



**REQUEST FOR
BID FOR
MONITORING
SERVICES ISSUED
FEBRUARY 3, 2023**

RFB Issued	02/03/2023
Proposals Due	03/31/2023
Anticipated Award Notification	05/01/2023
Contract Start	07/01/2023

**Bids must be received no later than
5:00 P.M. Pacific Daylight Time (PDT) on
March 31, 2023
*ABSOLUTELY NO EXCEPTIONS***

San Diego Workforce Partnership is an Equal Opportunity Employer/Program
Auxiliary Aids and Services are Available upon Request to Individuals with Disabilities

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I. Introduction

The San Diego Workforce Partnership, (Workforce Partnership) is issuing this Request for Bid to interested and qualified bidders to provide fiscal, and Nondiscrimination and Equal Opportunity (EO) monitoring services of Workforce Innovation and Opportunity Act (WIOA) programs and/or related Federal awards in accordance with Generally Accepted Government Accounting Standards (GAGAS). The Workforce Partnership also receives non-federal awards from various funding sources which will also be part of the scope of the audit. The bidder must be a licensed certified public accounting or a public accounting firm and meets the standards of the GAGAS for audit of governmental organization. The purpose of this request is to procure a qualified provider for one year with the option to extend the agreement for three (3) additional one-year periods based on need, performance, and funding availability. The period of performance for the agreement to be awarded begins July 1, 2023 and ends June 30, 2024. Bidders are invited to submit a proposal in accordance with the instructions indicated in this Request for Bid.

This Request for Bid (RFB) will provide potential bidders with background information and describes the desired services.

A. Solicitation

Subrecipients for the purpose of this bid, are public agencies, private nonprofit organizations, or private- for-profit entities that deliver educational, training, employment, supportive services and/or rapid response services to participants or in contracts for Adult or Youth Programs funded by Workforce Partnership.

Workforce Partnership is soliciting bids to select a bidder for the purposes of conducting monitoring reviews of Workforce Partnership funded Subrecipient fiscal systems and Nondiscrimination and Equal Opportunity (EO). Monitoring is required to ensure that each Subrecipient is in compliance with all applicable WIOA regulations and other federal, state, county or local requirements, to ensure that local areas are financially accountable for funds entrusted to them, and to foster continuous improvement. The requirements also include compliance with the policies and procedures included in the Subrecipient's contracts and Workforce Partnership's Operations Manual. In the monitoring of Subrecipients, and other applicable contracts, the bidder must follow the federal and state requirements. Federal Requirements are outlined in the Uniform Guidance and California State Employment Development Department (EDD) requirements outlined in EDD Workforce Investment Act Directive *WIAD00-7: Standards for Oversight and Instructions for Substate Monitoring* as well as Workforce Services Directive *WSD17-05: Oversight and Monitoring of Nondiscrimination and EO Procedures*.

A complete description of the monitoring system to be implemented through the agreement awarded through this Request for Bid is provided in the Workforce Partnership's [Operations Manual](#), **Chapter 8-Oversight and Monitoring**.

Workforce Partnership has two types of monitoring, each having a distinctive objective:

1. Compliance Monitoring is to ensure procurement and fiscal compliance with legislative mandates and contract terms and conditions that focus on financial systems, cost limitations, and expenditure rates.
2. Equal Opportunity (EO) Monitoring is to ensure that Subrecipients are complying with the legislative requirements of Section 188 of WIOA and 29 CFR Part 38.

B. Submittal of Bid

Workforce Partnership must receive the proposal(s) marked “(Name of Agency) Bid” no later than 5pm by Friday, March 31, 2023. Bids must be submitted via email to compliance@workforce.org.

C. Selection of Vendor

Workforce Partnership will select and notify the winning and losing vendors no later than Monday, May 1, 2023.

II. Background Information

A. Organizational Overview and Governance

Workforce Partnership is a 501(c)(3) tax-exempt organization chartered by the County and the City of San Diego to fund job training programs in the San Diego region. The organization’s primary funding is allocated by the U.S. Department of Labor (DOL) under the provisions of WIOA and distributed under the leadership of the Workforce Development Board (WDB) and the Policy Board. For additional information on Workforce Partnership, visit workforce.org.

B. Workforce Innovation and Opportunity Act (WIOA)

WIOA was signed into law by President Barack Obama on July 22, 2014, and took effect on July 1, 2015. WIOA supersedes the Workforce Investment Act of 1998 (WIA) and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973. WIOA is the legislation that provides funding, guidance and alignment of public workforce development systems across the United States. The intent of WIOA is to equip workers with the skills necessary to meet business needs and to provide businesses with access to the talent pool needed to compete in their local, regional and global economies.

The purpose of WIOA law and funds provided is for the delivery of workforce development services to populations including Youth, Adults, and Dislocated Workers. Workforce Partnership provides guidance to subrecipients based on WIOA legislation, U.S. Department of Labor (DOL) regulations in the form of the WIOA Notice of Proposed Rulemaking (NPRMs), the WIOA Final Rules, Training and Employment Guidance Letters (TEGLs) and State of California Employment Development Department (EDD) Directives related to these programs.

C. Roles and Responsibilities of Workforce Partnership

Roles and responsibilities of Workforce Partnership include:

- Oversee and evaluate the management and operations of all programs funded by Workforce Partnership;
- Ensure compliance with all rules, regulations, and procedures issued by all funding sources;
- Prepare grant plans and/or modification as required for all funding sources;
- Develop and provide technical assistance to Vendor's staff;
- Inform Vendors of federal and state policies, procedures, and rules that may impact the operations of the program(s), and give assistance as needed to implement them accordingly;
- Maintain local data management system for use by Vendor, with linkage to the State of California's reporting system; and
- Monitor Vendor's performance, quality of service, cost effectiveness, and report on performance to the Boards;
- Determining the three (2) months that the vendor will test for procurement and fiscal for the subrecipients;
- Determine number of transactions that will be tested for each subrecipient funding stream for each month (range 10-20 transactions per month) based on Workforce Partnership's Risk Assessment Tool. This review will include non-personnel and personnel materiality of transactions will be considered as part of this testing; and
- Workforce Partnership will conduct quality control testing by reviewing the vendor's monitoring working papers at a minimum one (1) subrecipient monitoring once the final monitoring reports have been submitted to Workforce Partnership.

The roles and responsibilities may be refined and changed as:

- Federal and State law and requirements are enacted and implemented covering the workforce development system;
- Regulations and procedures are developed or changed by the U.S. Department of Labor; and
- Workforce Partnership's governing boards adopt local direction and procedures.

D. Roles and Responsibilities of Vendor

Roles and responsibilities of the vendor include the provision of all required monitoring services which include but are not limited to:

- Fiscal and procurement monitoring of Subrecipient;
- Nondiscrimination and Equal Opportunity (EO) monitoring of Subrecipient;
- Monitoring reports outlining findings, recommendations and corrective actions;
- Report and follow-up on Subrecipients' findings to ensure completion of corrective actions;
- Trend Analysis Report of Subrecipient findings;

- Review of Workforce Partnership’s operations manual to ensure that Subrecipients are following Workforce Partnership’s policies and procedures;
- Report and follow-up on Workforce Partnership’s findings to ensure completion of corrective actions;
- The vendor will provide Workforce Partnership all working papers and reports associated with the monitoring for all subrecipients; and
- Manage vendor’s fiscal responsibilities associated with operation and payment of the Service Agreement.

III. Scope of Work

A. Subrecipient Monitoring

The Workforce Partnership’s local policy, as indicated in the [Workforce Partnership’s Operations Manual, Chapter 8 - Oversight and Monitoring](#), is to conduct one (1) procurement and fiscal and one (1) EO monitoring reviews for each contract for each of the program years (PY) 2022-2023. There are exceptions for contracts that are less than a year.

Example of a time schedule for monitoring follows:

Workforce Partnership training of monitoring staff	January/February
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Monitoring staff activities

Develop Phase 1 monitoring materials & schedule	January/February
Conduct Phase 1 monitoring – Procurement & Fiscal and EO	February - May

The schedule for this project is based on contracts that begin on July 1, 2023. For contracts starting earlier or later in the year, the schedule will be adjusted accordingly.

B. Procurement and Fiscal Monitoring

The procurement and fiscal monitoring review shall include, but not be limited to, assistance with sending and collecting the **Fiscal and Administrative Monitoring Checklist** (reference attachment in Workforce Partnership’s Operations Manual, Chapter 8) as well as the **Risk Assessment (see attachment)** tool. Workforce Partnership will be responsible for scoring the subrecipient’s risk assessment tool.

The procurement and fiscal monitoring review shall include, but not be limited to, a review of the following activities:

- Risk Assessment: the number of transactions the vendor will test is based on Workforce Partnership’s internal control risk assessment tool.
- Compliance with all applicable WIOA regulations, and other Federal, State, County or local requirements, including the policies and procedures in the [Workforce Partnership’s Operations Manual, Chapter 6 - Financial Management](#), as they relate to the proper maintenance of financial accounting records for all WIOA and other workforce development funds;
- Review subrecipient policies and procedures to ensure they have the appropriate procurement and fiscal policies are in place and are following them in accordance with the Federal Uniform Guidance and applicable 2 CFR sections as well as the EDD directives.

- Ensuring that amounts reported are accurate, allowable, supported by source documentation and properly allocated;
- Compliance with Generally Accepted Accounting Principles (GAAP) and the Single Audit Act;
- Ensuring there is a system of internal control, which shall adequately safeguard program funds; Ensuring there is a valid cost allocation plan;
- Review of in-kind supporting documentation;
- Review cost sharing agreements/MOU's for subrecipients;
- Development of a system for compiling and storing working papers that provide specific evidence of procurement and fiscal findings that support the monitoring report; and
- A review of monitoring report findings to provide a comparison to assist Workforce Partnership with Subrecipient Trend Analysis.

During the fiscal monitoring review, the vendor shall interview the appropriate Subrecipient personnel while testing transactions, reviewing source documents, and documenting the tests and their results in the areas provided on the ***Fiscal and Administrative Monitoring Checklist Assessment (see attachment)*** tool. The vendor shall review and update the ***Fiscal and Administrative Monitoring Checklist*** provided in [Workforce Partnership Operations Manual Chapter 8- Oversight and Monitoring](#), as needed.

C. [Nondiscrimination and Equal Opportunity \(EO\) Monitoring](#)

The nondiscrimination and EO monitoring review shall include, but not be limited to, a review of the following activities:

- Compliance with all applicable WIOA regulations, and other Federal, State, County or local requirements, including the policies and procedures in the Workforce Partnership [Operations Manual](#), ***Chapter 9 - Nondiscrimination and Equal Opportunity Policy and Complaint Procedures***;
- Conducting on-site visits to Subrecipients, Eligible Training Providers, and OJT Providers. These include reviews of nondiscrimination and equal opportunity policies and procedures;
- Review of compliance with required WIOA Section 188 – Nondiscrimination and equal Opportunity requirements;
- Review of Subrecipient facilities for compliance with the Americans with Disabilities Act and Equal Employment Opportunity accessibility requirements;
- The vendor shall review and update the ***Equal Opportunity WIOA Section 188 Monitoring Checklist*** provided in [Workforce Partnership Operations Manual Chapter 8 - Oversight and Monitoring](#), as needed.

D. [Risk Assessment](#)

Risk Assessment According Uniform Guidance 2 CFR 200.331, Workforce Partnership must perform a ***Risk Assessment (see attachment)*** on each Subrecipient and use this assessment to determine the appropriate level of monitoring.

E. [Working Papers](#)

Monitoring Work Papers are the written record of activities that took place during the monitoring visit and form the basis of the monitoring report. Extensive notes are a

necessary part of the review process and serve to validate the information collection process. Monitoring Work Papers should:

- Document the weaknesses and deficiencies disclosed by the review;
- Detail the source information acquired and conclusions reached;
- Fully document the findings, including specific evidence compiled;
- Note what corrective action needs to be taken by the service provider, along with the timetable for the corrective action to be developed and implemented, where appropriate;
- Be complete, timely and fully reflect the review; and
- Be maintained and made available for future local, state and/or federal, or other funding source reviews.

IV. On-Site Monitoring Reports

A. Subrecipient Monitoring Reports

The successful bidder shall provide a compliance report to the Workforce Partnership regarding the review of each Subrecipient, which shall include the following:

- a. A draft monitoring report to be issued within ten (10) days of the review, unless the time is extended due to a written request to Workforce Partnership, including recommended corrective action(s) when applicable;
- b. A final monitoring report to be issued within thirty (30) days of the draft report, unless the time is extended due to a written request to Workforce Partnership, including recommended corrective action(s) when applicable;
- c. An ongoing summary log of all findings; and
- d. A follow-up report on the implementation of the corrective action(s) to close findings identified during the review.

B. Trend Analysis Report

A Trend Analysis report of the findings is required at the end of the Subrecipient monitoring period to assist Workforce Partnership in identifying key factors that contribute to repeat findings and make recommendations to Workforce Partnership on practices Subrecipient can implement to improve systems and/or processes.

C. Technology System Requirements

Workforce Partnership has technology system requirements with which a contract must comply:

- Internet connectivity (high speed internet recommended)
- Individual email accounts for staff working on proposed project
- Current internet browser
- Any commercial (i.e., no free-ware) anti-virus client
- Microsoft Office
- Adobe Acrobat Reader

Provisions for the appropriate hardware and software should be included in the equipment budget for this Request for Bid.

V. Required Bid Content

A. Organization Qualifications

Bidders must provide evidence of the organization's ability to successfully perform the services described in this document, including descriptions of past projects completed with a similar scope of work. Bidder must describe the following:

- State whether the firm is local, regional, national, or international and whether it is licensed to do business in the State of California;
- Describe in detail the organization's knowledge, expertise, and experience working within the workforce development industry, and/or the non-profit sector;
- Describe the firm's local office's capability to audit computerized systems;
- Describe the firm's experience in the conduct of monitoring within the context of WIOA funding environment;
- Describe the firm's experience in auditing local governments;
- Describe the firm's experience in auditing non-profits;
- Describe the firm's experience in auditing Federal and State grants; and
- Provide at least two (2) references for past and/or existing clients with similar budget, number of grants and funding agencies and submit with quote.

B. Staff Qualifications

In order to enhance objectivity of staff conducting monitoring the successful bidder must be able to rotate staff conducting monitoring reviews of Subrecipients during each monitoring year. Therefore, the successful bidder is required to have a minimum of two (2) staff available to conduct monitoring reviews.

Bidders must provide a description of the qualifications of their staff, including the following:

- Identify supervisors and staff who will work on the Audit team, including staff from other than the local office;
- Describe the staffing plan for the project and clearly define the qualifications of the staff proposed to fill positions within the project, including resumes for all key positions; and
- State the names of the persons who will be authorized to make representations for your firm, their titles, addresses, telephone numbers, and email addresses.

Bidders must provide an organization chart of intended operations, including a staffing plan of those who will work on the monitoring and resumes for all key positions. Bidders must describe their staffing plan for the services and the organization's hiring policies, and clearly define the qualifications of the staff proposed to fill positions within the services needed.

C. Work Plan

The Work Plan must include a brief description of each service/activity that demonstrates the bidder understands the work to be done.

1. Procurement and Fiscal Management

- Describe the process for determining that Subrecipients activities, supporting expenditures and requests for reimbursement are allowable and appropriately documented. Identify staff position(s) assigned and time estimates for completion of these tasks.
- Describe the plan for monitoring fiscal records, supporting documentation, and internal controls of the service providers for compliance with Generally Accepted Accounting Principles (GAAP) and the Single Audit Act and WIOA and other funding sources fiscal requirements. Identify staff position(s) assigned and time estimates for completion of these tasks.
- Describe the process for reviewing the Subrecipient's cost allocation plan and ensuring it is implemented appropriately. Identify staff position(s) assigned and time estimates for completion of these tasks.
- Describe the process for compiling working papers that provide specific evidence of fiscal findings that support the monitoring report. Identify staff position(s) assigned and time estimates for completion of these tasks.
- Describe the method to be used to show the analysis of finding trends, risk analysis and recommendations for improvement of fiscal systems or processes.

2. Nondiscrimination and Equal Opportunity (EO) Monitoring

- Describe the process for reviewing the Subrecipient's for compliance with Nondiscrimination and Equal Opportunity Policy and Complaint Procedures.
- Explain how your organization will schedule and conduct on-site visits of Subrecipient's facilities for compliance with the American with Disabilities Act, Affirmative Action Plan, Grievance and Fraud Procedures and Child Labor laws. Include position(s) of staff involved.

D. Financial Requirements

The period of performance for the agreement to be awarded beginning July 1, 2023, and ending June 30, 2024 in the initial year of the Service Agreement.

1. Cost

Bidders must submit a Cost Schedule that covers the entire procurement period which includes the initial contract and three (3) additional one-year periods. The all-inclusive fee structure must include the estimated number of hours per task, salary per hour per job classification, fringe rate, and training costs, including out-of-county travel and in-county travel costs. All of the above may be included in a flat fee at the time of billing. **Sample Schedule of Costs (see attachment)** is provided for use as a model. Bidders may add rows or columns, as necessary and applicable to the proposed costs.

2. Monitoring Fee Schedule

Based on the **Monitoring Schedule (see attachment)** provided, your bid must include a Monitoring Fee Schedule, refer to **Monitoring Fee Schedule Example (see attachment)** for an example. The invoicing for the monitoring is based on monitoring report deliverables. The

bidder to this Request for Bid will propose what the charges will be, based on the factors listed above.

VI. Other

A. Service Agreement Template

By submitting a proposal, you are agreeing to the terms outlined in the **Service Agreement Template (attachment)**.

B. Conflict of Interest

Bidders are required to list any and all individuals who contributed to the preparation of the proposal in the **Conflict of Interest Disclosure Form (see attachment)**. Disclosure of any actual or potential conflicts of interest relative to this Request for Bid is required. All bidders must fill this out and submit if even if there are no actual or potential conflicts of interest.

VII. Attachments

Conflict of Interest Disclosure Form

Monitoring Fee Schedule Example

Monitoring Schedule

Risk Assessment

Sample of Schedule Costs

Service Agreement Template