



REQUEST FOR PROPOSALS (RFP)
FOR MONITORING SERVICES

Release Date: July 14, 2017

**Capital Workforce Partners
One Union Place
Hartford, CT 06103**

www.capitalworkforce.org

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I. Background

A. General Summary

The Capital Workforce Partners (herein referred to as the CWP) is requesting proposals from qualified firms of certified public accountants to provide program and fiscal monitoring CWP's contracted programs for the period August 1, 2017 through June 30, 2018. These activities are to be performed in accordance with the Generally Accepted Monitoring Standards, Government Monitoring Standards, the guidelines set forth in the U.S. Department of Labor Monitoring Technical Assistance Guide (TAG), and any other specifications as may be necessary.

II. Description of Entity

Capital Workforce Partners (CWP) is a private, non-profit 501(c)(3) organization responsible for coordinating a regional workforce system that meets the changing employment and training needs of employers and job seekers.

Today, CWP designs and manages a number of targeted workforce development programs including:

- WIOA – funded adult and youth services.
- Other government – funded programs such as job placement and training for Jobs First Employment Services and Temporary Assistance to Needy Families (JFES/TANF) clients.
- Programs for youth in the North Central Region.
- Foundation and government – funded special projects.

Our Mission: We leverage public and private resources to produce skilled workers for a competitive regional economy.

Purpose of Capital Workforce Partners:

- Determine short and long-term workforce needs and priorities.
- Lead, coordinate and broker resources and services to address these priorities.
- Link with regional businesses, elected officials and service providers as principal customers and partners in building a demand-driven regional workforce system.

CWP's administrative office and records are located at One Union Place, Hartford, CT 06103.

III. Proposal Specifications for Solicitations

A. Nature of Services Required

The CWP is soliciting the services of qualified firms of certified public accountants to provide program and fiscal monitoring and report preparation for the period August 1, 2017 through June 30, 2018, with the option to continue services for the CWP for subsequent years.

These services as outlined below are to be in accordance with the provisions contained in this request for proposal.

The services shall be performed in accordance with the General Accepted Auditing Standards as set forth by the American Institute of Certified Public Accountants and Government Auditing Standards issued by the Comptroller General of the United States.

The monitoring services may include the following activities in each department of the CWP:

- 1) One Stop Services/Future Workforce Contracts
 - Review all One Stop WIOA/JFES service provider contracts and all Summer and Year Round Youth contracts, if applicable, for compliance with applicable funding sources (i.e. WIOA, JFES, State of CT), contract requirements and CWP policies.
 - Review and implementation of CWP operations policies.
 - During the course of the year, conduct at least one site initial program site visit and a full compliance review (programmatic and/or fiscal), utilizing tools from the USDOL Monitoring TAG and CWP monitoring tools for each service provider contract.
 - Assess progress toward meeting performance goals.
 - Review support services, for compliance with applicable policy and implementation of budget or other control systems.

- 2) CTHires
 - Review 10% of exited participant files for each program title for evidence of training and outcomes.
 - Review 10% participant files for each program (WIOA Adult,

Dislocated Worker, WIOA Youth, Summer Youth program and Year Round Youth Program) for evidence of eligibility, assessment, training strategy and follow-up.

B. Reports to be Issued:

The Monitor will be required to submit the following reports:

- i. A Monitoring report detailing the procedures performed and the resultant findings, observations and recommendations. If any adjustments are required to the records, disclosure shall be made as to the accounts or records requiring the adjustment.
- ii. A Fiscal Monitoring report detailing the procedures performed and the resultant findings, observations and recommendations. If any adjustments are required, disclosure shall be made as to the areas needing adjustment.
- iii. An Executive Summary issued on a quarterly basis summarizing the work performed (contracts monitored and resultant status) and summarizing any critical issues of review for CWP management.
- iv. Prepare draft communications to organization detailing monitoring findings officiated. All provider communications will be transmitted by CWP.

The monitor, or designee, shall contact the designated staff person, prior to issuance of any monitoring report to discuss all findings to ensure technical correctness with WIOA/JFES.

The monitor shall report any conditions which may affect compliance or the delivery of quality programs. This may include unresolved finding and weaknesses from previous financial audits.

The monitor shall be required to make an immediate written report of incidence of an illegal act or fraud to which they become aware to the CFAO of CWP.

