



Lincoln Trail Workforce Development Board  
Request for Proposal

One Stop Operator

Services to be performed  
(July 1, 2017 – June 30, 2018)

April 19, 2017

I. **Description of the Lincoln Trail Workforce Development Board and Workforce Development Area**

The Lincoln Trail Workforce Development Board (LTWDB) is the workforce development strategy and policy board for the Lincoln Trail Workforce Development Area (LTWDA), formed and certified under the provisions of the federal Workforce Innovation and Opportunity Act (WIOA) of 2014. The Lincoln Trail workforce development area consists of 8 counties in central Kentucky: Breckinridge, Grayson, Hardin, Larue, Marion, Meade, Nelson and Washington.

The Lincoln Trail Area Development District (LTADD) has been competitively procured by the Lincoln Trail Development Association to be the local grant subrecipient for the local elected officials. The Lincoln Trail Workforce Development Board concurs with this agreement for board support activities. At the present time, the Lincoln Trail Area Development District also provides direct services. The Lincoln Trail Area Development District is issuing this Request for Proposal on behalf of the Lincoln Trail Workforce Development Board.

Primary funding for the Lincoln Trail Workforce Development Board comes from the U.S. Department of Labor, Employment and Training Administration, through the Kentucky Education and Workforce Development Cabinet.

Currently there is a consortium of required partners acting as the one-stop operator and a career center director. There is one certified comprehensive center (Hub) in Elizabethtown and three certified affiliate centers in Bardstown, Lebanon and Leitchfield. KCC Centers – Lincoln Trail are currently open 37.5 hours per week, Monday – Friday:

- 7:30 – 5:00 – Monday and Tuesday
- 7:30 – 4:30 – Wednesday and Thursday
- 7:30 – Noon - Friday

It is expected that the One-Stop Operator will be located at the hub, 233 Ring Road, Suite 100, Elizabethtown, KY 42701.

**NOTE:** The terms one-stop center and career center are used interchangeably.

II. **Purpose**

The purpose of this Request for Proposal (RFP) is to select a One-Stop Operator (OSP) to manage and provide oversight for services and activities provided through the Kentucky Career Centers in the Lincoln Trail Workforce Development Area (KCC-Lincoln Trail). Section 121(b)(1)(B) of WIOA provides a list of the required partners in the one-stop system. They are as follows:

- Adult, Dislocated Worker and Youth under Title I of WIOA;
- Wagner-Peyser Act programs;
- Adult Education and Literacy activities;
- Vocational Rehabilitation programs;
- Title V programs under the Older Americans Act;
- Career and Technical Education programs;
- Trade Act Programs;
- Chapter 41 activities under title 38, United States Code;
- HUD Employment and Training Activities;
- Unemployment Compensation Laws programs;
- Second Chance Act of 2007 programs; and
- Programs under part A of title IV of SSA. (TANF)

Other programs that may be included with approval of local board and chief elected official:

- SSA Employment and Training programs including Ticket to Work and Self-Sufficiency Program;
- SBA Employment and Training programs;
- Food and Nutrition Act programs;
- Food and Nutrition Action work programs;
- Vocational Rehabilitation Section 112 programs;
- National and Community Service Act programs; and
- Other federal, state or local programs, including employment, education and training programs provided by public libraries or in the private sector.

**NOTE:** TANF (Temporary Assistance for Needy Families may be “opted out” by the Governor if it is done in the State plan. In Kentucky, it is “presumed” that TANF programs are required.

To be eligible as the one-stop operator, an entity (may be a consortium):

- Shall be designated or certified as a one-stop operator through a competitive process; and
- Shall be an entity (public, private or nonprofit), or consortium of entities (including a consortium of entities) that, at a minimum, includes 3 or more of the one-stop partners listed above of demonstrated effectiveness, located in the local area, which may include:
  - An institution of higher education;
  - An employment service state agency under the Wagner-Peyser Act;
  - A community-based organization, nonprofit organization or intermediary;
  - A private-for-profit entity;

- A government agency; and
  - Another interested organization or entity, which may include a local chamber of commerce or other business organization, or a labor organization.
- EXCEPTION: Elementary schools and secondary schools shall not be eligible for designation or certification as one-stop operators, except that nontraditional public secondary schools and area career and technical education schools may be eligible for such designation or certification.
  - ADDITIONAL REQUIREMENTS: One-stop Operators must:
    - Disclose any potential conflicts of interest arising from relationships of the operators with particular training service providers or other service providers;
    - Not establish practices that create disincentives to providing services to individuals with barriers to employment who may require longer-term services, such as intensive employment, training and education services; and
    - Comply with Federal regulations, and procurement policies, relating to the calculation and use of profits.
  - The One-Stop Operator may not: (§678.620 of the WIOA Regulations)
    - Convene system stakeholders to assist in development of local plan;
    - Prepare and submit local plans;
    - Be responsible for oversight of itself;
    - Manage or significantly participate in the competitive selection process for one stop operators;
    - Select or terminate one stop operators; career services, and youth providers;
    - Negotiate local performance accountability measures; or
    - Develop or submit budget for activities of the Local Workforce Development Board in the local area

### III. **Background**

WIOA recognizes the value of the one-stop delivery system, and provides the workforce system with important tools to enhance the quality of its one-stop (career centers) centers. The law strengthens the ability of states, regions, and local areas to align investments in workforce, education, and economic development to regional in-demand jobs. It also places great emphasis on achieving results for job seekers, workers, and businesses. Finally, it reinforces the partnership and strategies necessary for one-stop centers to provide job seekers and workers with the high-quality career services, education and training, and supportive services needed to obtain good jobs and stay employed;

as well as to help business find skilled workers and access other supports, including education and training for their current workforce.

