

REQUEST FOR PROPOSALS

Annual Financial Audit

Program Year 2020

July 1, 2020 – June 30, 2021

**Request for Proposals**

RFP-21-NEWDB-03

Issued By:

Northeast Workforce Development Board

5238 Oklahoma 167

Catoosa, Ok 74015

**Release Date: April 1, 2021**

**Due Date for Proposals: April 23, 2021 (12:00 p.m. CDST)**

**Contract Period**

*July 1, 2021 through June 30, 2022 with options to renew*

**Funded by**

*The Workforce Innovation and Opportunity Act – Title I*



“Equal Opportunity Employment/Program. Auxiliary aids and services are available upon request to individuals with disabilities”.

This document is funded in whole or in part by funds received from the US Department of Labor as administered by Oklahoma Office of Workforce Development

BABEL NOTICE: (29CFR 38.9(g)(3)): This document contains vital service information. If English is not your preferred language, please contact:

Northeast Workforce Development Board

Jeremy Frutchey, EO Officer

5238 OK Hwy 167

Catoosa, OK 74015

Phone: 918.907.0902 or Cell: 405.269.2821

Email: jeremy.frutchey[@northeastworkforceboard.com](mailto:linda.wilson@northeastworkforceboard.com)

or,

State Equal Opportunity Officer

Oklahoma Office of Workforce Development

Ferris Barger

900 N Portland Avenue, BT 300

Oklahoma City, OK 73107

Office: 405.208.2519

Email: [Ferris.barger@okcommerce.gov](mailto:Ferris.barger@okcommerce.gov)

To enable telephone conversation between people with speech or hearing loss and people without speech or hearing loss please call Oklahoma Relay at 711 (<http://www.oklahomarelay.com/711.html>) or TDD/TTY: 800-722-0353.

**EQUAL OPPORTUNITY AND NONDISCRIMINATION STATEMENT:** All Recipients, and Sub recipients/Sub grantees must comply with WIOA’s Equal Opportunity and Nondiscrimination provisions which prohibit discrimination on the basis of race, color, religion, sex (including pregnancy, childbirth, and related medical conditions, transgender status, and gender identity), national origin (including limited English proficiency), age, disability, political affiliation or belief, or, for beneficiaries, applicants, and participants only, on the basis of citizenship status or participation in a WIOA Title-I financially assisted program or activity.

**Part I. General Information, Scope of Work and Performance**

The Northeast Workforce Development Board (herein referred to as NEWDB) is a private 501 (c) 3 not for profit corporation. NEWDB serves as the grant recipient and administrative entity of programs under the federal Workforce Innovation and Opportunity Act of 2014 (WIOA). The mission of NEWDB is to serve as the driver of social and economic change in northeast Oklahoma in our seven-county area. These counties include Craig, Delaware, Mayes, Nowata, Ottawa, Rogers and Washington. NEWDB also serves as the fiscal agent and employer of record for the NEWDB and the Northeast Local Elected Officials. See Attachment A, NEWDB Org Chart for organizational structure.

NEWDB is funded by the U.S. Department of Labor (DOL) that passes through the Oklahoma Office of Workforce Development (OOWD) to NEWDB on a contract/grant basis. The NEWDB utilizes the Abila MIP Fund Accounting software and has a separate fund for each program. NEWDB became Fiscal Agent of the WIOA grant funds effective July 1, 2020. There are three program funding streams within the WIOA Title I funds: Adult, Dislocated Worker, and Youth and all are funded by multiple grants during the fiscal year.

NEWDB is requesting proposals from qualified firms to provide the audit for the 2020 Program Year and to complete NEWDB’s IRS 990 report. The audit will be both a financial and compliance audit. To qualify, the offeror must be a public accounting firm whose principal officers are licensed independent Certified Public Accountants. The period to be audited is one (1) year. All funds spent against listed contracts during the time period shall be audited which will include subcontracts of the Board. In Program Year 2020, NEWDB expended a total of$851,932.49. Contracts do not necessarily begin and/or end during the audit period. The audit is to be performed in compliance with laws, regulations, and the provisions of contracts or grant agreements that could have a direct and material effect on each major program in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for federal Awards, 2 CFR Chapter I, Chapter II, Part 200, et al. Work on the audit must be started prior to December 1, 2021.