C. Follow-Up Procedure

The monitor shall be responsible for establishing a process for follow-up on all findings to ensure that corrective actions have been taken. When the monitor determines corrective actions have not been taken. A "Notice of Failure to Provide Corrective Action" will be forwarded to the CWP.

D. Modifications

The CWP reserves the right to modify the scope of work as deemed necessary with proper advance notice.

E. Working Paper Retention & Access

All working papers and reports must be retained, at the monitor's expense, for a minimum of three (3) years, unless the firm is notified in writing by CWP to extend the retention period. The monitor will be required to make working papers available, upon request, to CWP or its designees.

The monitor will not publish, reproduce or otherwise divulge such information in whole or in part, in any manner or form, or authorize or permit others to do so. Such reasonable measures are necessary to restrict access to this information, while in the monitor's possession, to those employees on monitor's staff and CWP staff who must have the information on a need-to-know basis.

The firm shall respond to the reasonable inquiries of successor monitors and allow successor monitors to review working papers relating to the matters of continuing accounting significance.

IV. Anticipated Timeline

| Deadline | Activity |
|-----------------|---|
| July 14, 2017 | RFP Released |
| July 21, 2017 | Deadline for questions |
| July 24, 2017 | Responses to questions posted on CWP website |
| July 26, 2017 | Proposals must be received at CWP no later than 4PM |
| July 31, 2017 | Announcement of selected CPA Firm |
| August 1, 2017 | Start date of contract by selected CPA Firm |

We anticipate fieldwork to be scheduled starting in August.

V. Proposal Submission Requirements

Five (5) copies of the proposal are to be submitted, one containing original signatures, no later than 4:00 p.m. local time Wednesday, July 26, 2017.

Proposals should be addressed as follows:

Wendy Gamba
Chief Financial & Administrative Officer
Capital Workforce Partners, Inc.
One Union Place,
Hartford, CT 06103

Proposals must be submitted in a sealed envelope, clearly marked in the lower left-hand corner with the following information:

SEALED PROPOSAL For Monitoring Services July 26, 2017.

Proposals submitted via fax or email will **NOT** be considered.

It is the responsibility of the CPA Firm to ensure that the proposal is received by CWP by the date and the time specified in this RFP.

Late proposals will not be considered.

At a minimum, proposals must include:

- Title Page - Indicate the name of the firm, local address, the name of your firm's contact person for the purposes of this RFP, the email address and telephone number of the contact person.
- Table of Contents - Include a clear identification of the material included in your firm's response by section and by page number.
- Letter of Transmittal - Summarize your understanding of the work to be done. Indicate the names of the persons who will be authorized to make representations on the part of your firm, their titles, email addresses and telephone numbers. The person and/or persons who is authorized to execute the contract on the part of your firm shall sign the transmittal letter.
- Description of the services to be provided, including the approaches and methods to be used, monitoring procedures, estimated hours, and other pertinent information. The CPA Firm should include the type of assistance that will be required from CWP staff as well as the anticipated hours of assistance;
- Description of prior monitoring experience, including the names, addresses, contact persons, and telephone numbers of prior organizations audited. Experience should include the following categories: (a) prior experience auditing programs funded by the state & federal government; (b) prior experience auditing similar programs funded by the state & federal government; and (c) prior experience auditing non-profit organizations;
- Description of the CPA Firm's organization, size and structure. Indicate, if

appropriate, if the firm is a small or minority-owned business. The CPA Firm should include a copy of the most recent Peer Review, if it has had a Peer Review;

- Description of any value added services the CPA Firm provides to its clients;
- Description of the qualifications of principal staff to be assigned to the audit, including (a) audit team makeup; (b) overall supervision to be exercised; and (c) prior experience of the individual audit team members, such as education, position in firm, years and types of experience, continuing professional education, etc.;
- Statement of the availability of auditors necessary to conduct the monitoring and proposed schedule;
- Statement of price for producing the monitoring reports, including how the price was determined, estimated number of hours by staff level, hourly rates by staff level and total cost. Any out of pocket or travel expenses should also be indicated; and
- Completed and signed "Certifications" form, attached to this RSP.

