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**Request for Proposals (RFP) for**

**Fiscal Management Services**

**Pocono Counties Workforce Development Area**

**RFP # 135-23-02**

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| **RFP SUMMARY:**  This RFP seeks proposals for comprehensive fiscal management services for the Pocono Counties Workforce Development Area, aimed at enhancing financial operations and ensuring compliance with relevant regulations, including those governing WIOA and TANF funding. The selected vendor will be responsible for efficient processing of financial transactions, accurate reporting, and strategic financial planning to support the WDA's workforce development goals and regional economic growth. This collaboration fosters fiscal innovation and improves financial practices across Carbon, Monroe, Pike, and Wayne Counties. | |
|  | |
| **RFP ISSUE DATE** | April 15th, 2024 |
| **PROPOSAL DUE DATE** | May 17th, 2024 |
| **PRE-PROPOSAL CONFERENCE** | A pre-proposal conference will be held on 4/25/2024 at 10 AM EST. It is recommended that all proposers attend.  Pre-Proposal Conference Link: [**ZOOM LINK**](https://us02web.zoom.us/j/83517796644?pwd=OFE0Vm9ncVd1YTg0WFQremsxNDFzdz09) |
| **DEADLINE FOR QUESTIONS** | The deadline for questions is 5/1/2024 at 4:30 PM EST. As indicated below, questions and/or inquiries must be submitted in writing to Samuel Hellen, The RFP Official Contact. |
| **PROPOSAL**  **SUBMISSION PROCESS** | Proposals can be submitted by:  By Mail: 811 Blakeslee Blvd. Dr. E, Suite 85, Lehighton, PA 18235  By Email: [shellen@pcwia.org](mailto:shellen@pcwia.org)  Online via OneDrive: [**Submission Link**](https://pcwia-my.sharepoint.com/:f:/g/personal/shellen_pcwia_org/El70BnU7W1VNozTxmY5wJQEB9dXbJ02xdSEXiy9ymTSTIQ?e=cdDRGf) |
| **RFP WEBSITE** | <https://pcwia.org/rfps/> |
| **RFP OFFICIAL CONTACT** | Samuel Hellen, Executive Director. Phone: 484-464-2494. [shellen@pcwia.org](mailto:shellen@pcwia.org) |

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4/15/2024

Dear Members of the Vendor Community

On behalf of the Pocono Counties Workforce Development Area (PCWDA), I am pleased to invite your participation in the upcoming procurement process for essential fiscal management services. This initiative represents a strategically significant effort to enhance our fiscal operations' efficiency, transparency, and compliance across Carbon, Monroe, Pike, and Wayne Counties.

Our vision for this service is to establish a robust framework that addresses our current fiscal management needs and strategically aligns with our broader mission to foster economic growth and workforce development in the region. Recent challenges, including shifting from internal to external fiscal management, have underscored the importance of having a dedicated, expert partner to ensure continuity, adherence to good fiscal practices, and alleviating staffing constraints within our department.

In preparation for this RFP, we have engaged in a comprehensive feedback process, gathering insights from residents, service recipients, subject matter experts, and current vendors to understand the gaps and opportunities in our fiscal management. This feedback has been instrumental in shaping this procurement's strategic direction and outcome goals, focusing on enhancing regulatory compliance, improving operational efficiency, and ensuring the effective use of resources.

We are committed to collaborating closely with our chosen vendor to achieve these goals and invite innovative solutions to bring transformative improvements to our fiscal operations. We will hold a pre-proposal conference on April 25, 2024, at 10 AM EST to facilitate a mutual understanding of our objectives and requirements. We strongly recommend that all interested parties attend this session to gain further insights into the RFP details and submission process.

We sincerely thank the vendor community for your interest and potential contributions to this critical initiative. Your expertise and innovative approaches are vital to helping us achieve a successful outcome that will have a lasting positive impact on the communities we serve.

Thank you for your attention and consideration.

Samuel Hellen

Samuel Hellen - Executive Director

Pocono Counties Workforce Development Area

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# The Opportunity

## Summary

The Pocono Counties Workforce Development Area (WDA) invites proposals for comprehensive fiscal management services critical to strategically overseeing workforce development initiatives across Carbon, Monroe, Pike, and Wayne Counties. This RFP seeks to partner with a proficient fiscal management service provider capable of enhancing financial operations, ensuring regulatory compliance, and supporting the strategic goals of workforce development and regional economic growth.

The selected vendor will ensure that all financial transactions and records are handled efficiently and accurately. Services required include processing financial transactions such as invoices and vouchers, preparing and submitting detailed financial reports, and assisting with annual audits and other compliance checks mandated by the Pennsylvania Department of Labor and Industry or the US Department of Labor. These tasks are vital to maintaining transparency and accountability in managing funds from various grants, including those from the Workforce Innovation and Opportunity Act (WIOA) and Temporary Assistance for Needy Families (TANF).

Additionally, the vendor will contribute to strategic financial planning efforts, providing quarterly fiscal reports that will help guide the decision-making processes of the Workforce Development Board and local management. This will include budget forecasting and financial planning to meet the current and future needs of the WDA. The service provider is also expected to recommend and implement best practices in financial management to optimize efficiency and compliance with existing fiscal policies.

The prospective vendor should bring a proven track record of performance in similar roles, demonstrating a deep understanding of public sector financial management, compliance, and reporting requirements. The ideal candidate will be able to innovate within the scope of their services to meet the evolving needs of the Pocono Counties WDA and will be instrumental in driving forward the mission to enhance workforce development across the region.

## Background

**Pocono Counties Workforce Development Area Overview**

The Pocono Counties Workforce Development Board (WDB) comprises representatives from private-sector businesses, social services, education, labor, economic development, and community-based organizations.  The purpose of the Board is to provide strategic oversight, direction, and focus to the employment and training services offered to residents and employers of the four counties that comprise the Pocono Counties Workforce Development Area (WDA) – Carbon, Monroe, Pike, and Wayne Counties.

**Fiscal Management Overview**

The fiscal management of the Pocono Counties Workforce Development Area (PCWDA) has undergone significant transitions to adapt to evolving needs and to enhance service delivery. Historically, fiscal management tasks were handled internally within the PCWDA Administrative office. This arrangement included comprehensive management of financial operations, oversight of compliance with various funding requirements, and strategic financial planning.

In response to the need for more specialized fiscal expertise and to ensure the continuity and stability of fiscal services, the decision was made to transition the role of fiscal management from an internal position to an outsourced contractor role. This strategic shift has allowed the PCWDA to adhere to good fiscal practices more effectively and alleviated the department's staffing burdens. By outsourcing these responsibilities, the PCWDA has been able to focus more on strategic oversight and program development while leaving technical and fiscal management tasks to specialized external providers.

The PCWDA is utilizing a Fiscal contractor as a sole source until June 30, 2024. This arrangement was established due to an immediate need for enhanced fiscal services, ensuring no disruption in fiscal management and that all financial operations continue to meet high accuracy, compliance, and efficiency standards. The move to a contracted model has allowed for a more flexible and adaptive approach to fiscal management, capable of responding promptly to changes in funding streams, regulatory requirements, and organizational priorities.

This RFP represents the next phase in the evolution of fiscal management within the PCWDA, seeking to build on the current model by inviting proposals from vendors who can offer innovative solutions, robust financial expertise, and a proven track record of managing complex fiscal environments. The future contractor will be expected to continue enhancing fiscal operations and contribute strategically to the Workforce Development Board’s goals, driving forward the mission to improve workforce development across the four-county area. This transition to a more competitive and performance-based contract model will foster greater accountability, enhance service quality, and ensure that the PCWDA’s fiscal management can support current and future development initiatives.

**Needs Statement**

The Pocono Counties Workforce Development Area (PCWDA) currently faces a critical juncture in its fiscal management services due to the impending conclusion of its existing sole-source contract on June 30, 2024. This situation presents a significant need for a robust, competitively procured fiscal management service that can ensure sustained high-quality management of financial operations, compliance with federal and state regulations, and support strategic financial planning. The absence of such services could lead to potential disruptions in financial management, risking non-compliance with funding regulations such as WIOA and TANF, inefficient resource allocation, and ultimately, undermining the effectiveness of workforce development programs across Carbon, Monroe, Pike, and Wayne Counties. Therefore, the PCWDA seeks a partnership with a skilled fiscal management provider to uphold fiscal operations' integrity and contribute to the region's economic and workforce development goals.

## Outcome Goals

1. Enhanced Compliance and Accuracy: Achieve 100% compliance with all federal and state financial regulations, including WIOA and TANF, through rigorous and accurate financial reporting. This goal underscores the importance of aligning financial operations with regulatory standards, ensuring uninterrupted funding, and avoiding financial penalties.
2. Operational Efficiency: Reduce the processing time for financial transactions, including invoices and reimbursements. This improvement in efficiency will facilitate quicker access to resources, supporting timely and effective service delivery across all programs.
3. Strategic Financial Oversight: Enhance the capability of the PCWDA to make data-driven financial decisions that align with strategic goals. By the end of the contract period, the provider will have helped develop a framework that enables the WDA to forecast financial needs and allocate resources more effectively, supporting sustainable workforce development initiatives.
4. Innovation in Fiscal Management: Introduce innovative fiscal management practices that improve budget utilization efficiency. This goal focuses on maximizing the impact of every dollar spent, ensuring that funds are used most effectively to support workforce development.
5. Stakeholder Satisfaction: Increase stakeholder (including funders, program participants, and community partners) satisfaction with the transparency and accountability of fiscal operations by at least 25% by the end of the contract period. This will be measured through annual surveys and feedback mechanisms, reflecting improved confidence in the PCWDA's fiscal management.

## Award Terms

* Duration of Contract: The initial contract duration for Fiscal Services shall be for a fixed period commencing on July 1st, 2024, and ending on June 30th, 2027. This contract shall cover twenty-four (36) months.
* Contract Type: The fiscal services contract shall be awarded on a cost-plus basis. The selected contractor shall be reimbursed for all allowable and reasonable direct costs incurred during the performance of the agreement, or an agreed-upon fixed fee to cover indirect costs and profit, or a combination of these two items. The fixed fee shall be negotiated at the time of the contract award and shall not be subject to adjustment based on the contractor's actual costs.
* Award Selection: Only one (1) award will be given for the Fiscal Services contract. The award selection will be based on evaluating proposals submitted in response to the RFP using the evaluation criteria outlined in the RFP documentation. The award will be made to the offeror responsible whose proposal is determined to be the most advantageous to the procuring entity, considering both technical and cost factors.
* Renewal Options: Upon completion of the contract term, a renewal period of one (1) or two (2) years may be exercised based on mutual agreement between the Pocono Counties Workforce Development Area and the vendor. The procuring entity reserves the right to initiate a new procurement process in 2027, or after completion of the renewal option, to select Fiscal Services for the subsequent contract term.
* Governing Law and Regulations: The Fiscal Services contract shall be governed by and construed by the laws and regulations of the area where the procuring entity operates. The contractor shall be required to comply with all applicable federal, state, and local laws, rules, and regulations, as well as any additional requirements set forth by the procuring entity.
* Termination and Suspension: The procuring entity reserves the right to terminate or suspend the Fiscal Services contract, in whole or in part, at any time during the contract period, for convenience or cause, by the termination and suspension provisions outlined in the RFP and the resulting contract. In the event of termination or suspension, the contractor shall receive reimbursement for all allowable and reasonable costs incurred up to the date of termination or suspension, subject to any applicable setoffs or deductions.
* Modifications: No modifications to the terms and conditions of the Fiscal Services contract shall be binding unless made in writing and signed by the authorized representatives of both the procuring entity and the contractor. Any requested modifications must be submitted using the procedures and requirements outlined in the RFP and the resulting contract.
* Indemnification and Insurance: The contractor shall indemnify and hold harmless the procuring entity, its officers, agents, and employees from all claims, losses, damages, or expenses, including reasonable attorney's fees, arising out of or in connection with the contractor's performance of the Fiscal Services contract. The contractor shall also maintain sufficient insurance coverage, as specified in the RFP, to protect against any risks associated with the contract's performance.

# Scope of Work

The Pocono Counties Workforce Development Area (WDA) seeks a fiscal management service provider capable of optimizing financial operations and ensuring compliance with all relevant regulations, including those governing the Workforce Innovation and Opportunity Act (WIOA) and Temporary Assistance for Needy Families (TANF) funding. The selected vendor will prepare and submit accurate financial reports, assist with the annual single audit, enhance the efficiency of accounts payable processes, and support strategic financial planning for the Workforce Development Board, Administrative office, and local management. Additionally, the vendor will evaluate and recommend best fiscal practices to improve overall financial management. This collaboration aims to foster fiscal innovation, streamline financial operations, and support the WDA's strategic goals of workforce development and regional economic growth, ensuring effective service delivery to job seekers, businesses, and youth across Carbon, Monroe, Pike, and Wayne Counties.

## Services to be Provided

The Pocono Counties Workforce Development Area (WDA) requires a comprehensive fiscal management service that encapsulates a wide range of financial operations to support the effective and efficient delivery of employment and training services across Carbon, Monroe, Pike, and Wayne Counties. The service provider will be responsible for primary tasks and significant components, ensuring adherence to all applicable financial, legal, and regulatory standards.

### Service Requirements

* **Financial Reporting and Compliance:** Monthly preparation and submission of financial reports detailing expenditures, revenues, and compliance with WIOA and TANF guidelines. This includes the development and submission of an annual budget for various grants, monthly or quarterly financial status reports, and assistance with the coordination and completion of the annual single audit and local, state, or federal monitoring as required by the PA Department of Labor and Industry or the US Department of Labor.
* **Accounts Payable Management:** Regularly process invoices and payments with the Workforce Development Board Administrative office, ensuring accurate financial tracking and reporting. The provider is expected to process an estimated 50-100 invoices, vouchers, and reimbursements per month, with varying complexity.
* **Strategic Financial Planning:** Quarterly fiscal reports to assist the Workforce Development Board and management in strategic decision-making, including budget forecasts and financial planning for future program needs. This may also include tracking fiscal budget, goals, and performance for the Workforce Development Area based on yearly budgets, grant performance metrics, and sound fiscal policy.
* **Recommendation and Implementation of Best Fiscal Practices:** Review sessions as needed or recommended to assess current financial processes, identify areas for improvement, and implement innovative financial management practices to enhance efficiency and compliance.

### General Requirements

* **Legal and Regulatory Compliance:** 
  + Adherence and compliance with all local, state, and federal financial management regulations, including specific requirements for managing federal grants and workforce development funds.
  + Adherence to all applicable licensing, permitting, and reporting requirements for workforce development services.
  + Implement policies and procedures that protect client confidentiality and privacy per the Health Insurance Portability and Accountability Act (HIPAA) and other relevant privacy laws.
* **Staffing and Organizational Structure:** The service provider must detail their staffing model, including the qualifications, experience, and credentials of key personnel assigned to this contract. This includes ensuring all staff undergo background checks and possess the required licensure.
* **Data and Technology Utilization:** Utilize advanced financial management software and technology to ensure accurate and efficient data collection, reporting, and analysis. The provider must demonstrate capability in e-mail and internet applications and commit to maintaining high data security and client privacy standards. The Pocono Counties Workforce Development Area utilizes the following technology programs:
  + Microsoft Office Applications, including but not limited to Outlook, Word, Teams, Excel, and SharePoint.
  + Adobe Pro to process invoices and manage forms and e-signatures.
  + Microsoft Dynamics GP Fiscal Management System (FMS) – Internal Fiscal Management System
  + Commonwealth Workforce Development System (CWDS) – Pennsylvania Department of Labor and Industry System of Record utilized for all fiscal reporting to the Commonwealth of Pennsylvania.
* **Financial and Compliance Oversight:** Maintain comprehensive insurance coverage per the WDA requirements, implement stringent financial control procedures, and provide annual audited financial statements to demonstrate sound financial management and compliance.
* **Budget Management:** Work within the allocated budget parameters, managing funds sourced from various programs and ensuring cost-effective service delivery. The provider will also manage third-party reimbursements, apply cost standards, and oversee sub-consultant contracts as necessary.

The scope and scale of services required under this contract demand a proactive approach to fiscal management, focusing on compliance, efficiency, and strategic financial planning. The selected service provider will support the Pocono Counties WDA’s mission to enhance workforce development and contribute to regional economic growth through expert financial management and innovative practices.

**Role of Pocono Counties Workforce Development Area**

In delivering fiscal management services, the Pocono Counties Workforce Development Area will assume a critical oversight and facilitative role, ensuring an effective partnership with the selected service provider. The WDA's responsibilities are multifaceted, aimed at supporting the service provider while safeguarding the program's integrity and alignment with strategic objectives. Central to the WDA's role is establishing a governance framework to collaboratively oversee the fiscal management services, underscored by regular progress reviews and strategic alignment sessions with key board members and management.

The WDA will provide administrative and logistical support to the service provider, including providing necessary office space or tools, access to essential financial records, and facilitating stakeholder interactions. Technical support will also be a cornerstone of the WDA's role, granting the service provider access to necessary financial systems, databases, and technological infrastructure, ensuring they are well-equipped to perform their duties effectively.

PCWDA will maintain open lines of communication, offering policy guidance and regulatory updates to keep the service provider abreast of relevant financial management policies, regulatory mandates, and compliance standards. This includes orchestrating quality assurance measures and performance evaluations against established metrics to monitor service quality and compliance. The PCWDA will implement a comprehensive monitoring framework to regularly assess fiscal operations, including subcontracted services, identify areas for improvement, and ensure corrective measures are promptly enacted.

While the operational management of fiscal activities will be the purview of the service provider, the WDA will oversee financial oversight roles, including budget approvals, expenditure oversight, and the alignment of fiscal practices with the WDA’s strategic goals. Contract management will be a critical function of the WDA, handling contract negotiations, dispute resolutions, and adjustments to service scope as necessitated by evolving program needs or strategic shifts.

## Performance Metrics and Contract Management

### Performance Metrics

The Pocono Counties Workforce Development Area is interested in identifying metrics to work collaboratively with the awarded vendor(s) to monitor and improve performance during the contract's life. The Pocono Counties Workforce Development Area has identified initial metrics of interest. It looks forward to working with the awarded vendor(s) to add to or refine this list during contract negotiations. The final set of performance metrics and collection frequency will be negotiated by the successful proposer and the Pocono Counties Workforce Development Area before the finalization of an agreement between parties. It may be adjusted over time as needed.

The Pocono Counties Workforce Development Area has established the following performance measures:

* Accurately process invoices and vouchers within the fiscal system within 72 hours of receipt from the WDA Administration office.
* Complete and submit all reports accurately and timely to the Commonwealth of Pennsylvania for WIOA, TANF, or other grant funding based on state requirements or local policies.
* Provide quarterly reports as requested to the Pocono County Workforce Development Board.
* Track fiscal budget, goals, and performance for the Workforce Development Area based on yearly budgets, grant performance metrics, and sound fiscal policy.

### Contract Performance Monitoring

As part of the Pocono Counties Workforce Development Area’s commitment to improved outcomes, the Pocono Counties Workforce Development Area seeks to actively and regularly collaborate with awarded vendors to enhance contract management, improve results, and adjust service delivery based on learning what works. This will be achieved through consistent communication, progress tracking, and proactive collaboration to address challenges and design course corrections as needed. Reliable and relevant data is necessary to drive service improvements, facilitate compliance, inform trends to be monitored, and evaluate results and performance. As such, Pocono Counties Workforce Development Area reserves the right to request/collect other vital data and metrics from vendors.

A. Communication and Reporting

* The selected vendor must maintain regular communication with the PCWDA, providing updates on progress, challenges, and any changes in the scope of work or service delivery.
* Performance reports must be submitted to the PCWDA as specified in the contract. These reports should include, but are not limited to, the following information:
  + A summary of services provided during the reporting period.
  + Progress towards achieving the contract's goals and performance metrics.
  + Any challenges encountered and proposed solutions.
  + Any changes in staffing, resources, or other factors affecting service delivery.
* Performance reports must be submitted in a format specified by the PCWDB and in compliance with applicable local, state, or federal reporting requirements.

B. Progress Tracking and Performance Metrics

* The PCWDA and the selected vendor will jointly establish performance metrics and targets to measure the success of the contract and track progress toward achieving its goals.
* Performance metrics may include the number of individuals served, job placements, employer engagement, and customer satisfaction.
* The selected vendor must consistently track and report on these performance metrics, using the data to inform service delivery improvements and course corrections as needed.

C. Collaboration and Course Corrections

* The PCWDA will actively collaborate with the selected vendor to address challenges and design course corrections throughout the contract.
* The PCWDA may schedule regular meetings, site visits, or conference calls with the selected vendor to discuss progress, challenges, and potential adjustments to the scope of work or service delivery approach.
* The selected vendor is expected to proactively identify challenges and propose solutions, working closely with the PCWDA to ensure the successful implementation of the contract's goals.

The contract performance monitoring process for the One-Stop Operator RFP emphasizes consistent communication, progress tracking, and collaboration between the PCWDB and the selected vendor. Through this process, the PCWDB aims to ensure the successful implementation of the contract's goals and maintain an elevated level of service quality for the Pocono Counties Workforce Development Area.

# Submission

## Proposal Content

To ensure a complete and comprehensive proposal, proposers must submit a response workbook and any additional attachments as required in the response workbook and complete all forms found in the Appendix (Section 6) of the RFP. Incomplete proposals may be considered non-responsive and disqualified from the evaluation process.

1. Pocono Counties Workforce Development Area RFP Application

Proposers must submit the Response workbook that may include the following information as required for each RFP: executive summary, organizational background, service delivery approach, staffing and resources, high-level budget summary, or performance metrics and outcomes.

1. Additional Attachments

Proposers must submit any additional attachments as required and stated in the RFP Application, which may include organizational charts, staff information who will be responsible for needed letters of support or references, sample reports, work plans, or other documents that demonstrate the proposer's ability to track and report on performance metrics effectively.

1. Appendix Forms

Proposers must complete all forms in Appendix (section 6) of this RFP. 

## Submission Instructions

All proposers must adhere to the submission guidelines outlined below to ensure a fair and transparent process. Please comply with these instructions to avoid disqualification.

A. How to Submit

* Proposals may be submitted electronically to the Pocono Counties Workforce Development Board Office via email at [shellen@pcwia.org](mailto:shellen@pcwia.org).
* Proposals may be submitted in person or by mail at the Pocono Counties Workforce Development Area Administrative office at:

811 Blakeslee Blvd Dr. E. Suite 85

Lehighton, PA 18235

* Respondents may contact the office at (484) 464-2494 or email [shellen@pcwia.org](mailto:shellen@pcwia.org) to request a secure submission link.

B. Helpful Tips for Developing a Successful Proposal

* demonstrate your understanding of the scope of services and requirements outlined in the RFP.
* Provide detailed information on your organization's experience, qualifications, and capacity to deliver the required services.
* Offer innovative solutions and strategies to address the needs of the Pocono Counties Workforce Development Area.
* Be concise and well-organized, and ensure your proposal is free of grammatical errors.

C. Maximum Page Counts

* The proposal, including all attachments and appendices, must not exceed 30 pages.
* The main narrative of the proposal should not exceed ten pages, excluding the cover letter, table of contents, and attachments.

D. Modifications of Submissions

* Any changes to the submitted proposal must be made in writing and submitted before the RFP deadline.
* Modifications must indicate the changes made and reference the specific section(s) being modified.

E. Procedures for Submitting Questions

* Proposers may submit questions regarding the RFP via email to [shellen@pcwia.org](mailto:shellen@pcwia.org).
* All questions must be submitted no later than ten (10) business days before the RFP deadline.
* Answers to submitted questions will be compiled and shared with all proposers via email or posted on the PCWDA website at [www.pcwia.org](http://www.pcwia.org/).

Adherence to these submission instructions ensures a fair and efficient procurement process. By carefully following these guidelines, proposers can increase their chances of submitting a successful proposal and avoid potential disqualification.

# How We Choose

## Minimum Qualifications

To successfully implement the One-Stop Operator services, the Pocono Counties Workforce Development Area (PCWDA) has established the following minimum qualifications for vendors interested in bidding on this opportunity. These qualifications have been carefully considered to maintain a competitive procurement process while ensuring the selected vendor meets essential standards.

1. Proposers must be legally authorized to conduct business where the Pocono Counties Workforce Development Area (WDA) is located.
2. Proposers must have been kept from being debarred, suspended, or otherwise disqualified from doing business with federal, state, or local government agencies.
3. Proposers must have at least three years of experience in workforce development, job training, or a closely related field.
4. Proposers must hold all licenses, certifications, or accreditations required by local, state, or federal regulations to provide the specified services under this RFP.

The respondent may be a private for-profit, non-profit, or a government agency.

Respondents may submit proposals in which subcontractors are identified to provide program components.  Respondents may also identify organizations with which to collaborate to enhance the project design.

Successful respondents must be able to innovate, design, and develop complex programs with multiple funding sources, achieve, track, and report outcomes, and meet government accounting and expense requirements.

The agreement between the Pocono Counties Workforce Development Area and the Fiscal Services Contractor shall specify the Fiscal Services role.

## Evaluation Criteria

The selection committee will first evaluate and rank responsive RFP submissions on the following selection Evaluation Criteria, weigh the factors listed below, and assess that score. A respondent may receive the maximum points, a portion of this score, or no points at all, depending upon the merit of its response, as judged by the selection committee:

**Experience and Technical Competence:** This will include a review of the organization’s qualifications, experience, and capacity in program management and as a fiduciary, as documented in the RFP Application.

**Quality of Service Design:** This will include a review of Fiscal Service design, innovative strategies utilized, staffing plan, and financial plan, as documented in the RFP Application.

**Demonstrated Performance History and Ability to Meet Goals:** This will include a review of past performance history and goals and objectives, including, without limitation, competency, responsiveness, work quality, and the ability to meet performance goals, as documented in the RFP Application.