All bids must contain the following information in order to be properly evaluated:

* Information as to the bidder’s background and experience in auditing programs financed by the federal Government, specifically the Workforce Innovation and Opportunity Act (WIOA) or any other programs funded by the U.S. Department of Labor and/or branches of the federal government
* Information relevant to the size and organizational structure of the bidder’s firm
* Qualifications of the personnel, who are to be utilized in the performance of this contract, reflecting at a minimum their positions in the firm, total years in the firm and type of experience
* A statement of the bidder indicating an understanding of the work to be performed
* Description of audit team assignments including:
* Who will supervise audit team(s)
* What percentage of time is planned for supervision
* List of References
* Firm’s approach to performing an audit
* Copy of the firm’s most recent peer review report, including any accompanying letter of finding
* Cost including estimated number of hours per staff member
* Rate per hour for each auditor
* Cost of completion of the 990

**Performance**

NEWDB records should be audited for July 1, 2020 through June 30, 2021.

The successful bidder is required to prepare audit reports in accordance with Government Auditing Standards as set forth and defined by the American Institute of Certified Public Accountants, U.S. Office of Management and Budget, U.S. General Accounting Office, the Oklahoma Office of Workforce Development and the guidelines of the various agencies as applicable.

The 990 must be filed in a timely, accurate manner as required by law.

**Payment**

Payment will be made when NEWDB has determined that the total work effort has been satisfactorily completed. Should NEWDB reject a report, NEWDB’s authorized representative will notify the Offeror in writing of such rejection, giving the reason(s). The right to reject a report shall extend throughout the term of this contract and for 90 days after the Offeror submits the final invoice for payment. Progress payments will be allowed to the extent that NEWDB can determine satisfactory progress is being made.

Upon delivery of the ten (10) copies of the final reports to NEWDB and their acceptance and approval, the successful bidder may submit a bill for the balance due on the contract for the audit. Copies should include ten (10) bound, one (1) unbound and one electronic.

A copy of the draft audit report should be sent via email to NEWDB Executive Director [michelle.bish@northeastworkforceboard.com](mailto:michelle.bish@northeastworkforceboard.com).

**Part II: Selection Process**

**Proposal Evaluation Criteria**

Proposals received subsequent to the deadline will not be reviewed and considered. The signature page must be complete, signed, and notarized or the proposal will not be considered. The total maximum points that can be awarded are 100. The criteria described in Part 1 will be used to evaluate all proposals. The evaluators will award some, all, or none of the points that are shown for each evaluation item.

Those bidders who have met each of the criteria in the above section will be evaluated on the following criteria:

|  |  |
| --- | --- |
| Factors | Point Range |
| Prior experience auditing accounting systems | 0-5 |
| Auditing Similar Entities, specifically non-profits or other entities whose primary function is administering DOL funds. | 0-10 |
| Experience auditing WIOA programs. | 0-15 |
| Organizational size and structure of firm. | 0-5 |
| Audit team make-up.  Qualifications of staff assigned to audit. This will be determined from the resumes’ submitted. Education, position in the firm, continuing education courses taken during the past three (3) years, years and type of experience will be considered | 0-10 |
| Overall supervision to be exercised. | 0-10 |
| Audit plan, objectives and understanding of work to be completed as well as realistic time estimates for each major segment of the work plan and the estimated number of hours for each staff level. | 0-15 |
| Price of audit for the fiscal year | 0-20 |
| Value added services | 0-10 |
| Small, minority and woman owned | 5 |
| Maximum Points Possible | 105 |

Each bid will be independently evaluated on each of the factors above by a committee appointed by the NEWDB Chair. Initial selection will be made from among the highest scoring proposals. A personal interview may also be required prior to awarding the contract. ***NEWDB reserves the right to reject any and all bids.***

One (1) original, along with four (4) printed copies and one electronic version of each bid must be received in the NEWDB office, 5238 OK HWY 167, Catoosa, OK 74015 no later than 12:00 p.m. CDST, April 26, 2021. These documents will become part of the contract that is awarded as a result of this RFP.