VI. Evaluation Criteria/Evaluation

Evaluation of each proposal will be based on the following criteria:

| Factors | Point Range |
|---|-------------|
| Prior experience auditing similar nonprofit entities. | 0-30 |
| Adequate size of the CPA Firm. | 0-5 |
| Minority / small business. | 0-5 |
| Audit team qualifications. | 0-10 |
| Overall supervision to be exercised. | 0-5 |
| Prior experience of audit team. | 0-10 |
| Presentation of work to be performed. | 0-10 |
| Realistic time estimates of each audit step. | 0-5 |
| Price | 0-20 |
| Maximum Points | 100 |

CWP may, at its discretion, request presentations by or meetings with any or all CPA Firms, to clarify or negotiate modifications to the CPA Firms' proposals.

However, CWP reserves the right to make an award without further discussion of the proposals submitted. Therefore, proposals should be submitted initially on the most favorable terms, from both technical and price standpoints, which the CPA Firm can propose.

CWP anticipates awarding the contract to the CPA Firm with the highest total points.

CWP staff will perform the evaluation and review of proposals. Up to three proposals may be recommended to the Finance & Audit Committee for review. Selected proposers will be expected to attend a meeting with the Finance & Audit Committee to discuss the proposal and answer any questions if requested.

Efforts will be made by CWP to utilize small businesses and minority-owned businesses. A CPA Firm qualifies as a small business firm, if it meets the definition of "small business" as established by the Small Business Administration.

VII. Non-responsive Proposals

Proposals may be judged non-responsive and removed from further consideration if any of the following occur:

The proposal is not received timely in accordance with the terms of this RFP;

The proposal does not follow the specified format;

The proposal is submitted by fax or email; or

The proposal does not include the "Certifications" form;

VIII. General Conditions, Terms & Solicitation Provisions

The release of this RFP does not constitute an acceptance of any offer, nor does such release in any way obligate CWP to execute a contract with any respondent. CWP reserves the right to accept any offers on the basis of the general conditions set forth in this RFP, and to evaluate all accepted proposals on the criteria in this RFP. Before preparing proposals, respondents should note that:

- a. CWP will not pay for any expenses incurred prior to the execution of a contract and will not be liable for any cost incurred in the preparation of proposals or negotiation of contracts, including the costs of printing, copying, travel or staff compensation.
- b. All proposals in their entirety will become the property of CWP upon submission.
- c. Proposals may be withdrawn by written notice. Withdrawals will be accepted any time up to execution of a contract.

- d. The award of a contract for any proposed service is contingent upon:
- Favorable evaluation of the proposal in relation to other proposals;
 - Approval of the proposal by CWP; and
 - Successful negotiation of any changes required by CWP.
- e. CWP reserves the right to negotiate the final terms of all contracts with successful respondents. Items that may be negotiated include, but are not limited to: type and scope of services, costs and prices, schedules, and service levels.
- f. CWP also reserves the right to accept any proposal as submitted for contract award without substantive negotiation of offered terms, services or costs. Therefore, respondents are advised to propose their most favorable terms initially.
- g. CWP is responsible for final review and evaluation of proposals and selection of service providers, and reserves the right not to fund any or all proposals. Proposals must be complete and must follow the format outlined in this RFP.
- h. By submission of the proposal, the respondent certifies that in connection with this proposal:
- The costs in the proposal have been arrived at independently without consultation, communication or agreement, for the purpose of restricting competition as to any matter relating to such costs with any other respondent or with any competition;
 - Unless otherwise required by law, the costs which have been quoted in the proposal have not been knowingly disclosed by the respondent, and will not be disclosed by the respondent, prior to award directly or indirectly to any other respondent or to any competition;
 - No attempt has been made by the respondent to induce any other person or firm to submit or not submit an proposal for the purpose of restricting competition; and
 - The respondent shall agree that no employee, member/partner, either paid or unpaid which shall also include immediate family members of the aforementioned, shall engage in any CWP activity relating to the participation, selection, award or administration of contracts supported by Federal/State/City/Private funds.
- i. Proposals will be received and maintained consistent with applicable Connecticut open records laws. Due regard will be given to the protection of proprietary information contained in all proposals received. However, respondents should be aware that all materials associated with this procurement are subject to the terms of the Freedom of Information Act, the Privacy Act and all rules, regulations and interpretations resulting there from.

