



REQUEST FOR PROPOSAL
for
Monitoring Services

Proposal due August 20, 2018
5 pm

This RFP is also available online at:

www.winintelligence.org

www.semca.org

Federal Contractor
Equal Opportunity Employer & Programs
Minorities/Women/Disabled Veterans
Reasonable accommodations will be made upon request

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Section 1: RFP Contacts and Important Dates

Authorized Agency Contact

The authorized agency contact person for all matters concerning this request for proposal is:

Rana Al-Igoe
Director, Work-based Initiatives
Workforce Intelligence Network
rana.aligoe@WINintelligence.org

Timetable

A. Release date: July 23, 2018

B. Proposal Due Date and Submission:

Date: August 20, 2018
Time: Close of business (5 PM EST) Eastern Standard Time
Delivery method: E-mail responses to rana.aligoe@WINintelligence.org. Please specify “WIN Monitoring Services Proposal” in the subject line.

Questions must be emailed to rana.aligoe@WINintelligence.org no later than August 2, 2018, (5 PM EST). Please specify “WIN Monitoring Services RFP Question” in the subject line. Answers to questions received by the above deadline related to this request for proposal will be posted online on the page where this RFP is available for download no later than August 6, 2018.

Quotes that are not received via e-mail by the due date and time will be considered late and may be excluded from the review process. WIN is not responsible for any technical issues that may occur.

C. Contract and Payment Schedule

Upon receipt of a competitive quote, WIN and project partners will select a vendor and set contract terms, including payment schedule. A monthly invoice schedule is anticipated.

Section 2: Statement of Purpose and Background

Overview of the Workforce Intelligence Network for Southeast Michigan (WIN) and SEMCA

WIN is a partnership of ten community colleges and six Michigan Works! agencies in southeast Michigan. WIN’s mission is to cultivate a comprehensive and cohesive talent system to ensure employers find the workers they need for success.

SEMCA is a 501(c)3 non-profit that administers various human services programs in out-Wayne County and Monroe County. SEMCA provides fiscal, human resources and technology services for WIN.

Background

WIN's work relies on three pillars: providing up-to-date data and analysis; fostering collaboration among talent partners, including workforce development, community colleges, four-year postsecondary institutions, K-12 schools, economic development organizations, government, community based organizations, employers, and others; and directly proposing and executing innovative workforce solutions, often through grants and partnerships.

Problem Statement

WIN manages various Federal grants, including two from the United States Department of Labor (USDOL):

A four-year \$6M America's Promise grant with a goal of training 900 Southeast Michigan workers in careers in robotics and automation through the Advance Michigan Catalyst project.

A five-year \$4M American Apprenticeship Initiative (AAI) grant with a goal of increasing the number of Registered Apprenticeship programs and participants in the Greater Southeast Michigan area. This grant is branded locally as the Advance Michigan Center for Apprenticeship Innovation (AMCAI).

Statement of Purpose

As these are Federal grants, WIN/SEMCA must comply with all applicable rules and regulations governing such grants. Each of the existing federal grants from the USDOL utilizes subrecipients, whose treatment is described in [2 CFR 200.331](#) – Requirement for pass-through entities. This RFP is seeking to identify an organization to perform on-site reviews of the subrecipients' fiscal and program operations.

The subrecipients are as listed below.

Advance Michigan Catalyst (America's Promise or AP):

- Detroit Employment Solutions Corporation
- GST Michigan Works!
- Macomb/St. Clair Workforce Development Board
- Michigan Works! Southeast
- Oakland County Michigan Works!
- SEMCA (actual recipient)

Advance Michigan Center for Apprenticeship Innovation (AMCAI or American Apprenticeship Initiative [AAI]):

- Henry Ford College
- Jackson College (programmatic only)
- Lansing Community College
- Mid-Michigan Community College
- Oakland Community College
- Schoolcraft College
- St. Clair Community College (programmatic only)

Section 3: Scope of Work and Deliverables

Scope of Work

WIN/SEMCA is required by their funding source(s) to conduct monitoring on subrecipients to ensure high quality services to clients, adequate documentation for audit purposes, and contract compliance. To ensure that internal operations meet the same high standards, WIN/SEMCA elects to have the subrecipients' internal procedures related to the two grants listed in this RFP monitored as well. Subrecipients are monitored once during each program year. Additional issues are monitored as needed. Results of subrecipient monitoring will be reported to the subrecipient, WIN's Director of Work-based Initiatives, and SEMCA's Chief Financial Officer.