Bids must be addressed as follows:

Michelle Bish, Executive Director

Northeast Workforce Development Board.

Response to Request for Bids: Annual Financial Audit – PY20

5238 OK HWY 167

Catoosa, Ok 74015

Bids received after 12:00 p.m. CDST April 23, 2021 will not be considered by NEWDB.

Award notice will be sent from NEWDB on or before May 13, 2021. Contract will be effective on July 1, 2021. Any questions concerning this solicitation should be submitted, in written format, addressed to Michelle Bish: [michelle.bish@northeastworkforceboard.com](mailto:michelle.bish@northeastworkforceboard.com). Questions will be accepted until 12:00 p.m. CDST on April 15, 2021.

The funding period for contracts awarded under this RFP will be from July 1, 2021 through June 30, 2022 provided service remains acceptable during that period. NEWDB shall have the option, in its sole and absolute discretion, to renew the contract(s) for additional terms of one year each, as allowable through state and federal guidance. Acceptable proposals shall, at a minimum, meet the specifications contained in this RFP. Monitoring and Auditing activities are to be performed in accordance with the Generally Accepted Auditing Standards, Government Auditing Standards and the guidelines set by the U. S. Department of Labor and the Office of Management Budget.

All organizations, including minority or female-owned businesses and community-based entities are encouraged to apply. Reference information for WIOA is available on the internet at <http://www.doleta.gov/reports/program> and at [www.northeastworkforceboard.com](http://www.northeastworkforceboard.com) .

**A. Conditions Applicable to All Proposals**

The following conditions are applicable to all proposals:

* NEWDB reserves the right to reject any and all proposals in whole or in part, to waive any informalities or irregularities in the proposals received, and to accept any proposal that is deemed most favorable to NEWDB at the time and under the conditions stipulated in the specifications of this request.
* Non-conforming proposal will be considered non-responsive and will not be reviewed; however, NEWDB reserves the right to waive informalities and minor irregularities in proposals received.
* NEWDB reserves the right to request additional information for clarification from proposers or to allow corrections or errors or omissions.
* All proposals are subject to negotiation by NEWDB.
* NEWDB reserves the right to retain all proposals submitted and to use any ideas in a proposal regardless of whether that proposal is selected. Submission of a proposal indicates acceptance by the firm of the conditions contained in this request for proposals unless clearly and specifically noted in the proposal submitted and confirmed in the contract between NEWDB and the firm selected.

The successful bidder will be able to commence services on or about September 1, 2021 or when a mutually acceptable time can be arranged between the board and the successful bidder.

The NEWDB has established a procedure to resolve any protests, disputes, claims, or grievances that may arise from this procurement process. A copy of this procedure will be made available to any proposer upon request. This procedure gives a proposer an opportunity to protest the award and provides for a review of the process and a determination to be issued by the individuals conducting the review. The notice of award and notice of the protest process will be provided at the time proposers are notified of the outcome of their proposal. This notice will be provided to each proposer within 10 days of the date of award of a contract and may be provided via e-mail, direct contact by telephone, or by regular mail. The protest process will provide for a minimum of 30 days for a proposer to submit a protest. The notice of the protest process will provide information on the name and contact information of the individual to whom the protest must be submitted.

**PART III. PROCUREMENT TIMETABLE**

Proposal Issue Date April 1, 2021

Final Submission of Technical Questions April 15, 2021 by 12:00 p.m. CDST

Responses to Technical Questions April 19, 2021

Deadline for Receipt of Completed Proposals April 23, 2021 by 12:00 p.m. CDST

Review of Approved Bidders April 23-30, 2021

Recommendations Submitted and Approved by NEWDB May 12, 2021

Notification to Bidders May 13, 2021

Contracts Awarded (NLT) July 1, 2021

**Part IV. Proposal Preparation Instructions**

One (1) signed original, (4) copies of the original proposal and one electronic version must be submitted. The original and copies MUST be submitted in a sealed envelope with the **proposer’s name** and the words Proposalfor **Annual Financial Audit** written on the exterior of the envelope. Use only white letter sized paper in preparing your proposal. This page is only for instructions and should not be included as a part of the completed proposal.

When completed, your proposal must be in the following sequence:

* The cover page
* The narrative sections; Make certain you are responsive to the questions contained in the scope of work.
* Budget Page/Proposed Fee Schedule
* The Certifications and Signature section

All pages must be numbered. The cover page must be page #1. Please check the formatting of the pages containing charts. Each of those pages should fit on a single page.

**Cover Page**

**Proposal For:** Annual Financial Audit

**To:** Northeast Workforce Development Board.

**Proposer Information**

Legal Name:

Address:

Date This Proposal Was Prepared:

Proposers Federal Tax Identification Number:

(Or SSN if Individual)

Cost Presented as Required in Scope of Service:

1. **Proposers Contact Information and Description of Organization**

The proposer should name a responsible person as the contact person. This individual should be familiar with the capabilities of the proposing organization, knowledge in contracting including financial budgets, and should have the authority to negotiate contractual issues on behalf of the proposer.

1. Include the full name, title, address, telephone numbers, e-mail addresses, etc.
2. Include a description of the entity type and the principal functions which are performed by the proposer entity.
3. Include data on how long your organization has been in business and how long your organization has been providing services similar to those being proposed.
4. Provide results of peer review.
5. Explanation if the proposer is a small or minority-owned business or women’s business enterprise.

Page Limit 2

**B. Scope of Work**

1. Prepare a narrative outlining how you will provide the services required in the RFP. Make certain you are responsive to the details described in the scope of work**.**
2. Include a describe of the approach of the work to be performed, including audit procedures, estimated hours, and other pertinent information.

Page Limit 4

**C. Value-Added Services Beyond the Audit**

The proposer should include an explanation of other services that can and have been provided to organizations similar to the NEWDB. Value-added services provide efficiencies and improved compliance that contribute to the continued success of the NEWDB. Value-added services can include consulting and training services as well as industry-specific products.

Page Limit 1

**D.** **Qualifications of Staff**

1. Describe the qualifications for staffing that will be providing the required services.
2. If staff has already been selected for this project, provide names and prior experience of each staff.
3. Prior experience of the individual audit team members. Include résumés of only the staff to be assigned to the audits. Include education, position in firm, years with the firm, industry-specific experience, and training on the recent Uniform Guidance.

Page Limit 2

**E. Previous Experience**

1. Describe your previous/current experience in delivering similar programs or services.
2. Describe prior experience auditing programs financed by the federal government.
3. Prior experience auditing nonprofit organizations funded by WIOA and/or other U.S. DOL programs.

Page Limit 1

**F.** **Budgets**

Present a budget by cost according to the scope of work in the various levels of service.

Page Limit 1

**G.** **Certifications and Signature**

**Certificate Regarding Drug Workplace Requirements**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 29 CFR Part 98, Section 98.305, Section 98.20 and Subpart F, as amended in Volume 60 of the Federal Register on June 26, 1995 at 20 CFR Section 98.600.

The Proposer certifies that it will continue to provide a drug-free workplace and that it is and will continue to be in compliance with the Drug-Free Workplace Act.

**Certificate Regarding Conflict of Interest**

The NEWDB maintains a written code of conduct that governs the performance of its members, the Youth Committee, employees, and agents engaged in the award and administration of contracts.

The proposer certifies that it is either not aware of any potential conflicts of interest between itself and the NEWDB or that if there is a potential conflict of interest between itself and the NEWDB, the proposer shall declare this potential conflict of interest below.

**Certificate Regarding Debarment**

The proposer certifies that it and its principles: (1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (2) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (3) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in this paragraph; and (4) have not within a three-year period preceding this proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

**Certificate Regarding Lobbying**

The proposer certifies that no funds have been paid or will be paid by or on behalf of the proposer, 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, or the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement. The proposer certifies that it is aware that a Certificate Regarding Lobbying, Certification for Contracts, Grant, Loans, and Cooperative Agreements will be included in the contract that will be awarded through this proposal.

**Certificate Regarding Compliance with Federal Laws**

* The Workforce Innovation and Opportunity Act;
* The Workforce Innovation and Opportunity Act Regulations;
* The Welfare-to-Work Regulations;
* Other federal laws;
* State laws;
* Oklahoma State Policies;
* Local laws;
* LWDB Policy;
* The U.S. Department of Labor Statement 29 CFR 37.20(a)(1), Section 188 of WIOA.

**Certification of Indemnification**

The proposer certifies that it is aware that an indemnification clause will be included in the contract that is awarded as a result of this proposal. The proposer certifies that it is aware that the indemnification clause will state that the proposer (contractor) shall indemnify and hold harmless the NEWDB, the NEWDB officers, agents, and employees and the Northeast Local Elected Officials from liability of any nature and kind, including costs, expenses, and attorney fees, for or on account of any actions, claims, suits, and damages of any character whatsoever arising out of any negligent act or omission of the proposer (contractor) or any of its employees, agents, volunteers, subcontractors, or representatives.

**Certificate Regarding Cost**

The proposer certifies that to the best of its knowledge and belief, the cost data submitted is accurate, complete, and current at the time this proposal is submitted.

**Part V: Renewal Options**

The following are examples of the contract provisions that will be included in the contract that will be developed as a result of this RFP. The exact text of the contract provision may differ slightly from the example shown. It is expected that the contract shall be a one-year, fixed-price contract with options for two (2) additional one-year periods.

## Northeast Workforce Development Board

## Program Year 2021

## Application Form

On behalf of: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Company/Organization**

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

**Proposed Service**

I am submitting the attached proposal for the completion and delivery of an audit for Program Year 2021 services funded under the Workforce Innovation and Opportunity Act of 2014, PL 113-128 and its accompanying regulations and accompanying tax filing of form 990. I certify that I am authorized by the bidder to bind them to this proposal.

I certify that the contents of the application are truthful and accurate and the above named bidder agrees to comply with the policies stated in this application; and that this application represents a firm request subject only to mutually agreeable negotiations; and that the above named bidder is in agreement that the Northeast Workforce Development Board (hereinafter referred to as NEWDB) reserves the right to accept or reject any proposal for funding; and that the above-named bidder has not been debarred or suspended from receiving federal grants, contracts, or assistance and that the above-named bidder waives any right to claims against the Northeast Local Elected Officials, board members and staff of the NEWDB.

I understand that the NEWDB and the Northeast Local Elected Officials has no obligation to fund this proposal and that no obligation will exist until a contract has been negotiated and entered. Upon issuance of a contract, I certify I will carry out the goals of the program according to the terms and conditions set forth in the contract and modifications thereto, including the Project Design and the Budget. I further certify that agency officials listed below are authorized to negotiate a binding contract for the bidder and will be available during proposal evaluation.

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Title\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Address\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ City\_\_\_\_\_\_\_\_\_\_\_\_\_\_ State\_\_\_\_\_\_\_\_\_ Zip\_\_\_\_\_\_\_\_\_\_

Phone\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ email\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**CERTIFICATION REGARDING LOBBYING**

For Contracts, Grants, Loans and Cooperative Agreements

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

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, and 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.

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.

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for 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.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_WIOA Title I \_\_\_\_\_\_\_\_\_\_\_

Name of Grantee or Contractor Program/Title

Typed name of Certifying Official Signature Date

CERTIFICATION REGARDING DRUG-FREE

# *WORKPLACE REQUIREMENTS*

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988, 29 CFR Part 98, Section 98.305.320 and Subpart F.

The grantee certifies that it will or will continue to provide a drug-free workplace by:

Publishing a policy statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition.

Establishing a drug-free awareness program to inform employees about:

* The dangers of drug abuse in the workplace;
* The grantee’s policy of maintaining a drug-free workplace;
* Any available drug counseling, rehabilitation, and employee assistance programs; and
* The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.
* 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.
* Notifying all employees that, as a condition of employment under the grant, the employee will:
* Abide by the terms of the statement; and
* Notify the employer in writing of his or her conviction for a violation of a criminal drug statute for a violation occurring in the workplace no later than five days after such conviction.
* Notifying the agency within ten days after receiving notice under paragraph D.2. with respect to any employee or otherwise receiving actual notice of such conviction. Employers of convicted employees provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working. 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.
* Taking one of the following actions, within 30 days of receiving notice under paragraph D.2., with respect to any employee who is so convicted. Taking appropriate personnel action against such an employee, up to and including termination consistent with the requirement of the Rehabilitation Act of 1973, as amended; or 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;

Making a good faith effort to continue to maintain a drug-free workplace through implementation of subparagraphs (A), (B), (C), (D), (E), and (F).

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

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

Typed Name of Signatory and Title

Certificate Regarding Conflict of Interest

By signing and submitting this Certificate Regarding Conflict of Interest the undersigned covenants that no officers, members or employees of its governing board have any interest, and that none shall acquire any interest, direct or indirect, that would conflict with full and complete execution of this contract. Contractor further covenants that in the performance of this contract, no person having any such interest will be employed. [WIOA Section 117 (g)]

No employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit no accept gratuities, favors or anything of monetary value from contractors, or parties to sub agreements. [29 CFR 95.42]

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

Signature Date

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

Typed Name and Title of Authorized Representative

CERTIFICATION REGARDING DEBARMENT, SUSPENSION,

AND OTHER RESPONSIBILITY MATTERS

PRIMARY COVERED TRANSACTIONS

Applicant Organization

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).

The prospective primary participant, (i.e., grantee) certifies to the best of its knowledge and belief, that it and its principals:

* Are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from covered transactions by any federal department or agency.
* Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or Local) transaction or contract under a public transaction; violation of federal or state antitrust statues or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.
* Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
* Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature Date

Typed name and Title of Authorized Representative

Certification of Bidder

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_, of lawful age, being first duly sworn, on oath says:  ***1*.** (S)he is the duly authorized agent of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ the offeror submitting the competitive offer which is attached to this statement, for the purpose of certifying the facts pertaining to the existence of collusion among offers and between offerors and state officials and employees, federal officials and employees, Northeast Workforce Development Board members and employees, local elected officials and employees, as well as facts pertaining to the giving or offering of things of value to any of the afore mentioned parties in return for special consideration in the letting of any contract pursuant to the offer to which this statement is attached; ***2*.** (S) He is fully aware of the facts and circumstance surrounding the making of the offer to which this statement is attached and has been personally directly involved in the proceedings leading to the submission of such bid; and ***3*.** Neither the offeror nor anyone subject to the offeror’s direction or control has been a party: ***a)*** to any collusion among offerors in restraint of freedom of competition by agreement to submit an offer at a fixed price or to refrain from submitting an offer, ***b)*** to any collusion with any state official or employee, federal official or employee, Northeast Workforce Development Board member or employee, local elected official or employee as to quantity, quality, or price in the prospective contract, or as to any other terms of such prospective contract, nor ***c)*** in any discussions between offerors and any state official, federal official, board member, local elected official concerning exchange of money or other thing(s) of value for special consideration in the letting of the contract.

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

Signature Date

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

Typed Name and Title of Authorized Representative

**Certificate Regarding RFP Content**

The proposer certifies that it has read all of the information presented in the RFP. The proposer certifies that it understands that the contract that will arise from this RFP will have the conditions, stipulations, and requirements that are stated in the RFP and that the contract will have other legal provisions that are standard and customary contract provisions, but which are not specifically shown in this RFP.

The proposer (proposer’s representative) being duly sworn upon oath, deposes and says:

• That I executed the accompanying proposal on behalf of the Proposer, and that I had the lawful authority to do so.

• That the prices in this proposal have been arrived at independently.

• That the Proposer has not directly or indirectly entered into any agreement, express or implied, with any other actual potential proposer or proposers having for its objective the controlling of the amounts of proposals, or the limiting of the number of proposals or proposers.

• That the Proposer has not paid, given or donated or promised to pay, give or donate to the NEWDB or any officer or employee of the NEWDB any money or other thing of value, including any special consideration, either directly or indirectly, in seeking to procure this contract.

• That, unless otherwise required by law, the prices quoted in this proposal have not been and will not be knowingly disclosed by Proposer until after proposals are opened.

• I understand that this proposal represents a legal offer to provide the services herein described, at the prices stated herein. This proposal is binding for a period of 60 days from the date submitted.

• That, by signing and submitting this proposal, the proposer agrees to each of the certifications contained in this proposal.

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

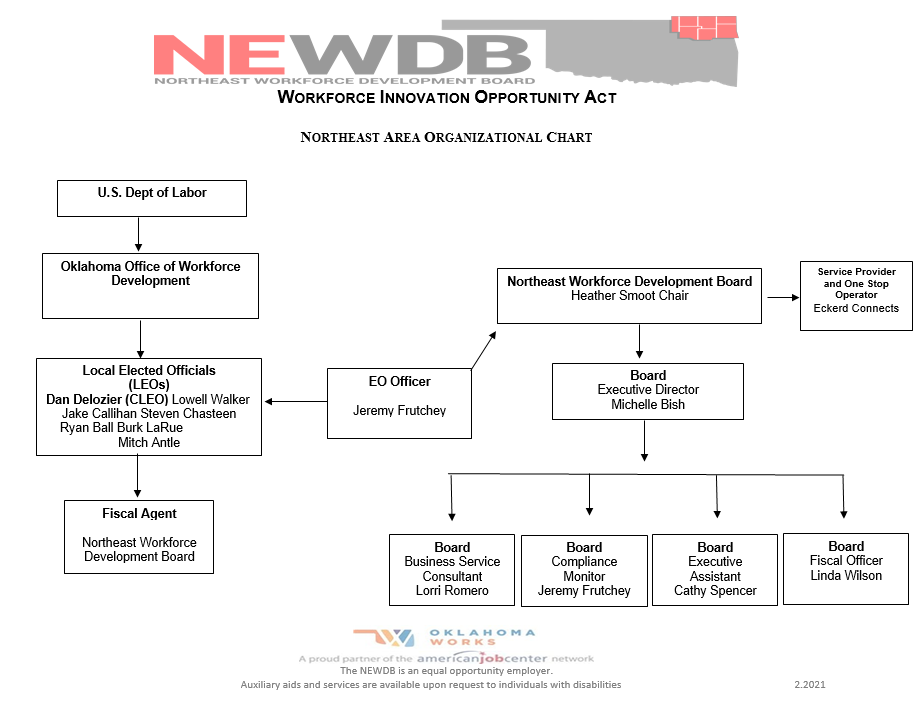
Signature of Proposers Representative

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

Typed Name and Title

**Attachment A**

Org Chart



**Attachment B**

**Adult Grants**

FY 19 – WASFY19 $ 9,279.00

PY 19 – WAS19 $ 31,484.00

FY 20 – WASFY20 $ 160,815.00

PY 20 - WAS20 $ 55,617.89

FY 21 - WASFY21 $ 269,574.84

**DLW Grants**

PY 19 - WDW19 $ 40,420.00

FY 20 – WDWFY20 $ 218,323.00

PY 20 – WDW20 $ 64,886.42

FY 21 – WDWFY21 $ 322,100.40

**Youth Grants**

PY 19 – WYS19 $ 123,353.00

PY 20 – WYS20 $ 324,779.40

**Business Services Grant**

BSVC20 $ 93,644.69

**Humanitarian Relief Grant**

CRDWG20 $ 160,000.00

**Trade and Economic Transition National Dislocated Worker Grant**

TET21 $ 94,202.20