The publicly funded workforce system envisioned by WIOA is designed to increase access to, and opportunities for, the employment, education, training, and support services that individuals need to succeed in the labor market, particularly those with barriers to employment. It aligns workforce development, education, and economic development programs with regional economic development strategies to meet the needs of local and regional employers, and provide a comprehensive, accessible and high-quality workforce development system. This alignment is accomplished by providing all customers access to high-quality one-stop centers that connect them with the full range of services available in their communities, whether they are looking to find jobs, build basic educational or occupational skills, earn a postsecondary certificate or degree, or obtain guidance on how to make career choices, or are businesses and employers seeking skilled workers.

The current career center activities are focused on individual job seekers, therefore, existing programs provided by the career center are to a large extent driven by individual need. In contrast, the career center of the future will be driven by, and responsive to, the demands of the employers in the local labor market. Under this new paradigm, activities and services provided should tie back to employer demand. The career centers should be responsive to employers' workforce needs, which will promote success for job seekers, ensuring that they are being prepared to satisfy employer demand.

A key goal is employers value the career centers because staff understands the workforce needs of industry and companies and respond quickly to their needs for talent. The career center staff should provide qualified applicants to targeted industries in the region, and by so doing; make the career center the human resource vendor of choice for local companies. Career center staff should include industry-occupational experts with deep and cooperative relationships with companies in the target industries in the region. Staff should use proven tactics to respond quickly when an employer places a job order including: a pool of job seekers should be available due to the registration profile required for all career center customers and staff should establish relationships with training and education institutions which produce graduates with the skills demanded by employers.

#### IV. **Scope of Work**

This Request for Proposal (RFP) seeks qualified individual(s), organizations, entities to serve as the One-Stop Operator for all eight counties of the Lincoln Trail Workforce Development Region, including coordinating the services of one-stop network partners, at any full-service (comprehensive) career center hub, affiliate career center or other service outlets in the region.

Upon initial selection of a successful proposal, LTADD and the LTWDB retain the right to negotiate with the successful bidder to modify the proposal and determine the terms of the contract before the award becomes final. If such negotiations fail to produce an agreement, LTADD and LTWDB reserve the right to retract their offer and select another proposal.

§678.635(b) of the WIOA regulations states that:

“By November 17, 2016, every local WDB must demonstrate it is taking steps to prepare for competition of its one-stop operator. This demonstration may include, but is not limited to, market research, requests for information, and conducting a cost and price analysis.”

The Lincoln Trail Workforce Development Board met this benchmark by conducting a cost and price analysis of the current career center director positions in Kentucky and the results of that analysis serve as the basis for the scope of work and funding of this procurement.

The Workforce Innovation and Opportunity Act of 2014, in section 121(d) defines the role of the one-stop operator and allows local workforce development areas a great deal of latitude in defining the specific functions of this position. The LTWDB has defined the functions of the one-stop operator as:

- Coordinate the delivery of services of participating one-stop partners and services providers in the region. These partners include, at a minimum, WIOA Title I-B Adult, Dislocated Worker, and Youth, Adult Education, Vocational Rehabilitation, and Employment Services authorized under Wagner-Peyser. It is expected and highly encouraged that other statutorily mandated programs are to be engaged in the system either through participation on-site and/or services delivery via technology. This coordination may involve multiple offices and locations, including a certified comprehensive one-stop center hub and affiliate centers.
- Foster a culture of collaboration and excellent customer service among one-stop partners that promotes delivery of high quality, innovative workforce development services and solutions to business and individual jobseeker customers. The one-stop system in the Lincoln Trail region should be driven by the needs of the business community.
- Convene and lead regularly scheduled meetings of one-stop partners that facilitates integrated partnerships that incorporate seamless services for common customers and ensure the system’s staff are well-trained, equipped and operating in a continuous learning environment with the skills and knowledge needed to provide superior service and evaluate process toward shared goals.

- Serve as a resource for staff of all partner agencies in regard to the objectives, processes, requirements, and regulations of WIOA and the workforce delivery system.
- Provide support, assistance, and resolution to all staff in response to collaboration issues, facilities needs, and/or other problems.
- Provide direction for the team leads of the partners and function-based groups.
- Ensure that comprehensive cross-training and development plans are established for the staff of partners present in the region.
- Measure customer satisfaction with the workforce delivery system.
- Lead the establishment of performance goals for the workforce services network in the region and track and evaluate performance in pursuit of those goals.
- Along with the LTWDB and its staff, help create, maintain, and update the requisite Memorandum of Understanding and Infrastructure Funding Plan so that all partners are actively participating via on-site or through technological means and contributing their fair share of the costs associated with the system.
- Prepare monthly and quarterly reports to LTWDB and its staff.

If and when appropriate, the One-Stop Operator will also be required to participate in and coordinate the Kentucky Career Center certification process for any location within the region. Additionally, if the Governor chooses to so require, the one-stop operator must also collect specific performance information from providers of on-the-job (OJT) training, customized training, incumbent worker training, internships, paid or unpaid work experience, and transitional employment; and use the information to determine whether the providers meet the performance criteria required by the Governor.

In coordinating regional services, the one-stop operator must not establish practices that create disincentives to providing services to individuals with barriers to employment who may require longer-term services, such as intensive employment, training and/or education services.

The LTWDB will prefer to contract with an entity that is knowledgeable about workforce development services, their objectives, and the regulations that govern them, including:

- Career services (described in WIOA Section 134(c)(2)).
- Training services (described in WIOA Section 134(c)(3)).
- Employment and training activities carried out under WIOA Section 134(d), if any.
- Programs and activities carried out by one-stop partners, including Vocational Rehabilitation, Adult Education, postsecondary education, unemployment insurance and Veterans Services.

- Data, labor market information, and analysis from Wagner-Peyser (described in Section 15(a) of the Wagner-Peyser Act).
- Labor exchange services authorized under the Wagner-Peyser Act.

Entities that apply should possess and have demonstrated the following characteristics:

- Flexibility and ability to adapt to change.
- Competent management skills
- Inspirational, visionary, goal-driven, highly professional leader
- Skilled communicator
- Commitment to strong partnerships
- Commitment to the integrated service delivery model

Any entity that applies to be a one-stop operator in the Lincoln Trail region must disclose in its application any potential conflicts of interest that could arise from its relationship(s) with participant training services providers and/or other service providers. The LTWDB and its workforce director will oversee and evaluate the performance of the entity or entities selected as the one-stop operator.

**V. General Procurement Terms and Information**

1. Procurement Term

The initial period of contract performance will be July 1, 2017 through June 30, 2018. Funding will be provided on an annual basis. The LTWDB may choose to renew the contract annually for up to three (3) additional years, based on the availability of funds, contract performance, and the workforce needs of the Lincoln Trail Workforce Development Area. The contracted awarded will be on a cost-reimbursement basis.

The LTWDB reserves the option to use this procurement to add or increase workforce services within the region if additional funding for related workforce services becomes available and it is in the best interest of the region and the LTWDB to do so.

2. Timeline

This RFP will be available from the LTWDB from the following two websites: Lincoln Trail Area Development District: [www.ltadd.org](http://www.ltadd.org) and/or KCC- Lincoln Trail: [www.ltcareercenter.org](http://www.ltcareercenter.org).

RFP Release	-	April 19, 2017
Letter of Intent (sent via email)	-	April 26, 2017
Question & Answers	-	April 26, 2017



Proposals Due	-	May 12, 2017
Evaluation of Proposals	-	May 15-31, 2017
Board Consideration	-	June 20, 2017
Contract Negotiation and Execution	-	June 21-26, 2017
Contract Implementation	-	July 1, 2017

3. General Information

The Coordinator for this solicitation is the sole point of contact at the Lincoln Trail Area Development District. All communications between the bidder and the LTADD must be submitted in writing via email to:

Sherry L. Johnson, Associate Director  
 Lincoln Trail Area Development District  
 P. O. Box 604  
 613 College Street Road  
 Elizabethtown, KY 42702-0604  
 270.769.2393  
 Email address: [sherry@ltadd.org](mailto:sherry@ltadd.org)

Any other communication will be considered unofficial and non-binding on the Lincoln Trail ADD. Communication directed to other parties other than the coordinator may result in automatic disqualification.

4. Issuance of Questions and Answers

Written questions should be submitted to the RFP Coordinator during the scheduled Question and Answer period. Questions must be sent via email. All responses will be issued by email and will be sent individually to each bidder. The Lincoln Trail ADD shall be bound only to written answers to questions.

5. Collaborative Projects/Subcontracting

If you plan to use subcontractors in your proposal, you will be required to submit the name(s) and qualifications to provide some of the services/deliverables for this project. Subcontractors will be held to the same terms and conditions as the contractor in order to meet the statement of work, method or payment and deliverables. Any subcontractor must make available to the contractor and the Lincoln Trail ADD, if requested, copies of personnel records and documentation of employee's compliance with the contract as it is written.

6. Right to Cancel and Negotiate

The LTWDB reserves the right to delay, amend, reissue, or cancel any or all of the RFP at any time without prior notice. This RFP does not commit the LTWDB to accept any proposal nor will it be responsible for any costs incurred by a bidder in the preparation of responses, in conduct of a presentation, or any other activities related to this RFP.

The LTWDB reserves the right to reject any or all proposals, to accept or reject any or all items in any proposal, and to award contracts in whole or in part as is deemed to be in the best interest of the LTWDB. The LTWDB reserves the right to negotiate with any bidder after proposals are reviewed and reserves the right to negotiate the final terms of the contract with the successful bidder.

7. Commitment of Funds

Wendell C. Lawrence, Executive Director of the Lincoln Trail Area Development District is the only individual who may legally commit the LTADD to the expenditure of funds for a contract resulting from the RFP. No cost chargeable to the proposed contract may be incurred before the execution date stipulated in the contract and all required signatures affixed.

8. Fund Availability

The maximum amount of funds available for this project is \$110,000.

9. Contract, General Terms and Conditions

The successful bidder will be expected to enter into a contract, which contains the same, general terms and conditions as attached in Exhibit B. In no event is a consultant to submit its own standard contract terms and conditions in response to this solicitation. The bidder may submit exceptions as allowed in the Certifications and Assurances section, Exhibit A to this solicitation. The LTWDB will review requested exceptions and accept/reject the same at their discretion.

10. 0

Bidders are required to submit one unbound original, 10 copies and one electronic copy (email) of the proposal. The original must contain original signatures. The proposal whether mailed or hand delivered, must arrive at the LTADD no later than 12:00 pm (Eastern) on **May 12, 2017**. The proposal is to be sent to the RFP Coordinator at the appropriate address listed above. If mailed, the envelope should clearly be marked to the attention of the RFP Coordinator – One Stop Operator.

Consultants mailing proposals should allow normal delivery time to ensure timely receipt of the proposals by the Coordinator. Consultants assume the risk for the method of delivery chosen. The LTADD assumes no responsibility for delays caused by any service. Proposals may not be transmitted using electronic media such as fax or email transmission.

Late proposals will not be accepted and will be automatically disqualified from further consideration. All proposals and any accompanying documentation become the property of the LTADD and will not be returned.

## 11. Proposal Review and Evaluation Process

Proposals will be screened for compliance with the federal and state WIOA requirements and compliance with the specifications of this RFP through the following three-phase process:

1. Phase I - The LTADD staff will initially evaluate each proposal for acceptability, with emphasis placed on completeness and responsiveness to the administrative criteria. The following minimum criteria will be used to determine which proposals continue on to Phase II:
  - All required responsibilities and functions are addressed;
  - All requested information and documentation has been included and executed;
  - Provide past two (2) years of audited financial history;
  - Provide status of any costs disallowed by any federal and/or state agency for past three (3) years including name of the agency, amount of disallowed costs in dispute, bidder's position on disallowed costs and current status of any review process, dispute process and/or corrective action plan submitted.
  - Provide legal history of bankruptcy, pending criminal/civil lawsuits and litigations.
  - Requisite organizational charts have been submitted.
  - Documentation of registration to conduct business with the Secretary of State in Kentucky or other state.
  - DUNS Number is provided;
  - Bidder is not listed on the federal debarred/suspended list; and
  - Proposal is submitted in accordance with the RFP.
  
2. Phase II – Proposals that have meet the administrative criteria, as stated above, will then be reviewed and by the Funding Committee and the WEED (Workforce, Education and Economic Development Committee). Proposals will be reviewed and ranked based on evaluation criteria outlined later in this document. NOTE: The LTWDB retains the right to request additional information or request oral presentations from

bidders. If no response addresses the services and outcomes requested, the committee(s) may recommend no award be made.

3. Phase III – The recommendations of the Committees in Phase II will be presented to the Full Board at its quarterly meeting on June 20, 2017. All contract awards will be considered provisional, pending receipt of any additional documentation regarding qualifications and/or any other areas of concern and the successful completion of contract negotiations.

## 12. Proposal Submission Format

Bidders must adhere to the following sequence. Failure to do so will result in proposals being rejected for review and consideration. Each proposal should include:

- Letter of Submittal (Cover Letter) – One original letter of submittal and the attached Certification and Assurance form (Exhibit A to this RFP must be signed and dated by a person authorized to legally bind the Bidder to a contractual relations, e.g., President, Executive Director, Managing Partner or Proprietor. Along with introductory remarks, the letter is to include by attachment about the bidder, and any proposed subcontractors:
  - Name, address, principal place of business, telephone and fax numbers, email address of legal entity or individual with whom the contract would be written.
  - Name, address and telephone number of each principal officer.
  - Legal status of bidder (sole proprietorship, partnership, corporation, etc.) and the year the entity was organized to do business, as the entity now substantially exists.
  - Federal Employment Tax Identification Number (FEIN)
  - DUNS Number.
  - Documentation from appropriate Secretary of State that entity is duly registered.
  - Location of the facility from which bidder would operate.
  - Identify any current or former LTADD employees employed by the bidder or on the bidder's governing board as of the date of proposal. Include their position and responsibilities within the bidder's organization. If following a review of this information, it is determined by the LTADD that a conflict of interest exists; the bidder may be disqualified from further consideration for the award of the contract.
- Executive Summary – Two page limitation on the organization's letterhead: (Does not count against page limitation.)

- An overview of the organization’s qualifications, including the number of years it has successfully provided workforce related services.
  - If submitting as a formal partnership, consortium, or collaboration, identify all key partners and the lead entity
  - A concise description of the proposed services, including a plan to integrate partner services.
- Proposal Narrative – Insert the Proposal Narrative after the Letter of Submittal and the Executive Summary. The narrative portion of the proposal should be 22 pages or less, single-spaced using 1-inch margins, on 8 ½” x 11” paper, with a 12 point font (preferably, Times Roman, Cambria or Calibri). The Proposal Narrative should include all information being requested by this RFP.
  - Narrative and Budget Scoring

Organizational Capacity, Experience and Past Performance: 20 points

This category will evaluate past experience in providing One-stop Operator services and/or similar to those being proposed, including the ability to deliver as proposed, attain, track and report outcomes. Evaluation of the performance and management capability of the bidder(s) will include:

- Compatibility between proposing bidder’s mission and LTWDB goals for the One-Stop System;
- Financial and administrative experience and capacity in managing multiple federal, state, and/or private funding sources;
- Provides documents establishing financial history;
- Provides evidence that bidder is up-to-date on taxes (income, annual federal and state, payroll, etc.);
- Provides evidence that acceptable accounting systems are in place;
- Experience managing facilities, integrated service delivery, technology, staff training, negotiating MOUs and infrastructure funding (cost allocation plans) among partners; and
- Experience in implementing systems and/or processes.

Relationships and Collaboration: 10 points

This category will evaluate the bidder’s current and proposed relations with WIOA core partners and other community partners. Evaluation of this section will include:

- Evidence of credible and realistic partnerships;

- Existing relationship with the LTWDB;
- Collaboration with Wagner-Peyser (state) Adult Education, Vocational Rehabilitation, community college, and other mandated WIOA partners.

Operator Plans: 50 points

This category will evaluate the feasibility and adequacy of operator services and processes, including evaluation of:

- Leadership, creativity, flexibility, and innovation to adapt to future service changes and growth.
- Experience operating one-stop centers, and/or affiliate sites;
- Experience with oversight of multi-organizational staff;
- Provides a plan for partner integration;
- Provides a strategy for outreach and enrollment;
- Provides a program design model;
- Proposes outcomes that are relative to the mission and objectives of the KCC-Lincoln Trail;
- Creativity in the development MOUs/Infrastructure Funding Agreements (cost allocations plans) for the one-stop delivery system;
- Provides a workflow/logistical model;
- Provides a function or proposed organizational chart for KCC-Lincoln Trail;
- Development of staff professional development; and
- Become the change agent for a paradigm shift in the Lincoln Trail region's one-stop system to being business driven and getting partner buy-in.

Operator Plan Budget and Budget Narrative: 20 points

This category will evaluate the cost of the proposed plan. The budget will be reviewed for accuracy and completeness. Additionally, all proposals will be reviewed for costs that are reasonable, allocable, allowable, fully justified and competitive as measured by the review of the line-item budget, the plan's feasibility, and comparison to all other proposals. Also, if there are other funding sources (i.e., in-kind, etc. to be used in this budget, please provide detailed information on funding source and how they will be utilized.

NOTE: The budget that is proposed will not necessarily be the amount funded.

## Proposal Response Questions

### Organization Experience and Past Performance (Maximum 4 pages)

- Describe the organization's vision, mission, staffing, and service expertise, services provided, current customer base, funding sources, and funding stability. Describe how this proposal relates to the organization's goals and to the LTWDB's goals for the one-stop system. (NOTE: Organizational chart will not count against the page limit but must be included as an attachment.)
- Describe the organization and staff's experience related to one-stop operations and your organization's capacity to carry out the proposed Operator services.
- Describe the organizational experience in implementing systems and/or processes similar to workforce development activities. What were they, how were they implemented, and how was success measured?
- Describe the qualifications for staffing the one-stop operator. If staff has already been selected, provide name, experience and qualifications, including related knowledge, skills, and abilities of the person who will perform the duties of the One-Stop Operator. Include a resume, and/or a one-page narrative of the current or planned staff qualifications.
- Describe all experience related to the Workforce Investment Act/Workforce Innovation and Opportunity Act (WIA/WIOA) or other Federal or state programs/legislation.
  - Describe experience in delivering similar programs or services.
  - Provide a detailed summary of similar experience with data and references (name, phone number and email addresses).

### Relationships and Collaboration (Maximum 4 pages)

- Describe and document partnerships with WIOA Title I programs, Adult Education, Vocational Rehabilitation, Wagner-Peyser and other WIOA-mandated partners. Be sure to include a clear statement of relationship between the organization and each partner, how past relationships will support the role as Operator, and how shared values were fostered, outcomes and resources for the betterment of the workforce development system.
- Describe (if applicable) existing relationship with the LTWDB or KCC-Lincoln Trail.

NOTE: Please provide proof of these relationships and collaboration through MOUs and/or contracts with partners. These should be included as attachments.

## Operator Plans (Maximum 12 pages)

- Describe plan in developing and implanting an integrated, business-driven one-stop system in the Lincoln Trail Workforce Development Area. This should include a description of how barriers/silos between partners are removed and system operates seamlessly. Customers should not know or care what partner program offers services just that quality services and solutions are provided. Also, describe how partners not currently participating in the system, will be brought into the system. Description should also include partners who are only electronically present.

NOTE: Please be aware of any implications or special arrangements or how you will organize and meet requirement of provisions at 20 CCFR 678.630: "Continued use of State merit staff for the provision of Wagner-Peyser Act services or services from other program with merit staffing requirements must be included in the competition for and final contract with the one-stop operator when Wagner-Peyser Act services or services from other programs with merit staffing requirements are being provided."

- Describe previous customer services experiences as well as experience with handling complaints and/or concerns from customers. Describe experience with oversight of staff teams and knowledge/experience with team-based case management.
- Describe plan to offer, staff and manage core workforce development classes and services.
- Describe plan to manage and support appropriate technology, including adaptive technology.
- Describe plan and strategy to ensure that all KCC-Lincoln Trail staff is properly trained, cross-trained and utilize the appropriate data management systems.
- Describe plan for working with the LTWDB in developing, managing, and ensuring a fair and equitable MOU and Infrastructure Funding Agreement that looks beyond simple space and supply sharing to distribute costs of supporting the workforce development system across the required One-Stop Partners. Describe plans to incorporate TANF into the KCC-Lincoln Trail.
- Describe plan to create a well-trained staff by developing and posting opportunities for training in areas of leadership, customer service,



workforce development best practices and skills, human-centered design, networking, social media, public speaking and others. Describe how partners will be engaged to provide monetary support for staff training/capacity building activities.

- Describe plan for working with the LTWDB and its outreach contractor on a strategy to promote services at the KCC-Lincoln Trail. Describe how the system can utilize current methods of social media, etc. to get the word out.
- Describe proposed outcome measures that effectively capture and evaluate system efficacy and effectiveness. Also describe proposed data collection and validation methodology as well as a reporting method.
- Describe the possibility/potential of providing additional types of services and/or serving additional populations, and extent which experience demonstrates adaptability and flexibility as requirements change and new opportunities arise.
- Describe plan to comply with all federal, state and local laws, regulations and policies as well as work with the LTWDB to provide oversight to ensure all partner agencies are also in compliance.
- **(TWO PAGE LIMITATION) Describe the changes anticipated in KCC-Lincoln Trail in year 1? Year 2? Year 3? Year 4?**

#### Operator Plan Budget (Maximum 2 pages)

Present a detailed program budget by line item. In order to clarify the budget request, bidder will prepare a one-page narrative to include those comments. The budget should be presented for the period of time that is noted (July 1, 2017 – June 30, 2018.). Bidders should include costs such as, but not limited to:

- Salaries
- Fringe Benefits (list all separately)
- Travel, training
- Equipment and supplies (phone, computer, etc.)
- Insurance
- General Liability
- Workers' Compensation
- Unemployment Insurance
- Indirect Costs (If applicable)
- Profit (If applicable and will be negotiated separately.)

NOTE: Please be aware that the contract issued will be a cost reimbursement contract. At a minimum, invoices must be accompanied by source documentation in order to receive reimbursement for the costs.

Checklist of Required Documents For Submission  
(Include this sheet as first page of packet)

Letter of Submittal	_____
Executive Summary	_____
Proposal Narrative (All items addressed)	_____
Budget and Budget Narrative	_____
Past two years of audited financial history	_____
Past three years of disallowed costs and status	_____
Evidence of Taxes up-to-date	_____
Evidence of acceptable accounting systems in place	_____
Organizational Charts	_____
Job Description(s)	_____
Staff Resumes/Certifications (if applicable)	_____
Conflict of Interest Statement	_____
Organization's Charter or Articles of Incorporation	_____
Certificates of Insurance	_____
Unemployment Insurance	_____
Worker's Compensation	_____
Board Resolution	_____
Letters of Support (if applicable)	_____
Exhibit A – Certification and Assurances	_____
Exhibit B – General Assurances and Certifications	_____
Exhibit C – Debarment Certification	_____
Exhibit D – Non-Collusion Affidavit	_____
Exhibit E – Grievance Procedures	_____
Exhibit F – Financial Certification	_____
Exhibit G – Legal Certification	_____

**Exhibit A**  
**Certifications and Assurances**

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.
2. The prices and/or cost data have been determined independently, without consultation, communication or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.
3. The attached proposal is a firm offer for a period of 60 days following receipt, and the Lincoln Trail Area Development District may accept it without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the 60-day period.
4. In preparing this proposal, I/we have not been assisted by any current or former employee of the Lincoln Trail Area Development District whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)
5. I/we understand that the Lincoln Trail Area Development District will not reimburse me/us for any costs incurred in the preparation of this proposal. All proposals become the property of the Workforce Development Area, and I/we claim no proprietary right to the ideas, writing, items or samples, unless so stated in this proposal.
6. Unless otherwise required by law, the prices and/or cost data that have been submitted have not been knowingly disclosed by the bidder and will not be knowingly be disclosed by him/her prior to opening, directly or indirectly to any other bidder or to any competitor.
7. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to the proposal.

8. No attempt has been made or will be made by the Proposed to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.

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Signature of Proposer

---

Consultant/Firm

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Title

Date

## **Exhibit B**

### **General Assurances and Certifications**

Any agency/firm/consultant awarded federal funds through the Workforce Innovation and Opportunity Act of 2014 (WIOA) must be in compliance with numerous laws and regulations. Most these will be addressed in a contract. The bidder hereby assures and certifies compliance with each of the requirements where applicable.

I recognize that I must give assurance for each item below. If I cannot, this proposal will be automatically rejected. The assurances are:

1. The bidder is authorized by its Board of Directors, Trustees, and other legally qualified officer or as the owner of this agency or business to submit this proposal.
2. The bidder organization is not currently on any federal, Commonwealth of Kentucky, or local Debarment List.
3. The bidder organization will provide records to show that it is fiscally solvent and will provide any other information and/or accept an appointment for interview, if needed.
4. The bidder has, or will have, all of the fiscal control and accounting procedures needed to ensure that WIOA funds will be used as required by law and contract.
5. The bidder will abide by all fiscal and program requirement as provided in the WIOA and federal regulations.
6. The bidder will abide by record retention requirements contained in 29 CFR 95.53 or 29 CFR 97.42 and any applicable state retention schedules.
7. The bidder will abide by the policy on debarment and suspension regulations as established in accordance with 29 CFR Part 98.
8. The bidder will abide by Equal Employment Opportunity – All Contractors shall contain a provision requiring compliance with E.O. 11246, "Equal Employment Opportunity," as amended by E.O. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity" and E.O. 13672, as supplemented by regulations at 41 CFR Part 60, "Office of Federal Agreement Compliance Programs, and Equal Employment Opportunity Department of Labor."
9. The bidder will abide by The Copeland "Anti-Kickback" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each Contractor or subcontractor shall be prohibited from inducing, by any means, any person employed in the construction,

completion, or repair of public work, to give up any part of the compensation to which one is otherwise entitled. The recipient shall report all suspected or reported violations to the federal awarding agency.

10. The bidder will abide by The Davis-Bacon Act as supplemented by US Department of Labor regulations (29 CFR Part 5, "Labor Standards Provision Applicable to Contracts Governing Federally Financed and Assisted Construction"). Under this Act, Contractors shall be required to pay wages to laborers and mechanics at a rate not less than the minimum wages specified in a wage determination made by the Secretary of Labor. In addition, Contractors shall be required to pay wages not less than once a week. The recipient shall place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation and the award of an Agreement shall be conditioned upon the acceptance of the wage determination. The recipient shall report all suspected or reported violations to the federal awarding agency.
11. Proprietary Information. During both the Agreement timeframe and after its completion, the Contractor agrees to keep and hold all Proprietary Information disclosed by the LEO Governing Board, LWDB, partnering entities, affiliates, customers, or vendors of the local workforce development area in strict confidence and trust. Proprietary Information being that information of a confidential or secret nature, which includes, but is not limited to, marketing plans, product plans, business strategies, financial information, forecasts, personnel information, and customer lists.

**The bidder will meet all applicable federal, state, and local compliance requirements. These include, but are not limited to:**

- Maintaining records that accurately reflect fiscal accounts;
- Maintaining record confidentiality, as required;
- Reporting financial data, as required;
- Permitting and cooperating with federal investigations undertaken in accordance with the WIOA;
- Complying with federal and state non-discrimination provisions;
- Meeting requirements of Section 504 of the Rehabilitation Act of 1973;
- Meeting all applicable labor laws, including Child Labor Law standards; and
- Accepting funding for and working within the guidelines of other funding opportunities provided the LWDB.

**The bidder will not:**

- Use WIOA funds to assist, promote, or deter union organizing;

- Use WIOA funds to employ or train persons in sectarian activities; or
- Use WIOA funds for lobbying.

The undersigned hereby assures and certifies that if selected the bidder's organization is in compliance with all of the Assurances and Certifications where applicable.

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Name and Title of Authorized Representative

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Signature Date

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Name of Applicant Organization



**Exhibit C**

**Debarment Certification**

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

**Primary Covered Transactions**

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**Applicant Organization**

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**Applicant Organization Address**

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 primary participant (i.e. Local grant subrecipient) certifies to the best of its knowledge and belief, that it and its principles:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by a federal department or agency;
  - b. Have not within a three-year period preceding this renewal 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 also statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state or local) with commission of the offenses enumerated in paragraph (1)(b) of this certification; and

- d. Have not within three-year period preceding this application/renewal had one or public transactions (federal, state or local) terminated for cause or default.
2. Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application/renewal package.

---

Name and Title of Authorized Representative

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Signature

Date

**Exhibit D**

**Non-Collusion Affidavit**

Commonwealth of Kentucky

County of \_\_\_\_\_

The respondent is hereby giving oath that it has not, in any way, directly or indirectly, entered into any arrangement or agreement with any other respondent or with any officer of the Lincoln Trail Workforce Development Board whereby it has paid or will pay to such other respondent or officer or employee any sum of money or anything of real value whatever; and has not, directly or indirectly, entered into any arrangement or agreement with any other respondent or respondents which tends to or does lessen or destroy free competition in the letting of the agreement sought for by the attached response; that no inducement of any form or character other than that which appears on the face of the response will be suggested, offered, paid, or delivered to any person whomsoever to influence the acceptance of the said response or awarding of the agreement, nor has this respondent any agreement or understanding of any kind whatsoever, with any person whomsoever, to pay, deliver to, or share with any other person in any way or manner any of the proceeds of the agreement sought by this response.

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

\_\_\_\_\_  
Print or Type Name

Subscribed and sworn to me this \_\_\_\_\_ day of \_\_\_\_\_

Notary Public

County of

Commission Expiration Date

## **Exhibit E**

### **Grievance Procedures**

#### **LINCOLN TRAIL WORKFORCE DEVELOPMENT AREA GRIEVANCE PROCEDURE FOR WIOA CUSTOMER/PARTICIPANT/INTERESTED PARTIES**

The Lincoln Trail Workforce Development Area (LTWDA) Grievance Procedures shall apply to alleged violations of the requirements of title I of the Workforce Innovation and Opportunity Act (WIOA). Except for complaints alleging discrimination brought under WIOA section 188 and/or 29 CFR part 37, which should be filed within one hundred eighty (180) days, you shall have within one year of the alleged occurrence(s) of the incident to file a grievance.

#### **GRIEVANCE PROCEDURE:**

The LTWDA grievance procedure for a WIOA customer/participant begins with the service provider/contractor providing the service(s) that resulted in the grievance/complaint. The customer/participant must follow the grievance procedure outlined by the provider's /contractor's policies and procedures and request any decision/resolution in writing. If no resolution is reached within the timeframe specified by the provider's/contractor's policies and procedures the customer/participant should contact the Employment/Training staff of the Lincoln Trail Workforce Development Board (LTWDB) at the Lincoln Trail Area Development District, P. O. Box 604, Elizabethtown, KY 42702-0604.

**This must be done in writing and summarize the alleged grievance/complaint. You must also include a copy of the written decision reached through the provider/contractor's grievance procedures.** An informal decision must be reached or a hearing completed by the LTWDB staff within sixty (60) days of the filing of the grievance/complaint with the LTWDB. (An individual alleging a labor standards violation is allowed to submit the grievance/complaint to a binding arbitration procedure if a collective bargaining agreement covering the parties to the grievance so provides.)

If no decision is reached within sixty (60) days or either party is dissatisfied with the local hearing decision, either may appeal to the Kentucky Education and Workforce Development Cabinet - Department for Workforce Investment - Office of Employment and Training, 275 E. Main Street, 2<sup>nd</sup> Floor, Frankfort, KY 40621. Policies required and/or issued by the Office of Employment and Training will govern this process.

LTWDA  
Grievance Procedure  
Page 2

The local grievance/complaint procedure for service providers or other interested parties affected by the Lincoln Trail Workforce Development System begins by notifying the staff of the LTWDB of the grievance/complaint **in writing** at the Lincoln Trail Area Development District, P.O. Box 604, Elizabethtown, KY 42702-0604. The service provider or other interested parties shall include in the written complaint, a summary of the grievance/complaint and any informal steps taken to achieve satisfactory resolution. The staff of the LTWDB will respond in writing to the filing of the grievance/complaint within sixty (60) days with an informal resolution or conduct a hearing that results in a decision.

If no decision is reached within sixty (60) days or either party is dissatisfied with the local hearing decision, either may appeal to the Kentucky Education and Workforce Development Cabinet – Department for Workforce Investment- Office of Employment and Training, 275 E. Main Street, 2<sup>nd</sup> Floor, Frankfort, KY 40621. Policies required and/or issued by the Office of Employment and Training will govern this process.

Failure to follow these steps and timeframes may result in your complaint being dismissed.

I have been instructed as to my rights and responsibilities under the WIOA program and do hereby acknowledge my understanding of the same.

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Customer/Participant/Interested Party Signature

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Date

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Signature of Lincoln Trail WDB Staff

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Title

---

Date

**Exhibit F**

**Financial Certification**

**FINANCIAL CAPABILITY CERTIFICATION**

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(Please Print Organization Name)

- 1. Does the organization have a financial management system capable of tracking and accounting for funds received and disbursed?**

\_\_\_\_\_ Yes      \_\_\_\_\_ No

If no, explain: \_\_\_\_\_  
\_\_\_\_\_

- 2. Does the organization have the fiscal capability of providing services pending payment or reimbursement by the Agency?**

\_\_\_\_\_ Yes      \_\_\_\_\_ No

If no, explain: \_\_\_\_\_  
\_\_\_\_\_

- 3. Has the organization had findings with disallowed costs from prior monitoring or audit reviews?**

\_\_\_\_\_ Yes      \_\_\_\_\_ No

If no, explain: \_\_\_\_\_  
\_\_\_\_\_

- 4. Has the organization resolved all findings from all prior audits?**

\_\_\_\_\_ Yes      \_\_\_\_\_ No      \_\_\_\_\_ N/A

Explain the resolution: \_\_\_\_\_  
\_\_\_\_\_

I certify that the above answers are true and represent an accurate picture of this organization's financial capability.

Name and Title of Certifying Official	Signature	Date
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**Exhibit G**

**Legal Certification**

**LEGAL CERTIFICATION**

The Lincoln Trail Workforce Development Board has a strong interest in the bidder’s continued ability to deliver/services that meet the most stringent standards of program performance and integrity. The LTWDB required that bidders list and summarize all pending or threatened litigation, administrative or regulatory proceedings, investigations, and/or similar matters that could materially affect the bidder. Bidder must list any major lawsuits and litigations that result in fines or penalties in excess of \$100,000 USD as a result of awards or settlements with the U.S Department of Labor or any State Employment/Workforce Agencies.

As a part of this disclosure requirement, bidders must state whether they or any owners of at least five (5%) percent interest in the bidding company, officers, trustees, board members, subcontractors, agents, or partners have ever been convicted of a felony, or a misdemeanor or any civil or criminal offenses excluding driving offenses. Failure to disclose such matters may result in rejection of the proposal or in termination of an award or contract.

I certify that the above answers are true and represent an accurate picture of this organization’s financial capability.

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Name and Title of Certifying Official	Signature	Date
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SUMMARY: \_\_\_\_\_  
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ADD ADDITIONAL PAGES IF NECESSARY



## References

Workforce Innovation and Opportunity Act of 2014 (WIOA):  
<http://www.doleta.gov/WIOA/docs/BILLS-113hr803enr.pdf>

WIOA Final Rules: [https://doleta.gov/wioa/Final\\_Rules\\_Resources.cfm](https://doleta.gov/wioa/Final_Rules_Resources.cfm)

Training and Employment Guidance Letter (TEGL) WIOA No: 15-16 – Competitive Selection of One-Stop Operators, January 17, 2017:  
[https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8116](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8116)

Training and Employment Guidance Letter (TEGL) WIOA No: 10-16 – Operating Guidance for the Workforce Innovation and Opportunity Act (referred to as WIOA) – December 19, 2016: [https://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=8226](https://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=8226)

Kentucky Career Center (KCC) website: <http://kcc.ky.gov>

Kentucky Workforce Innovation Board website: <http://kwib.ky.gov>

Kentucky Workforce Investment Board – WORKSmart Kentucky Strategic Plan (updated 2013): <http://kwib.ky.gov/documents/WORKSmart2013.pdf>

KCC Certification Information:  
<http://www.kwib.ky.gov/careercentercertification.htm>

KCC – Lincoln Trail and Lincoln Trail Workforce Development Board:  
[www.ltcareercenter.org](http://www.ltcareercenter.org)

KCC Partner for Success: <http://www.kwib.ky.gov/partnersuccess.htm>

Kentucky Skills Network – (Business Services):  
<http://www.thinkkentucky.com/workforce/>

Focus Career (web portal for the job seeker): <https://focuscareer.ky.gov/career/>

Focus Talent (web portal for the employer): <https://focustalent.ky.gov/talent/>

Kentucky WIOA State Plan (approved for the period July 1, 2016 through June 30, 2018): <https://www2.ed.gov/about/offices/list/osers/rsa/wioa/state-plans/ky.pdf>

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance) at 2 CFR part 200, including the U.S. Department of Labor specific requirement at 2 CFR part 2900:  
<http://www.edfr.gov/cgi-bin/ECFR?page=browse>

Office of Employment and Training (OET) Policies: 15-001 and 15-002 (as amended), 17-001 and 17-002.