- j. Any respondent awarded funds to provide services will be required to operate a program of professional quality, maintain proper programmatic and fiscal controls, and submit timely reports as required. Service providers must ensure that programs are administered with safeguards against fraud and abuse.
- k. Respondents are encouraged to read this entire RFP before preparing and submitting a proposal. Submissions that do not follow the general format, do not include all the minimum requirements specified including the required documentation and certifications in this RFP, and/or are not submitted by the due date and time will not be considered for funding.

IX. Notification of Award

Upon conclusion of final negotiations with the successful audit Firm, all CPA Firms submitting proposals in response to this RFP will be informed, in writing, of CWP's decision, via e-mail using the address provided on the Certification Form.

X. Terms of Engagement

This RFP is to contract compliant monitoring preparation for the period of August 1, 2017 - June 30, 2018. CWP and the selected CPA Firm will agree upon the cost for any subsequent years contracted.

Upon request, the selected CPA Firm will provide a copy of all work papers pertaining to the monitoring, including questioned costs. The work papers must be concise and provide the basis for the questioned costs as well as an analysis of the problem.

The work papers will be available for examination by authorized representatives of federal, state, and private funding entities, the State Monitoring's office, and CWP.

XI. Remuneration of Monitoring Services

Payment will be made within 30 days of receipt of an invoice and when CWP has determined that the total work effort has been satisfactorily completed and the twenty (20) copies of the final monitoring report have been delivered to and accepted by CWP. Should CWP reject a report, CWP's President/CEO will notify the selected CPA Firm in writing of such rejection giving the reason(s) for the rejection. The right to reject a report shall extend throughout the term of the contract and for ninety (90) days thereafter.

XII. Questions

Questions or comments regarding this RFP must be received electronically no later

than 12:00 p.m., July 21, 2017. Questions should be emailed to Summer Gomes at sgomes@capitalworkforce.org with the email subject reading Request for Proposal of for Monitoring Services. Responses will be posted on our website (www.capitalworkforce.org) no later than July 24, 2017. Questions will not be answered individually. CWP shall not be obligated to answer questions received after the above specified deadline or any questions submitted in a manner other than as instructed above.

XIII. Technical Assistance Provided by CWP

The CWP support staff will be available to provide technical assistance with the provision of information needed to conduct program and fiscal monitoring and oversight reporting. CWP will coordinate requests for information, to provide documentation or other assistance that may be necessary during the course of the review.

CWP will provide a listing and copies of all current contracts for the monitor. In addition, CWP will provide the monitor with reasonable work space, desk and chair with access to a telephone, copier and fax, if deemed necessary.

Report preparation, editing, and copying shall be the responsibility of the firm.

Attachments:

Certification Form

CERTIFICATIONS - On behalf of the CPA Firm:

The individual signing certifies that he/she is authorized to contract on behalf of the CPA Firm.

The individual signing certifies that the CPA Firm is not involved in any agreement to pay money or other consideration for the execution of this agreement, other than to an employee of the CPA Firm.

The individual signing certifies that the prices in this proposal have been arrived at independently, without consultation, communication, or agreement, for the purpose of restricting competition.

The individual signing certifies that the prices quoted in this proposal have not been knowingly disclosed by the CPA Firm from submitting a proposal.

The individual signing certifies that there has been no attempt by the CPA Firm to discourage any potential CPA Firm from submitting a proposal.

The individual signing certifies that at least one of the monitoring team members of the CPA Firm is a Certified Public Accountant licensed by the Connecticut State Board of Public Accountancy.

The individual signing certifies that the CPA Firm meets all of the general standards concerning qualifications, independence, due professional care and quality control as required by *Government Monitoring Standards*, including the requirements for continuing professional education and external peer reviews. (Please include copy of most recent review.)

The individual signing certifies that he/she has read and understands all of the information in this Request for Proposal, including the information on the programs/grants/contracts to be monitoring.

The individual signing certifies that the CPA Firm, and any individuals to be assigned to the monitoring, does not have a record of substandard monitoring work and has not been debarred or suspended from doing work with any federal, state or local government and has no actual or perceived conflict of interest with CWP, its management or its Board of Directors. (If the CPA Firm or any individual to be assigned to the monitoring has been found in violation of any state of AICPA professional standards or any potential conflict of interest, this information must be disclosed.)

Dated this _____ day of _____, 2017.

CPA Firm's Name

Signature of CPA Firm's Representative

Printed Name and Title of Individual Signing

E-mail address for notification of decision: _____

Details of any necessary disclosures:

