions as well as cover costs of rent, phone, utilities, and other administrative costs?

### **C. Collaboration and Leveraged Resources**

Discuss connections with other funding sources to leverage resources that will benefit participants and increase the cost-effectiveness of WIOA funds. Specify dollar amounts committed to the proposed program and include three letters of references in the appendix to the proposal.

The collaboration includes such things as client referrals, sharing of information, coordination of activities, curricula, schedules, or use of resources, joint planning shared costs or resources and shared responsibility for service delivery. Please list the entities that will collaborate with you, briefly describe the nature of the collaborations, and State how it will benefit participants. In particular, describe how your program will coordinate with local organizations to serve adults. Include letters of commitment in the appendix to the proposal.

## Appendix D: Financial Structure and Fiscal Plan Fiscal Narrative Questions

1. Identify an average unit cost per participant and provide an explanation to justify this unit cost.
2. If the entity is for-profit, identify the profit percentage built into the proposed budget, and describe the risk and other factors taken into consideration to arrive at this percentage. **Profit must be a separate item from the proposed budget and negotiated separately.**
3. Will the proposing agency use leveraged funds (non-WIOA) to contribute to this project?
  1. **If yes**, please describe these leveraged funds. This can include cash contributions, staff effort, space, fee-for-service, or other revenue generation and in-kind contributions. In answering, list each source of leveraged resources, the dollar value, and the function of each leveraged resource; for example to spread operating costs to broaden the scope of services. ***Note:* The budget must support this information with a breakdown of the funding from each source as it is utilized in the program.**
  2. **If not**, please put Not Applicable.
4. Agency's fiscal capacity:
  1. Describe any other current grants over \$100,000 that are available to the proposing agency.
  2. Provide the organization's total annual budget.
  3. Provide the amount of retained earnings on hand.
5. Does the agency provide its own Accounting Department?
  1. **If yes**,
    - a. Provide the respondent's accounting /financial procedures
    - b. Describe the system of oversight
    - c. Describe internal controls
  2. **If not**, indicate the name, address, contact person, phone number, and email address of the accounting firm.
  3. Describe the type of accounting software being utilized by either the agency or by the contracted 3<sup>rd</sup> party.
6. Describe the agency's payroll system.
7. Describe your agency's internal controls for accuracy and validity.
8. What is the method for documenting employee time?
9. Describe how the agency will ensure that costs charged to the programs are reasonable, allocable, allowable, and necessary as required by the 2 CFR 200 (OMB Circular)

10. If staff or other costs charged to this budget will be shared between more than one funding source, please detail the overall cost allocation plan for sharing costs, including the method of allocating shared costs.
11. Please attach a copy of the agency's current Cost Allocation Plan (CAP). For guidance on preparing a cost allocation plan, please refer to the **OMB Circular 2 CFR 200**
12. How will financial information be made available for monitoring and auditing purposes?
13. Describe your organization's previous experience administering federal, State, and private grants.
14. Describe your experience with cost-reimbursement contracts.
15. Describe how you will financially support the costs of doing business until an invoice can be submitted and paid.
16. Attach a copy of the agency's audited financial Statements and management letter for the last five years and federal and State tax returns including single audits and documented findings of waste, fraud and abuse (if applicable).
17. For audits, indicate what action has been taken in regard to the following:
  1. Auditor's opinions or recommendations regarding internal controls.
  2. Cost disallowances and any other charges the agency has undertaken in response to audit findings (if applicable).
  3. Reported findings
18. Tax Information, and IRS status
  1. All Respondents **MUST** provide a complete IRS W-9 Request for Taxpayer Identification Number and Certification. This form can be downloaded at <https://www.irs.gov/uac/about-form-w9>.
  2. Non-governmental entities **MUST** also provide the following:
    - a. If applicable, submit a letter from the IRS verifying the organization is exempt from federal income tax under section 501(c)(3) of the Internal Revenue Code, IRS Department of Treasury; additionally, please submit a copy of the most recently filed IRS Form 990.
19. How will you comply with Federal regulations, and procurement policies, relating to the calculation of use of profits, including those at 20 CFR 683.295, the Uniform Guidance at 2 CFR chapter II, and other applicable regulations and policies (**if applicable**)?

## **Appendix E: Budget Guidance (For reference only. Do not submit with package.)**

- Use the appropriate budget narrative, in **Appendix F, and G** and attach it to the budget form showing a detailed cost analysis of each line item. State sources for committed matching funds. Include your rationale for allocating any shared costs, per cost principals cited above.
- **Personnel & Benefits:** Salaries, related fringe benefits (i.e. health insurance, retirement, leave, etc.).
- **Professional & Outside Services:** Other skilled or trained professionals who are not officers or employees (i.e. contractors and tax accountants).
- **In-State Travel:** Indicate the amount requested for staff travel. For domestic travel to be an allowable cost, it must be necessary, reasonable, and allocable to conform to the non-Federal entities written policies and procedures. The YCLWDB will not reimburse mileage costs not related to job relevancy in excess of the State-approved rate.
- **Out-of-State Travel:** Indicate the amount requested for staff travel. For domestic travel to be an allowable cost, it must be necessary, reasonable, allowable, and conform to the non-Federal entities written policies and procedures. The YCLWDB will not reimburse mileage costs not related to job relevancy in excess of the State-approved rate.
- **Other operating expenses:** Daily working capital, general expenses for day to day operations not defined in any other section (i.e. pens, folders, copy paper, etc.).
- **Client support services:** Any other supportive service not previously included, either arranged or financed by the WIOA program or non-WIOA program and provided to eligible individuals to enable them to participate in training or employment services.
- **Client Training/ITA:** Any training listed on the Eligible Training Provider List (ETPL).
- **WEX/Internships:** Work experience/Internships should help the participant acquire the personal attributes, knowledge, and skills needed to obtain a job and advance in employment. Provide an estimate of WEX/Internships cost.
- **On-the-Job Training:** On-the-job training is conducted by an employer and the training costs are obligated through a contractual agreement between the employer and the WIOA service provider. WIOA will subsidize up to 50% of the wages.
- **Needs Related Payments:** means supportive service payments that provides financial assistance to participants for the purpose of enabling individuals to participate in classroom training activities.
- Indicate all indirect costs, and provide a percentage.
- Total amount

**Appendix F: Budget for Adults: Full Services (Career Services, Training Services, and Follow Up)**

**Proposer:** \_\_\_\_\_

<b>COST CATEGORY</b>	<b>TOTAL COST</b>	<b>COST TO WIOA PROGRAM</b>
Personnel & Benefits		
Professional & Outside Services		
In-State Travel		
Out-Of-State Travel		
Other Operating Expenses		
Client Support Services		
Client Training/ITA		
WEX/Internships		
On-The-Job Training		
Needs Related Payment		
Indirect Costs		
Total Amount:		

**Appendix G: Budget for Dislocated Workers: Full Services (Career Services, Training Services, and Follow Up)**

**Proposer:** \_\_\_\_\_

<b>COST CATEGORY</b>	<b>TOTAL COST</b>	<b>COST TO WIOA PROGRAM</b>
Personnel & Benefits		
Professional & Outside Services		
In-State Travel		
Out-Of-State Travel		
Other Operating Expenses		
Client Support Services		
Client Training/ITA		
WEX/Internships		
On-The-Job Training		
Needs Related Payment		
Indirect Costs		
Total Amount:		

**Appendix H: Budget Narrative for Adults: Full Services (Career Services, Training Services, and Follow Up)**

**Proposer:** \_\_\_\_\_

<b>CATEGORY</b>	<b>Budget Narrative</b>	<b>Total</b>
Personnel & Benefits		
Professional & Outside Services		
In-State Travel		
Out-Of-State Travel		
Other Operating Expenses		
Client Support Services		
Client Training/ITA		
WEX/Internships		
On-The-Job Training		
Needs Related Payment		
Indirect Costs		
Total Amount:		

**Appendix I: Budget Narrative for Dislocated Workers: Full Services (Career Services, Training Services, and Follow Up)**

**Proposer:** \_\_\_\_\_

<b>CATEGORY</b>	<b>TOTAL COST</b>	<b>COST TO WIOA PROGRAM</b>
Personnel & Benefits		
Professional & Outside Services		
In-State Travel		
Out-Of-State Travel		
Other Operating Expenses		
Client Support Services		
Client Training/ITA		
WEX/Internships		
On-The-Job Training		
Needs Related Payment		
Indirect Costs		
Total Amount:		

## Appendix J: Invoice Format

**Contractor Name**  
 Address Line #1  
 Address Line #2

Bill to: **Yuma Private Industry Council, Inc.**  
 Billing Address: 3834 W. 16<sup>th</sup> Street  
 Yuma, AZ 85364

Program Name: \_\_\_\_\_

Contract Number: \_\_\_\_\_

Contract Term: 07/01/20xx – 06/30/20xx

Billing for the Month of: **Month and Year**

Invoice number: \_\_\_\_\_

	<b>Total</b>	<b>Expenditures</b>	<b>Expenditures</b>	<b>Balance</b>
<b>Expense Category</b>	<b>Budget</b>	<b>This Month</b>	<b>Year-to-Date</b>	<b>Available</b>
Personnel & Benefits				
Professional & Outside Services				
In-State Travel				
Out-Of-State Travel				
Other Operating Expenses				
Client Support Services				
Client Training/ITA				
WEX/Internships				
On-The-Job Training				
Needs Related Payment				
Indirect Costs				
<b>Total Amount:</b>				

**Total Amount Due:**  \$

I certify that to the best of my knowledge this request is complete and is for the purpose set forth in the contract agreement.

\_\_\_\_\_  
 Authorized Signature

\_\_\_\_\_  
 Date

## Appendix K: Fiscal Questionnaire

Is the agency a not-for-profit or a for-profit entity?	<input type="checkbox"/> Not-For-Profit	<input type="checkbox"/> For-Profit
Is the agency subject to the 29 CFR Part 96 Single Audit Requirement (Federal funding of \$750,000 or more effective with fiscal years starting January 1, 2015, and forward)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency do its own accounting? If no, indicate the name and address of the accounting firm below.	<input type="checkbox"/> Yes	<input type="checkbox"/> NO
Name:		
Address:		
Contact Person:		
Phone Number:		
Email:		
Does the agency have a current financial procedure manual? If yes, how often is it reviewed and updated?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a written cost allocation plan? If yes, please submit. If yes, what allocation methodology is used?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have a conflict of interest policy? If yes, please submit.	<input type="checkbox"/> Yes	<input type="checkbox"/> NO
Does the agency have the ability to issue paychecks and take out taxes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the agency have the ability to be an employer of record for work experience participants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
How often is trial balance prepared?		
<b>Accounting System Disbursement/Reconciliation</b>		
Are all disbursements made by check?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are all checks pre-numbered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Who is authorized to sign the checks? Please indicate the name and title(s).		
How often is the bank reconciliation prepared?		
<b>Accounting System Disbursement/Reconciliation</b>		
Name:		
Address:		
Contact Person:		
Phone Number:		
Email:		
Length of Engagement:		

## **Appendix L: W-9 for Taxpayer Identification Number and Certification**

Download W-9 Form from <http://www.irs.gov/pub/irs-pdf/fw9.pdf>

## Appendix M: Statement of Assurance

The undersigned party acknowledges and assures that (Provider Name) \_\_\_\_\_ and all of its employees responsible for providing the services for which it has applied will abide and comply fully with all State, federal, and local, laws, ordinances, rules, regulations and/or executive orders, including but not limited to provisions of the laws listed below:

- WIOA Section 188, 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 VII of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis 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 Americans with Disabilities Act (ADA) of 1990 which prohibits discrimination against qualified people with disabilities based on disability;
- The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age;
- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs;
- Debarment and Suspension (Executive Orders 12549 and 12689) – A contract award (see 2 CFR § 180.220) must not be made to parties listed on the government-wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.52; and
- 29 CFR Part 38 and all other regulations implementing the laws listed above. This assurance applies to the operation of the WIOA Title I-financially assisted program or activity, and to all agreements the contractor makes to carry out the WIOA Title I-financially assisted program or activity. The undersigned understands that the United States has the right to seek judicial enforcement of this assurance.

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Name of Organization

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Typed/Printed Name of Signatory

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Signature of Authorized Official

Title

Date

## Appendix N: Statement of Compliance Form

As the authorized signatory official for: \_\_\_\_\_

I hereby certify:

- That the above-named respondent is legally authorized to submit this application requesting funding under the Workforce Innovation and Opportunity Act;
- That the above-named respondent does hereby agree to execute all work related to this application in accordance with the Workforce Innovation and Opportunity Act, U.S. Department of Labor, Local Workforce Development Board policies and guidelines, and other administrative requirements issued by the Governor of the State of Arizona. The vendor shall notify the YCLWDB within 30 calendar days after issuance of any amended directives if it cannot so comply with the amendments; and
- That the above-named respondent will ensure special efforts to prevent fraud and other program abuses, such as but not limited to, deceitful practices, intentional misconduct, willful misrepresentation, and improper conduct which may or may not be fraudulent in nature; and
- That the contents of the application are truthful and accurate and the above-named respondent agrees to comply with the policies Stated in this application and that this application represents a firm request subject only to mutually agreeable negotiations; and that the above-named respondent is in agreement that the YCLWDB reserves the right to accept or reject any proposal for funding; and that the above-named respondent has not been debarred or suspended from receiving federal grants, contracts, or assistance; and that the above-named respondent waives any right to claims against the members and staff of the Local Workforce Development Board.

\_\_\_\_\_  
Typed Name of Authorized Representative

\_\_\_\_\_  
Title of Authorized Representative

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

\_\_\_\_\_  
Date

## Appendix O: Certification Regarding Lobbying Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

- (1) No Federal appropriated funds have been paid or will be paid by on or behalf of the undersigned to any person for influencing or attempting to influence:
  - (a) an officer or employee of any agency,
  - (b) a Member of Congress,
  - (c) an officer or employee of Congress, or
  - (d) an employee of a Member of Congressin connection with awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
  
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence:
  - (a) an officer or employee of any agency,
  - (b) a Member of Congress,
  - (c) an officer or employee of Congress, or
  - (d) an employee of a Member of Congressin 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 instructions.
  
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontractors, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was entered into or made. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Name and Title of Authorized Representative

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Organization

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Signature

---

Date

## Appendix P: Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transaction

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participant's Responsibilities. The regulations were published as Part VII of the Federal Register dated May 26, 1988, (pages 19160-19211).

- (1) The prospective primary participant certifies to the best of his/her knowledge and belief that he/she and the organization's principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or Agency;
  - (b) Have not, within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for:
    - (1) 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; or
    - (2) 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;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1) (b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation.

---

Name and Title of Authorized Representative

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Organization

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Signature

---

Date

## Appendix Q: Drug-Free Workplace Certification

This certification is required by the Federal Regulations, Implementing Section 5150-5160 of Drug-free Workplace Act, 41, U.S.C. 701; for the Department of Agricultural (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Part 85, 688, and 682), Department of the Health and Human Services (45 CFR Part 76).

The Undersigned applicant certifies that it shall provide a drug-free workplace by:

1. Publishing a policy Statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the workplace and specifying the consequence of any such action by an employee;
2. Establishing an ongoing drug-free awareness program to inform employees of the dangers of drug abuse in the workplace, the Contractor's policy of maintaining a drug-free workplace, the availability of counseling, rehabilitation, and employee assistance programs, and the penalties may be imposed on employees for drug abuse violation in the workplace;
3. Providing each employee with a copy of the Contractor's policy Statement;
4. Notifying the employees in the Contractor's policy Statement that as a condition of employment under this contract, employees shall abide by the terms of the policy Statement and notify 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;
5. Notifying the Workforce Development Board within ten (10) days of Contractor's recipient of a notice of a conviction of an employee; and,
6. Taking appropriate personnel action against an employee for violating a criminal drug statute or require such employee to participate in drug abuse assistance or a rehabilitation program.

These certifications are 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.

Certified by:

---

Name of Organization

---

Typed/Printed Name of Signatory

---

Signature of Authorized Official

Title

Date

**Appendix R: Conflict of Interest Certification**

- 1. Proposer certifies that:
  - a. They have not offered or cause to have offered or provided any gratuities, favors, or anything of monetary value to any member or individual employed by the YCLWDB or Chief Elected Officials for the purpose of influencing the selection of their proposal or any other proposal submitted hereunder.
  - b. They have not engaged in any activity to restrict or eliminate competition.
  - c. No manager, employee or paid consultant of proposer’s company or spouse or child of any manager, employee of paid consultant is a member of the YCLWDB or Chief Elected Officials.
  - d. They have disclosed any interest, fact or circumstance which does or may present a potential conflict of interest below:  
\_\_\_\_\_

- e. If the answer to any of the above certifications is yes, proposer has disclosed the relationship or action below:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Violation of this provision may cause a proposer’s bid to be rejected. This does not preclude partnerships, consortiums or subcontracts.

I \_\_\_\_\_ (Name) \_\_\_\_\_ (Title)

of \_\_\_\_\_ (Name of proposer’s entity)

am authorized to make the above Certifications and to submit this proposal on behalf of

\_\_\_\_\_  
(Name of Proposer’s entity)

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

## Appendix S: Procurement Process

### Procurement Process

The YCLWDB procurement process complies with:

- Subject to the provisions of Sections 122 and 184 of the Workforce Innovation and Opportunity Act, recipients and sub-recipients shall administer procurement systems that reflect applicable State and local laws, rules, and regulations as determined by the Governor.
- Purchases of contractual services by the Yuma Private Industry Council, Inc., YCLWDB shall be based on competitive bids where appropriate. The content and issuance of invitations and specifications and basis of awards and rejection of bids shall comply with ARS Section 11-254.01.
- The YCLWDB reserves the right to reject the bid/proposal response of any persons or corporations who have previously defaulted on any contract with Yuma County or who have engaged in conduct that constitutes a cause for debarment or suspension.
- Per 2 CFR Part §215.42, "Code of Conduct". Contractors and subcontractors shall avoid conflicts of interest, real or apparent by observing the following requirements:

No officer, employee, or agent shall –

- a. Solicit or accept gratuities, favors, or anything of monetary value from suppliers or potential suppliers, including subcontractors under recipient contracts; or
- b. Participate in the selection, award, or administration of procurement supported by Department of Labor (DOL) funds where, to the individual's knowledge, any of the following has a financial or other substantive interest in any organization which may be considered for the award:
  - the officer, employee, or agent;
  - any member of his or her immediate family;
  - his or her partner; or
  - a person or organization which employs, or is about to employ any of the above.
- c. Violate any State or Federal conflict of interest law or regulation.

## Appendix T: Appeal Process

**Purpose:** To provide a process for prospective bidder who is allegedly aggrieved in connection with a solicitation or award of a contract to protest to the Executive Director.

**Policy:** This policy allows a prospective bidder the opportunity to appeal a solicitation or award of a contract if they feel that there is an alleged grievance. The protest shall be submitted in writing to the Executive Director within five (5) working days after notification of the recommendation of award.

**The decision of the Executive Director:** The Executive Director shall issue a written decision within ten (10) working days after receipt of the protest. The decision shall:

- (a) State the reason for the action taken;
- (b) Inform the protestant that a request for further administrative appeal of an adverse decision must be submitted in writing electronically to the Clerk of the Workforce Development Board at [AWDRFP@ypic.com](mailto:AWDRFP@ypic.com) within five (5) working days after the receipt of the decision made by the Executive Director.

**Protests and appeals to the Workforce Development Board:** The decision of the Executive Director may be appealed to the Workforce Development Board. Protests and appeals to the Workforce Development Board must be filed no later than seven (7) working days after the date of the decision being protested or appealed. Any appeal or protest shall be filed in writing electronically with the Clerk of the Workforce Development Board at [AWDRFP@ypic.com](mailto:AWDRFP@ypic.com) and shall State, as appropriate the following:

- (a) A determination or interpretation is not in accord with the purpose of these procedures;
- (b) There was an error or abuse of discretion;
- (c) The record includes inaccurate information; or
- (d) A decision is not supported by the record.

In the event of a timely appeal before the Workforce Development Board, the Board shall not proceed further with the solicitation or with the award of the contract until the appeal is resolved unless the Executive Director makes a written determination that the award of the contract without delay is necessary to protect a substantial interest of the workforce development system.

### **Protests and appeals Procedure:**

- (a) All appeals must be in writing, filed with the Contract Manager listed on page one, and include all of the following:
  - 1. Name of the RFP challenged;
  - 2. Name, address and telephone number of the protester;
  - 3. Detailed Statement of the legal and factual grounds of the protester including copies of the relevant documents;
  - 4. Form of the relief requested; and
  - 5. The signature of the protester or its legal representative.

- (b) Hearing Date: A hearing before the YCLWDB shall be scheduled within thirty days of the Board's receipt of a protest or appeal unless the protestor and County both consent to a later date.
- (c) Notice and Public Hearing: The hearing shall be a public hearing. Notice shall be mailed or delivered to the protestor not later than ten days before the scheduled hearing date.
- (d) Hearing: At the hearing, the YCLWDB shall review the record of the process or decision, and hear oral explanations from the protestor and any other interested party.
- (e) Decision and Notice: After the hearing, the YCLWDB shall affirm, modify, or revise the original decision: When a decision is modified or reversed, the YCLWDB shall State the specific reasons for modification or reversal. The Clerk of the Board shall mail notice of the YCLWDB decision. Such notice shall be mailed to the protestor within five working days after the date of the decision, and any other party requesting such notice.
- (f) A decision by the YCLWDB shall become final on the date the decision is announced to the public.

## Appendix U: Definitions

The YCLWDB provides the following definitions and references as a courtesy. Each proposer is responsible for conducting all necessary research to prepare its proposal.

### A. Definitions

Affiliate Site(s) An affiliated site, or affiliate one-stop center, is a site that makes available to jobseeker and employer customers one or more of the one-stop partners' programs, services, and activities. Affiliated sites are access points in addition to the comprehensive one-stop center(s) in each local area used to supplement and enhance customer access to services.

American Job Centers/One-Stop Centers/Job Centers — means Job Centers/One-Stop Centers (in Yuma County known as the ARIZONA@WORK – Yuma County) offer customer-focused services to employers and job-seekers and include easy access to integrated and comprehensive employment, training, and education services.

Arizona Job Connection (AJC) — AJC is the required statewide participant tracking and data collection system for recording and reporting services provided to job seeking and employer customers. AJC also provides a labor exchange function where job seekers and employers can connect with each other.

Barriers to Employment means characteristics that may hinder an individual's hiring, promotion, or participation in the labor force for example single parents, displaced homemakers, youth, public assistance recipients, older workers, substance abusers, teenage parents, veterans, ethnic minorities, and those with limited English speaking ability or a criminal record or with a lack of education, work experience, credentials, child care arrangements, transportation or alternative working patterns.

Board of Supervisors means the contracting authority for the County. They serve as the Chief Elective Officials (SEO's) and Yuma County has been granted WIOA Local Areas designation by the Governor of Arizona.

Client Referral System (CRS) — The Client Referral System (CRS) is a central component for referring customers between partners. The system is internet based to ensure that all partners are allowed to utilize the system to improve overall system effectiveness. The referral process provides timely and effective support that ensures that an appropriate plan of action for clients is initiated and properly tracks the client's referrals to community partners. **The CRS system has been developed by the Yuma Private Industry Council which reserves the right to make necessary universal modifications. The CRS will be available for use for the designated One-Stop Center Operator.**

Contract means the combination of the Solicitation, including the Uniform and Special Instructions to Responders, the Uniform and Special Terms and Conditions, and the Specifications and Statement or Scope of Work; the Offer and any Best and Final Offers; and any Solicitation Addendums or Contract Amendments.