**Costs, Budget Justification, and Leverage of Funds:** This section will review the Price Proposal’s line-item budget and/or budget narrative, as defined in the RFP Application. This section will also include a review of the cost-effectiveness of the proposed budget. Due to the requested services, the Price Proposal will be evaluated on the percentage of administrative costs, including indirect and management fees/profit (if applicable), compared to direct program/participant costs.

|  |  |
| --- | --- |
| **EVALUATION CRITERIA** | **% ALLOCATION** |
| **Experience and Technical Competence**   * Organization’s overall qualifications, focusing on history, mission, and track record in providing fiscal services. * Specific experience managing similar programs, especially those funded by WIOA, TANF, or similar grant programs. * The organization's technical abilities include using financial software or systems for tracking and reporting and other technical tools to support efficiency and accuracy. * Examination of the organization’s overall competency in fiscal management, including technical skills, knowledge of relevant regulations and guidelines, and the ability to apply best practices in financial operations. | 40% |
| **Quality of Service Design**   * Fiscal Service Design: Evaluation of the proposed design of fiscal services, focusing on how the organization plans to manage financial operations, compliance, and reporting to meet the needs of the Pocono Counties Workforce Development Area. This includes the proposed fiscal management approach's coherence, comprehensiveness, and feasibility. | 20% |
| **Demonstrated Performance History and Ability to Meet Goals**   * Evaluation of the organization's track record in managing similar fiscal management services or programs, focusing on their competency in delivering high-quality services. * Review specific goals and objectives the organization has set in past projects and the degree to which these were met. | 25% |
| **Costs, Budget Justification, and Leverage of Funds**   * Review the organization's proposed financial plan, ensuring it demonstrates sound fiscal practices, allocates resources effectively to achieve program goals, and includes robust controls for managing and monitoring program funds. | 15% |

## Selection Process, Award, and Protest Procedures

### Selection Schedule

|  |  |
| --- | --- |
| **Schedule** | |
| **Event** | **Date(s)** |
| RFP issue date | 4/15/2024 |
| Pre-proposal conference | 4/25/2024 |
| Deadline for questions | 5/1/2024 |
| **Proposals due** | **5/17/2024** |
| Interviews with shortlisted proposers | 5/27/2024 |
| Anticipated contract award date | 6/6/2024 |
| Anticipated contract execution date | 7/1/2024 |

### Selection and Award Process

The selection and award process is designed to ensure fair, transparent, and competitive procurement, resulting in selecting the most qualified vendor to meet the needs of the Pocono Counties Workforce Development Area.

1. Round One: Responsiveness Review
   1. In the first round, the Pocono Counties Workforce Development Board (PCWDB) will conduct a responsiveness review to determine the completeness of required documents.
   2. Proposals that do not meet the minimum qualifications or fail to provide all required documents may be disqualified.
2. Round Two: Evaluation Committee Assessment
   1. In the second round, an evaluation committee comprising Pocono Counties Workforce Development Board members and staff will review and score the written proposals based on the criteria outlined in the RFP.
   2. The evaluation committee will assess each proposal's demonstrated experience, qualifications, proposed service delivery approach, and cost-effectiveness.
   3. The top-scoring proposers will be invited to participate in a round three interview or demonstration.
3. Round Three: Interviews, Presentations, or Demonstrations
   1. In the third round, shortlisted proposers may be required to further participate in interviews, presentations, or demonstrations to demonstrate their qualifications and proposed service delivery approach.
   2. The evaluation committee may also request site visits to gain additional insights into the proposer's operational capabilities and service quality.
4. Award Decision
   1. After completing all evaluation rounds, the committee will recommend the highest-scoring proposer to the Pocono Counties Workforce Development Board for contract award.
   2. The Pocono Counties Workforce Development Area reserves the right to negotiate with the selected proposer to refine the scope of work, deliverables, and contract terms.
   3. The award decision will be based on the best overall value, considering qualifications, proposed service delivery approach, and cost-effectiveness.

### Protest and Appeals Process

The Pocono Counties Workforce Development Area reserves the right to reject all proposals received because of this RFP. The Pocono Counties Workforce Development Area will retain all proposals received. PCWDA will notify all applicants about the acceptance or rejection of proposals, and those not selected will be allowed to file an appeal of their rejection in writing within thirty (30) days of receiving the rejection letter. Once the appeal has been received, the Executive Director of PCWDA will contact the rejected applicant to explain the appeal process.

# Terms and Conditions

This proposal package must be completed for all class-size funding requests submitted to the Pocono Counties Workforce Development Board. All proposals must be designed in full compliance with the format provided in this Request for Proposal (RFP) packet. Please abide by this policy to avoid the rejection of your proposal.

The application resulting from these instructions does not commit the Pocono Counties Workforce Development Board to award any contract for services or supplies or pay for any costs incurred in preparing this application. The Pocono Counties Workforce Development Board reserves the right to accept or reject any proposals, to negotiate with all applicants, and/or cancel any part of this application package. The Pocono Counties Workforce Development Board may request the applicant to participate in negotiations or to submit revisions to the proposal.

Application approval does not guarantee funding as funding for training is dependent upon receipt of funds under the Workforce Innovation and Opportunity Act and other funding sources.

**Monitoring**

The Deputy Director of the Pocono Counties WDB is responsible for reviewing all in-house and contractual operations. The primary purpose of monitoring is to evaluate program effectiveness, ensure compliance with mutually agreed goals, and offer technical assistance and/or recommendations for corrective action to subgrantees as deemed necessary.

All proposal submitters funded will be monitored by the Pocono Counties WDB Monitor periodically. The visits may include the following areas: training, fiscal, participant files, administrative records, participants' terminations (plan vs. actual), follow-up, participant responses, monitor observations, and problem areas.

**Financial Records, Personnel, and Close-Out Procedures**

All proposing organizations shall be responsible for keeping their financial records. Regular maintenance of timesheets, individual payroll records, payroll journals, quarterly and yearly tax returns, and general ledger records are included. Timely tax deposits should be made with Federal, State, and local governments. The Pocono Counties Workforce Development Board will give any technical assistance required, provided there is a mutually agreed need for such aid.

All contractors must submit a formal close-out package to the Pocono Counties Workforce Development Area within 30 days of the program's conclusion.

# Appendix

The Appendix section of this RFP provides essential forms and documents that proposers must review, complete, and submit as part of their proposal package. These forms and documents ensure compliance with various regulations, policies, and requirements associated with providing services. By completing and submitting these forms, proposers demonstrate their commitment to adhering to all necessary legal and ethical standards throughout the contract period.

Assurances and Certifications: This form requires proposers to review and acknowledge their understanding of, and agreement to, various assurances and certifications related to the delivery of Fiscal Management services. These assurances and certifications include compliance with all applicable federal, state, and local laws, regulations, and policies.

B. Concurrence of the Collective Bargaining Agent: If applicable, proposers must obtain and submit a statement of concurrence from the relevant collective bargaining agent(s), indicating their agreement with the proposer's plans and approach to providing Fiscal Services.

C. Certification Regarding Drug-Free Workplace Requirements: Proposers must certify their commitment to maintaining a drug-free workplace in compliance with the Drug-Free Workplace Act of 1988. This certification ensures that the proposer's organization has implemented a policy to prevent the unlawful manufacture, distribution, dispensation, possession, or use of controlled substances in the workplace.

D. Lobbying Certification Form requires proposers to certify that no federal funds have been used for lobbying activities related to the Fiscal Services RFP. Proposers must disclose any lobbying activities and associated expenditures in accordance with federal requirements.

E. Certification Regarding Debarment, Suspension, and Ineligibility: Proposers must certify that their organization and its principals are not debarred, suspended, or otherwise ineligible to participate in federally funded contracts or programs. This certification ensures that the proposer is in good standing and capable of delivering Fiscal services without risk to the PCWDB or the community it serves.

Proposers demonstrate their commitment to compliance and ethical standards in delivering Fiscal Services by reviewing, completing, and submitting the required forms and documents. Please submit these forms to avoid the disqualification of a proposal from the evaluation process. Proposers are encouraged to carefully review and complete all forms in the Appendix to ensure a complete and compliant proposal package.

**ASSURANCES AND CERTIFICATIONS**

1. The Subcontractor certifies that no Federal appropriated funds awarded under this agreement will be used for lobbying activities, and that any funds other than Federal appropriated funds that have been or will be used for lobbying activities have been properly disclosed.
2. The Subcontractor agrees to provide a drug-free workplace in accordance with the requirements of the Drug-Free Workplace Act.
3. The Subcontractor certifies that neither it, nor its principles are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency. The Subcontractor certifies that it shall provide immediate written notice to the Contractor if at any time the Subcontractor learns that its certification was erroneous when submitted or has become erroneous because of changed circumstances.
4. The Subcontractor assures us that it has adequate administrative and accounting controls, adequate supervisory and training capacity, and sufficient materials and   supplies to fulfill its obligations under the terms of this agreement.
5. Both the Contractor and Subcontractor agree to prohibit their employees from using their positions for a purpose that is, or give the appearance of, being motivated by a desire for private gain for themselves, particularly those with whom they have family, business, or other ties.
6. The Subcontractor cannot subcontract any aspect of this agreement without the   written approval of the Contractor.
7. The Subcontractor assures that it will comply fully with the Nondiscrimination and  Equal Opportunity provisions of the Workforce Innovation and Opportunity Act, including the Nontraditional Employment for Women Act of 1991; Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1974, as amended; the Age Discrimination Act of 1975, as amended; Title IX of the Education Amendments of 1972, as amended; and with all applicable requirements imposed by or pursuant to regulations implementing those laws, including, but not limited to 29 CFR part 34, Copeland Anti-Kickback Act; Davis Bacon Act; Compliance with all applicable standards, orders, or requirements issued under the Clean Air Act, Clean Water Act, Environmental Protection Agency regulations for contacts/grants exceeding $100,000; Mandatory standards and policies relating to energy efficiency that are contained in the state energy conservation plan issued in compliance with Energy Policy and Conservation Act; Patent rights; and Copyrights and rights to data.
8. The Subcontractor assures us it complies with their respective State's Unemployment Compensation and Workers Compensation Laws.
9. The Subcontractor assures that it will comply with Section I-111 of the Pennsylvania School Code (24 P.S. ' 1-111) and its regulations at 22 PA Code § 8.1 - 8.4.
10. The Subcontractor assures us it will fully comply with the requirements of the Workforce Innovation and Opportunity Act and all Federal and State Regulations.
11. The Subcontractor assures us that it will abide by the Pocono Counties WDB property purchase procedures when purchasing any non-expendable property. This applies to any non-expendable property purchased using funds from this agreement. Written approval for the purchase of non-expendable property must be received from Pocono Counties WDB prior to its acquisition. Please contact Pocono Counties WDB regarding these procedures.
12. The Subcontractor will comply with the Pennsylvania Right-To-Know Law, 65 P.S. §§ 67.101-3104 (“RTKL”).
13. The Subcontractor will comply with the Federal, State, and Local Child Labor Laws; the WIOA program regulations published in the Federal Register; the Title I Youth Policies and Procedures published by the Bureau of Workforce Development Partnership.
14. The Subcontractor assures it will comply with the Contract Work Hours and Safety Standards Act. (40 U.S.C. §§ 327-333).
15. The subcontractor assures that they will comply with the Confidentiality Policy of the Pocono Counties Workforce Investment Area. (A primary obligation of all Workforce Innovation and Opportunity Act personnel, contractors and sub-contractors are to safeguard all information, either written or spoken, regarding any client. Agency personnel are defined as anyone who functions in any service and/or administrative capacity.  These individuals are bound by WIOA policy not to reveal the identity circumstances of any past or current clients, except to authorized school or agency personnel working with our clients or by consent of the client.
16. The Subcontractor will assure that no funds under WIOA shall be used to assist, promote, or deter Union organization.
17. The Subcontractor assures it will comply with Minimum Wage Requirements.

**CONCURRENCE OF THE COLLECTIVE BARGAINING AGENT**

To ensure the most effective development of employment and training opportunities, the Subcontractor must obtain written concurrence from the appropriate bargaining agent where a collective bargaining agreement exists with the participating employer covering occupations in which training or subsidized employment is proposed. Such concurrence shall apply to the elements of the proposed activity which affect the bargaining agreement, such as occupation, wages, and benefits.

Is the occupation(s) in which employment and training is to be offered subject to a collective bargaining agreement?

YES \_\_\_\_\_\_\_\_\_\_ NO \_\_\_\_\_\_\_\_\_\_

If yes, has the appropriate bargaining representatives agreed on the employment and training activities associated with it?

YES \_\_\_\_\_\_\_\_\_\_ NO \_\_\_\_\_\_\_\_\_\_

If no, please comment \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Please indicate the name, title and union affiliation of the appropriate bargaining representative.

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(Signature) (Title) (Date)

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(Union Affiliation)

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(Signature of Chief Administrator)

**CERTIFICATION REGARDING DRUG-FREE**

**WORKPLACE REQUIREMENTS**

1. The Subcontractor certifies that it will or will continue to provide a drug-free workplace by:
   1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Subcontractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition:
   2. Establishing an ongoing drug-free awareness program to inform employees about--
      1. The dangers of drug abuse in the workplace;
      2. The grantee's policy of maintaining a drug-free workplace;
      3. Any available drug counseling, rehabilitation, and employee assistance programs; and
      4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
   3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
   4. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
      1. Abide by the terms of the statement; and
      2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
   5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position, title, to every grant officer or other designee on whose contract activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
   6. Taking one of the following actions within 30 calendar days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted—
      1. Taking appropriate personnel action against such an employee, up to and including termination. Consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
      2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
   7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
2. The Subcontractor may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:
3. Place of Performance (Street Address, City, County, State, Zip Code)

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Check ( ) if there are workplaces that are not identified here.

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Name of Organization

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  
Name and Title of Authorized Signatory

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

**LOBBYING CERTIFICATION FORM**

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 any 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 of Lobbying Activities," 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 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 imposed under 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 such failure.

SIGNATURE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

TITLE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND INELIGIBILITY**

Subcontractor's Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employer ID Number \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The contract you are entering into involves the payment of State and or Federal Funds. Please complete and sign this Contract Certification.

**STATE FUNDED CONTRACT CERTIFICATION**

This certification is required by Management Directive 215.9, which implements Executive Order 1990-3.

The prospective recipient of State funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, or declared ineligible, from participation in this transaction by any State or Federal Department or agency.

**FEDERALLY FUNDED CONTRACT CERTIFICATION**

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).

1. The prospective recipient of Federal Assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by 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 certification, such prospective participant shall attach an explanation to this proposal.

**Before completing this certification, read the instructions for certification on the reverse of this form.**

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name and Title of Authorized Representative

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Signature Date

#### Instructions for Certification

1. By signing this certification and submitting it with this proposal, the prospective recipient of State and/or Federal assistance funds is providing certification as set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of State and/or Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the State and/or Federal Government may pursue available remedies, including suspension and/or debarment.

3. The prospective recipient of State and/or Federal assistance funds shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of State and/or Federal assistance funds learns that its certification was erroneous when submitted or has become erroneous because of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded" as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to whom this proposal is submitted for assistance obtaining a copy of those regulations.

5. The prospective recipient of State and/or Federal assistance funds further agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower-tier covered transactions with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the Department.

1. The prospective recipient of State and/or Federal assistance funds further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion - Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and all solicitations for lower tier covered transactions.
2. A participant-covered transaction may rely upon a certification of a prospective participant in a lower-tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required, to check the List of Parties Excluded from Procurement or Nonprocurement Programs for contracts involving federal funds.
3. Nothing contained in the foregoing shall be construed to require establishing a system or records to render the certification required by this clause in good faith. The knowledge and information of a participant is not required to exceed that which a prudent person in the ordinary course of business dealings normally possesses.
4. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower-tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the State and/or Federal Government, the Department may pursue available remedies, including suspension and/or debarment.