1. Planning

The vendor selected to conduct monitoring will provide each subrecipient with written notice of the date and time of the monitoring site visit. This notice will include:

1. The potential length of review.
2. The monitoring staff names.
3. The names or titles of subrecipient staff that must be available during the visit.
4. A list of documentation and/or records that will be reviewed.

A monitoring schedule must be submitted to WIN in advance of the site visits. The monitor must notify WIN if there are any revisions to this schedule.

2. The Process

The monitor will:

1. Hold an entrance conference.
2. Review documentation of specific areas identified.
3. Complete financial monitoring forms* (see Exhibit A).
4. Complete programmatic forms* (see Exhibit B).
5. Copy any documentation related to problematic areas.
6. Provide brief explanation(s) for problem areas identified during the review.
7. Discuss specific findings and problematic issues with the Director and program or fiscal staff and allow for explanations and documentation of current corrective action or justification rationale.

Bidders may propose to provide either financial monitoring or programmatic monitoring or both. Please specify in your proposal which proposal elements you are addressing.

3. Monitoring Report

A monitoring report will be issued within ten (10) business days after the monitoring visit by the monitor. If the report includes findings and requires corrective action, a preliminary report will be issued and the subrecipient must comply with the Follow-Up and Final Letter procedures (See

Sections 4 & 5 below). A preliminary report requires a final determination letter and copies of corrective action response(s) to be considered complete. These documents must be submitted to the subrecipient, WIN, and SEMCA.

If no findings are issued the monitor will issue a final report to the subrecipient and provide WIN and SEMCA with an electronic version of the final report.

4. Follow - Up

Subrecipients are required to submit a corrective action response to the findings identified in the monitoring report within twenty (20) business days of receipt of the report from the monitoring firm. The responses must clearly explain and substantiate the subrecipient's corrective action taken to resolve all findings. Supporting documentation to verify that corrections have been made should be included whenever possible. If the subrecipient does not comply with the follow up procedures or final letter procedures, WIN and SEMCA must be notified immediately so that further action can be taken.

5. Final Letter

WIN, or, if agreed by WIN, the monitor will respond to the subrecipient's corrective action with a letter either accepting the corrective action or requiring further corrective action within fifteen (15) business days of receipt. If further information is requested the subrecipient has ten (10) business days to respond to the final determination letter. Depending on the nature of the finding(s) an on-site follow-up visit will be scheduled to evaluate the corrective action taken by the subrecipient.

Section 4: Proposal Format, Review Process, and Evaluation

Proposal Format

In order for a proposal to receive funding consideration, the application included in this packet must be answered completely. Proposers should take care in following the format of the application. Use narrative and/or include attachments where requested. Adherence to this format is essential since evaluation criteria is based on the structure of the RFP. Failure to follow the requested format could result in the disqualification of your proposal.

Proposals should be prepared as simply as possible and provide a concise description of the bidder's capabilities to produce aforementioned deliverables. The proposal should be no longer than twenty (20) pages total and include the following:

1. Cover Page (form included in this RFP)
2. Identifying Information (form included in this RFP)
3. Executive Summary
4. Methodology
5. Past Performance

6. Staffing
7. Total Project Costs
8. Bidders Signature Sheet (form included in RFP)
9. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions (form included in RFP)
10. Certification Regarding Lobbying (form included in RFP)
11. Risk Assessment Questionnaire (form included in RFP)

Bid Review Process

The application is a preliminary mechanism used to determine the suitability of a vendor for funding. The review process involves:

A. Preliminary Screening

To be considered for funding you must complete the entire application and submit it by the deadline posted. Based on your response, an evaluation team will determine application status.