Contractor means any entity that has a contract with the County.

Cost Reimbursement Contract means a contract format, which provides for the reimbursement of allowable costs, which have been identified and approved in the contract budget, and incurred in the operation of the program. Detailed documentation is required to justify payments made under this type of contract.

Days mean calendar days unless otherwise specified.

Disability means physical or mental impairment that substantially limits one or more of the major life activities of the individual; a record of such an impairment and being regarded as having such an impairment.

Integrated Service Delivery System (ISDS) — The ISDS allows staff to track customer navigation through the system. The database also provides detailed reports of customer visits to the center and partner agencies co-located in the center. It is an important internal support tool that complements the Arizona Job Connection (AJC) System for partner staff co-located at the One-Stop center. This shared database greatly reduces the duplication of services. In addition, the ISDS has a User Manual for the ISDS Self-Registration Kiosk via touch screen. The manual explains the features, provides a general overview of the system and establishes the ISDS Self-Registration Kiosk as an *integral* component of the Integrated Service Delivery System. The ISDS has been developed and will be available for use for the designated One-Stop Center Operator. **The ISDS has been developed by the Yuma Private Industry Council which reserves the right to make necessary universal modifications.**

Literacy means an individual's ability to (1) read, write, and speak in English, and (2) compute and solve problems, at levels of proficiency necessary to function on the job, in the family, and society.

Local Performance Measure means local indicators of performance that include indicators of performance and customer satisfaction measures as required under WIOA.

Memorandum of Understanding (MOU) means an agreement developed and executed between the Local Workforce Development Board and all WIOA-mandated Business and Career Center partners relating to the operation of the One-Stop system in the local area; may be developed as a single umbrella MOU or individual agreements with partners.

MIS: means management information systems. The purpose of MIS is to extract the required data from varied sources for the day to day operations.

Monitoring means the process of observing and/or reviewing program, fiscal, EO, and performance, which may include on-site observation, review of documents and electronic files, interviews with staff, employers and participants, telephone conversation, and formal evaluation of compliance elements or tools.

Need related payments means payments provide financial assistance to participants for the purpose of enabling individuals to participate in training activities, per 20 CFR 680.930. Needs-related payments may be provided to eligible participants accepted into training programs. The adult and dislocated workers must be unemployed and not qualify for, or have ceased qualifying for, unemployment compensation and be enrolled in a WIOA program of training or education services. Payments are based on a locally developed formula and documented in the Individual Employment Plan (IEP).

Offer means bid, proposal, or quotation.

Offer Due Date means the exact date and time offers are due.

One-Stop Operator means one or more entities designated or certified under section 121(d) of WIOA. The operator is charged with coordinating the service delivery among partner agencies in One-Stop

One-Stop Partner means an entity described in WIOA section 121(b)(1); and an entity described in section 121(b)(2) that is participating, with the approval of the local board and chief elected official, in the programmatic services of the one-stop delivery system.

Outcome means the documented effect or impact of a service or intervention on an individual. Outcomes are what the program efforts are designed to achieve. Proposed outcomes must be stated in terms of measurable indicators.

Program Year (PY) means the 12-month period beginning July 1, and ending, on June 30, in the fiscal year for which the appropriation is made.

Proposer means a vendor who responds to a Solicitation.

Public Assistance means financial cash payments made by federal, state, or local programs to individuals who meet specific income criteria.

Service Provider means an entity such as an educational institution, a nonprofit organization, or a commercial organization that delivers services to WIOA participants under a contract.

Solicitation means a Request for Proposals (“RFP”)

Targeted Populations — Individuals with barriers to employment, including displaced homemakers; low-income individuals; persons with disabilities; older workers; ex-offenders; homeless individuals; youth who are in or have aged out of the foster care system; English Language Learners; low literacy levels; or those who face substantial cultural barriers; Temporary Assistance for Needy Families (TANF); single parents (including pregnant women); and long-term unemployed individuals as well as veterans, veterans spouses, and priority of services.