B. Follow-up / Fact Finding Documentation

Upon analysis of your completed application and budget, you may be asked by WIN/SEMCA to submit additional information or details to the evaluation team. You may also be asked to provide a presentation or demo of your organization's abilities to successfully fulfill the proposal requirements.

C. Evaluation Process

Proposals will be scored using a pre-determined scoring matrix by a formal evaluation committee. Vendors with the top proposals may be asked to participate in an interview or asked to provide further information/clarification. The evaluation committee will then select a vendor based on the outcome of the combined scores of all reviewers. This method of proposal evaluation may result in the bid being awarded to other than the lowest priced proposal.

Proposal Content and Evaluation

Based on information submitted, your suitability to deliver service will be rated in the following manner:

- Experience (45 points)
Evaluators will examine the relevant experience of the proponent with regard to monitoring of the administration and fiscal operation of the programs indicated. Experience with other similarly regulated federal and state programs will be of prime importance.
- Staff Qualifications (15 points)
Evaluators will review the relevant experience of the staff identified as intended providers of monitoring services. WIN/SEMCA expects the bidder to have professional staff presently in their employ who have credentials, education, and experience to be knowledgeable and capable of performing the required services. If bidder cannot identify specific staff qualifications for this project, then generic qualifications of each level of staff to be involved should be provided. Specific individual information will be given greater weight.

- Monitoring Tools (25 points)
Evaluators will examine monitoring tools to determine that all relevant components are included. Scores in this area will be based on overall comprehensiveness and scope of proposed monitoring tools.
- Total Cost (15 points)
The contract period is October 1, 2018 – September 30, 2019 with the option to renew for up to one additional year. Costs should be itemized to distinguish between financial monitoring and programmatic monitoring. Evaluators will examine projected costs relevant to the anticipated value and utility of proposed services. While lowest overall cost is desirable, the proposed mix of services and staff will be reviewed consistent with the anticipated needs of WIN/SEMCA. Proponents should provide their best assessment of the services necessary to effectively insure administration and programmatic compliance with relevant laws and regulations.

Evaluation Scoring

Experience	45
Staff Qualifications	15
Monitoring Tools	25
Total Cost	15
Total Points	100

Please do not add any additional attachments.

Section 5: Contract Terms and Conditions

When a vendor is selected, WIN/SEMCA and the vendor will create a contract governing services, payment, and other terms. The contract will note the following:

- The type of contract being awarded
- A W-9 being required for payment
- WIN/SEMCA is tax-exempt and will supply such certificate upon request

The contract will also include each of the following provisions as applicable:

- A. Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 U.S.C. 1908, must address administrative, contractual, or legal remedies in instances where subrecipient violate or breach contract terms, and provide for such sanctions and penalties as appropriate.
- B. All contracts in excess of \$10,000 must address termination for cause and for convenience by the non-

Federal entity including the manner by which it will be affected and the basis for settlement.

- C. Equal Employment Opportunity. Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of “federally assisted construction contract” in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, “Equal Employment Opportunity” (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, “Amending Executive Order 11246 Relating to Equal Employment Opportunity,” and implementing regulations at 41 CFR part 60, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor.”
- D. Davis-Bacon Act, as amended (40 U.S.C. 3141-3148). When required by Federal program legislation, all prime construction contracts in excess of \$2,000 awarded by non-Federal entities must include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction”). In accordance with the statute, contractors must be required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, subrecipients must be required to pay wages not less than once a week. The non-Federal entity must place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation. The decision to award a contract or subcontract must be conditioned upon the acceptance of the wage determination. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency. The contracts must also include a provision for compliance with the Copeland “Anti-Kickback” Act (40 U.S.C. 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled. The non-Federal entity must report all suspected or reported violations to the Federal awarding agency.
- E. Contract Work Hours and Safety Standards Act (40 U.S.C. 3701-3708). Where applicable, all contracts awarded by the non-Federal entity in excess of \$100,000 that involve the employment of mechanics or laborers must include a provision for compliance with 40 U.S.C. 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 U.S.C. 3702 of the Act, each contractor must be required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 U.S.C. 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.
- F. Rights to Inventions Made Under a Contract or Agreement. If the Federal award meets the definition

of “funding agreement” under 37 CFR §401.2 (a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance of experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

- G. Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended—Contracts and sub grants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).
- H. 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 governmentwide 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.
- I. Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)—Contractors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award.

Section 6: Required Forms

The following forms must be completed and submitted with proposals. These forms will not count towards the total page limit.

Cover Page

(Vendor Logo)
Vendor Name

Response to

Request for Proposal

Monitoring Services

Identifying Information

A. _____
Name of Organization

Street Address

City State/Zip County

B. _____
Contact Representative and Title

C. _____
Phone Number

D. Type of Organization:

- | | |
|---|---|
| <input type="checkbox"/> Public School | <input type="checkbox"/> Private Non-Profit |
| <input type="checkbox"/> Private for Profit | <input type="checkbox"/> Community-Based Organization |
| <input type="checkbox"/> Community College | <input type="checkbox"/> Other (specify): _____ |

WIN/SEMCA is seeking the services of an organization that is qualified and experienced in providing monitoring services. For maximum flexibility, continuity and efficiency, WIN/SEMCA will contract with one or more organizations to provide the deliverables as outlined in this Request for Proposal.

Bidder's Signature Sheet

Bidding under the name of: _____

Federal Employer Identification Number: _____
which is (check one of the following):

- Corporation, incorporated under the laws of the State of _____
List all officers and stockholders: _____
- Assumed Name (Register No.) _____
- Individual

Partnership

Is any owner, partner, stockholder or employee of the company or institution completing this Request for Proposal associated with or have a family member employed by SEMCA, serving on the WIN or SEMCA board, or an employee of one of the subrecipients to be monitored?

Yes

No

If yes, name of company member: _____

I certify that this proposal is a firm proposal to begin October 1, 2018, and that complete and accurate records justifying all expenditures, leaving a clear audit trail to point of origin will be maintained, subject to periodic audit by WIN, SEMCA, the State of Michigan, and or the US Department of Labor. I further certify that I have read and understand the specifications preceding this application.

NOTE: This document must be signed by the individual who has signatory authority for the organization under whose sponsorship this proposal has been submitted.

Authorized Signature: _____

Printed or Typed: _____

Title: _____

Address: _____

Date: _____

If another individual is authorized to sign contracts as a result of this proposal, indicate:

Name of Authorized Individual (type): _____

Signature of Authorized Individual: _____

When payment on such contract is to be directed to the same company at an address different from above, fill in that address: _____

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions

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

(BEFORE COMPLETING CERTIFICATION, READ ATTACHED INSTRUCTIONS WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)

(1) The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently deba1Ted, suspended, proposed for deba1Tment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this ce1iification, such prospective participant shall attach an explanation to this proposal.

Agency

Name and Title of Authorized Representative

Signature

Date

Certification Regarding Lobbying

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

(1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements), and that all subrecipients shall certify and disclose accordingly.

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

Signature _____ Date _____

Risk Assessment Questionnaire

<p>In accordance with Office of Management and Budget (OMB) Title 2 CFR Part 200.331 WIN/SEMCA, is responsible for evaluating its contractors for risk.</p> <p>Please provide responses to the questions that follow:</p>	<p>Bidder Representative Completing this questionnaire:</p>	<p>(To be completed by WIN/SEMCA)</p>			
	<p>Name of Bidder:</p>	<p>FEDERAL AWARDING AGENCY</p>			
		<p>GRANT</p>			
		<p>CFDA#</p>			
		<p>RISK ASSESSMENT</p>			
	<p>Comment</p>	<p>Low 1</p>	<p>Med 2</p>	<p>High 6</p>	
<p>1. Prior to receiving funding from WIN/SEMCA, had your organization received a federal grant (directly or indirectly) within the past five years? <input type="checkbox"/>Yes <input type="checkbox"/> No</p> <p>If yes, when? Description of grant:</p>					

<p>2. Has your organization previously been required to submit to a compliance audit or Single Audit as required by OMB A-133, Title 2 CFR Part 200 or the cognizant agency? <input type="checkbox"/>Yes <input type="checkbox"/> No</p>				
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<p>If yes, provide the single audit. This attachment does not apply to maximum page count.</p> <p>Was the award determined to be a major federal program in the audit? <input type="checkbox"/>Yes <input type="checkbox"/> No</p>				
<p>3. Were there any findings resulting from the single audit? <input type="checkbox"/>Yes <input type="checkbox"/> No</p>				
<p>4. Does the individual (or team of individuals) with primary responsibility for grant-related financial activities have prior experience with federal grants? <input type="checkbox"/>Yes <input type="checkbox"/> No If yes, describe:</p>				
<p>5. Does your organization have written policies and procedures related to internal controls and oversight? <input type="checkbox"/>Yes <input type="checkbox"/> No</p>				
<p>6. Has your organization had new or substantial changes to its operating structure/systems or has new personnel? <input type="checkbox"/>Yes <input type="checkbox"/> No</p>				

Overall rating based on scoring (6 to 8 = "low", 9 to 13 = "medium", over 14 = "high"):

Section 7: General Terms and Conditions

Federal Contractor

WIN/SEMCA is a federal contractor obligated to take affirmative action to employ women, minorities, disabled individuals, and veterans. WIN/SEMCA is also required to inform those with whom it conducts business that they, too, may have such obligations.

Grievance Policy

WIN/SEMCA subscribes to the policy of equal opportunity and as such, maintains a formal grievance procedure to handle complaints of customers and service deliverers. Adherence to same is acknowledged by acceptance of a contract from WIN/SEMCA.

Right to Refusal and Proposal Preparation Costs

This preliminary application does not commit WIN/SEMCA to award a contract, or to pay any costs incurred in the preparation of a proposal submitted in response to this request or to procure or contract services or supplies. This includes any demonstration and/or interviews that are part of the proposal process. WIN/SEMCA reserves the right to accept or reject any or all proposals in part or in their entirety

if it is in the best interest of WIN/SEMCA to do so.

Right to Negotiate

The WIN/SEMCA contracting officer will require the proposer selected to participate in negotiations and to submit any price, technical, or other revisions of their proposals as may result from negotiation.

Right to Request Additional Information

WIN/SEMCA reserves the right to request any additional information that might be deemed necessary after the completion of this document.

Technical Assistance

WIN/SEMCA may request technical assistance on an as needed basis for any issues or questions that arise during the year. The cost for technical assistance services on an hourly basis should be identified separately in the proposal.

Additional Charges

The successful bidder shall be responsible for all costs required to achieve completion of the services listed in the contract. These costs must be included in the base bid. No additional charges, other than those listed in the proposed cost breakdown, shall be made.

Pricing Eligibility Period

All vendor proposal bids are required to be offered for a term not less than **120** calendar days in duration.

Federal or State Sales, Excise, or Use Taxes

Owner does not pay sales use tax. All other taxes, fees, permits and shipping costs, etc. shall be included.

Contract Requirements

WIN/SEMCA considers this RFP legally binding and will require that this RFP and the resulting contract and any amendments be included as addenda to any subsequent agreements between the Vendor(s) and WIN/SEMCA. It should be understood by the Vendor(s) that this means that the Owner expects the Vendor(s) to satisfy substantially all requirements and reports listed herein. Exceptions should be explicitly noted in the Vendor Proposals. Lack of exceptions will be considered acceptance of all specifications as presented in this RFP.

Additional Terms

All statements made in the proposal are to be considered final and, if the proposal is accepted, may be used as the basis of an agreement.

All proposals become public information after the award decision and may be open for public scrutiny, upon written request.

Proposals become the property of WIN/SEMCA upon submission and will not be returned to the bidder.

Proposals must be submitted in the legal name of the organization. Proposals should not be submitted in the name of a project. WIN/SEMCA will only contract with the legal entity named in the proposal.

Monitoring services will be conducted for the following periods:

- October 1, 2015 – September 30, 2018 for AAI
- January 1, 2017 – September 30, 2018 for AP

WIN/SEMCA may extend the contract to include monitoring for the following periods:

- October 1, 2018 – September 30, 2019 for AAI and AP
- October 1, 2019 – September 30, 2020 for AAI and AP
- October 1, 2020 – December 31, 2020 for AP.

Therefore, projected costs for monitoring the periods listed above should be included in the proposal and clearly labeled.

Financial Monitoring

1. Review a sample of expenditures for allowability. Are checks supported by adequate documentation? Is there documentation of need for supportive service payments? Are there signed purchase orders or contracts as appropriate?
2. Have there been subcontractors other than for training?
3. Review an expenditure report for each funding title/program. Verify that the reported costs are supported by adequate documentation and can be traced to ledgers and/or trial balances. Check for inclusion of accruals for all sources. Verify that costs are reported correctly by category and funding source. Determine if the reports are submitted by the 7th of each month as required in the contract.
4. Review an expenditure report for leverage fund. Verify that the reported costs are supported by adequate documentation and can be traced to ledgers and/or trial balances. Check for inclusion of accruals for all sources. Verify that leverage costs are reported in the correct category. Determine if the reports are submitted by the 7th of each month as required in the contract.
5. Review the accounting system and the internal controls of the subrecipient to make sure there is an adequate segregation of duties. Who is responsible for oversight of accounting functions? Is there a petty cash fund? What is the procedure for cash receipts and disbursements? What are the requirements for purchasing and receipt of goods? What are the payroll procedures?
6. Has there been any equipment purchased with grant funds?
7. Has there been any program income? Was it reported to SEMCA and used to offset current expenditures?

Programmatic Monitoring

1. Select a sample of files from a list provided by WIN/SEMCA. Monitor each file utilizing a structured form. See Exhibit B for samples.

**America's Promise
Participant Monitoring Form
Sample**

GENERAL INFORMATION

Participant Name:

Training Provider:

Date Enrolled:

MONITORING PROCEDURE

Yes No

- | | | |
|--|-------|-------|
| 1. Registration form is competed and signed. | _____ | _____ |
| 2. Customer is eligible. | _____ | _____ |
| 3. ISS supports need for training. | _____ | _____ |
| 4. Pre-test scores appropriate and documented. | _____ | _____ |
| 5. Training conditions are adequate. | _____ | _____ |
| 6. Case management documented. | _____ | _____ |
| 7. If training is complete, is certificate documented? | _____ | _____ |

1. Registration Form is competed, signed, and included in case file.
2. Trace the customer to the g*stars of active customers to verify enrollment and eligibility.
3. Assure that the customer was objectively assessed and that the results are documented on the Individual Service Strategy (ISS).
4. Review the pre-test scores and documentation to assure that results indicate skills are at adequate level for training program.
5. Review the training outline, curriculum, and other course material for adequacy of training and that it has a workplace context.
6. Review case management notes to determine if adequate case management has taken place and been documented.

**American Apprenticeship Innovation
Participant Monitoring Form
Sample**

GENERAL INFORMATION

Participant Name:

Employer Name:

Date Enrolled:

MONITORING PROCEDURE

Yes

No

1. Participant Information Form (PIF) is completed and signed.
2. Customer is eligible.
3. ISS supports need for training.
4. Training conditions are adequate.
5. Case management documented.
6. If training is complete, is certificate documented?

_____	_____
_____	_____
_____	_____
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_____	_____
_____	_____

1. Participant Information Form (PIF) is completed, signed, and original is included in case file.
2. Documentation demonstrating eligibility is included in case file.
3. Assure that the customer was objectively assessed and that the results are documented on the Individual Service Strategy (ISS).
4. Review the training outline, curriculum, and other course material for adequacy of training and that it has a workplace context.
5. Review case management notes to determine if adequate case management has taken place and been documented.