Work Experience/Internships Work experiences or Internships are designed to enable the participant to gain exposure to the working world and its requirements.

Workforce Innovation and Opportunity Act (WIOA) of 2014 (Pub. L. 113-128) The federal legislation designed to coordinate and streamline all components of the nation's workforce development system, including employment, job training, education, and vocational rehabilitation services for youth (ages 14-24), adults, and dislocated workers.

YCLWDB means a Yuma County Local Workforce Development Board

Yuma County Local Workforce Development (YCLWD) means the designated geographic area in which collaborative members will provide workforce services.

**END OF DEFINITIONS**

## Appendix V: References

This RFP references the following documents:

Workforce Innovation and Opportunity Act, Public Law 113-128

<http://www.doleta.gov/wioa/>

State of Arizona WIOA Unified Workforce Development Plan

<https://des.az.gov/sites/default/files/media/wioStateplanfinal.pdf>

Yuma County - Arizona Workforce Development Plan Four Year Plan July 1, 2020 – June 30, 2023

<https://arizonaatwork.com/sites/default/files/Arizona%20Workforce%20Development%20Plan%202020-2023.pdf>

Workforce Innovation and Opportunity Act; Department of Labor; Final Rule

<https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-15975.pdf>

Workforce Innovation and Opportunity Act, Miscellaneous Program Changes; Final

Rule <https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-16046.pdf>

Programs and Activities Authorized by the Adult Education and Family Literacy Act (Title II of the Workforce Innovation and Opportunity Act); Final Rule

<https://www.gpo.gov/fdsys/pkg/FR-2016-08-19/pdf/2016-16049.pdf>

Performance Accountability

[https://www.doleta.gov/performance/reporting/eta\\_default.cfm](https://www.doleta.gov/performance/reporting/eta_default.cfm)

Office of Management and Budget's Uniform Administrative Requirements, Cost Principles and Audit requirement for Federal Awards final rule ( 2 CFR Part 200)

[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

Training and Employment Guidance Letter WIOA No. 3-15;

[https://wdr.doleta.gov/directives/attach/tegl/tegl\\_03-15\\_acc.pdf](https://wdr.doleta.gov/directives/attach/tegl/tegl_03-15_acc.pdf)

Training and Employment Guidance Letter No. 10-09

<https://wdr.doleta.gov/directives/attach/TEGL/TEGL10-09.pdf>

Training and Employment Guidance Letter No. 19-13

[https://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_19\\_13.pdf](https://wdr.doleta.gov/directives/attach/TEGL/TEGL_19_13.pdf)

Training and Employment Guidance Letter WIOA No. 19-16;

[https://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_19-16.pdf](https://wdr.doleta.gov/directives/attach/TEGL/TEGL_19-16.pdf)

Training and Employment Guidance Letter WIOA No. 10-16

[https://wdr.doleta.gov/directives/attach/TEGL/TEGL\\_10-16.pdf](https://wdr.doleta.gov/directives/attach/TEGL/TEGL_10-16.pdf)

Arizona Job Connection  
[www.azjobconnection.gov](http://www.azjobconnection.gov)

YPIC Support Services Policy  
<https://arizonaatwork.com/locations/yuma-county/plans-and-policies>

Conflict of Interest – State Workforce Policy #8  
<https://arizonaatwork.com/sites/default/files/media/Conflict%20of%20Interest%20Policy%20Adopted%20022819.pdf>

Office of Management and Budget’s Uniform Administrative Requirements, Cost Principles and Audit requirement for Federal Awards final rule ( 2 CFR Part 200)  
[http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)

It is the responsibility of all proposers to be familiar with the compliance aspects of the Uniform Guidance (2 CFR 200) if awarded a contract, comply with the Workforce Innovation and Opportunity Act and applicable State and federal regulations, as they currently exist or may be hereafter modified or supplemented.