



# **REQUEST FOR PROPOSAL**

## **WORKFORCE INNOVATION AND OPPORTUNITY ACT**

**Funding Period: July 1, 2019 - June 30, 2020**

### **NCWorks Career Center Operator and Adult/Dislocated Worker/Employer Services Provider**

Charlotte Works  
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### **Serving Mecklenburg County**

Charlotte Works is an Equal Opportunity Employer /Program.  
Auxiliary Aids and Services are available upon request for individuals with disabilities.

# Charlotte Works

## PY 2019 Request for Proposal (RFP) NCWorks Career Center Operator Adult/Dislocated Worker/Employer Services Provider Table of Contents

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**Funding:** Workforce Innovation and Opportunity Act (WIOA) 2014  
**Service Area:** Mecklenburg County

**Timeline:**

<b>RFP Release Date:</b>	<b>Wednesday, January 9, 2019</b>
<b>RFP Bidders’ Conference</b>	<b>Thursday, January 17, 2019 2pm</b>
	<b>Location: Packard Place</b>
	<b>222 S Church St.</b>
	<b>Charlotte, NC28202</b>
<b>Intent to Bid Form Due:</b>	<b>Wednesday, January 23, 2019</b>
<b>Questions Accepted Until:</b>	<b>January 30, 2019</b>
	<b><a href="mailto:2019rfp@charlotteworks.com">2019rfp@charlotteworks.com</a></b>
<b>RFP Submittal Date:</b>	<b>Friday, March 1, 2019 12pm</b>
<b>Charlotte Works WDB Approval:</b>	<b>April/May 2019</b>
<b>Award Notification Date:</b>	<b>April/May 2019</b>
<b>Anticipated Contract Start Date:</b>	<b>July 1, 2019</b>

## GENERAL INFORMATION

### Purpose

The purpose of this Request for Proposal (RFP) is to solicit competitive proposals for the delivery of Workforce Innovation and Opportunity Act (WIOA) services to adults, dislocated workers and employers. Services will be provided through the local NCWorks Career Centers in the county of Mecklenburg.

All WIOA-funded services must be delivered in accordance with WIOA rules and regulations, guidance from U.S. Department of Labor (USDOL), the state of North Carolina and policies set forth by Charlotte Works.

### Highlights of WIOA

WIOA, signed into law by President Barak Obama on July 22, 2014, was implemented on July 1, 2015. WIOA supersedes the Workforce Investment Act (WIA) of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act and the Rehabilitation Act of 1973.

WIOA helps job-seekers and workers access employment, education, training and support services to succeed in the labor market and matches employers with the skilled workers they need to compete in the global economy. In passing WIOA, the first legislative reform of the public workforce system in more than 15 years, Congress reaffirmed the role of the NCWorks Career Center system, the cornerstone of the public workforce investment system, and brought together and enhanced several key employment, education and training programs. Individuals in the Charlotte Mecklenburg Local Area turn to these programs to obtain good jobs. WIOA continues to advance services to job-seekers and employers.

***Aligns Federal Investments to Support Job-Seekers and Employers:*** At the state level, WIOA establishes a unified strategic planning across “core” programs including Wagner-Peyser Employment Service and Title I of the Rehabilitation Act.

***Strengthens the Governing Bodies that Establish State, Regional and Local Workforce Investment Priorities:*** WIOA streamlines membership of business-led, state and local workforce development boards. The Act emphasizes the role of boards in coordinating and aligning workforce programs and adds funds to develop strategies to meet worker and employer needs.

***Helps Employers Find Workers with the Necessary Skills:*** WIOA emphasizes engaging employers across the workforce system to align training with needed skills and match employers with qualified workers. The Act adds flexibility at the local level to provide incumbent-worker training and transitional jobs as allowable activities and promotes work-based training. The law also emphasizes training that leads to industry-recognized, post-secondary credentials.

***Aligns Goals and Increases Accountability and Information for Job-Seekers and the Public:*** WIOA aligns the performance indicators for core programs and adds new ones related to services to employers and post-secondary credential attainment. Performance goals must reflect economic

conditions and clients characteristics. It makes available data on training operators' performance outcomes and requires third-party evaluations of programs.

Proposers are strongly encouraged to follow the USDOL's WIOA resource page for WIOA information and the latest updates: [www.doleta.gov/wioa](http://www.doleta.gov/wioa).

### **Eligible NCWorks Career Center Operator and Adult/Dislocated Worker/Employer**

Any governmental, education, community-based organization, nonprofit, private for-profit entity engaged in employment, training, educational opportunities and public service is eligible to submit a proposal to be the NCWorks Career Center Operator and Adult/Dislocated Worker and Employer Services provider.

Workforce development-focused organizations with or without previous experience in career development and employment services are encouraged to submit proposals; however, only proposals from organizations that can thoroughly demonstrate that they have the ability to provide workforce development services within the Charlotte Mecklenburg Local Area will be considered. Services offered will be delivered through the established and designated one-stop delivery system known as NCWorks Career Centers and made available through the two NCWorks Centers in Mecklenburg County.

An organization may not compete for funds if: (1) the organization has been debarred or suspended or otherwise determined to be ineligible to receive federal funds by an action of any governmental agency; (2) the organization's previous contract with Charlotte Works was terminated for cause; (3) the organization has not complied with an official order to repay disallowed costs incurred during its conduct of programs or services; or (4) the organization's name appears on the convicted vendors list.

**Outstanding Monitoring, Audit or Legal Concerns** – Proposers must disclose and rectify any and all outstanding monitoring and/or audit concerns from any of the proposer's other contracts prior to receiving a contract resulting from this RFP. Additionally, proposers must disclose any legal judgments, claims, arbitration proceedings, lawsuits or other legal proceedings pending or outstanding (unresolved) against the organization, its owners, officers or principals.

**Competency** – Proposers are expected to have the technical competence, knowledge and expertise in management and administration, the professional staff, and the administrative and fiscal management systems to accomplish the scope of work and the goals and objectives stated in this RFP. They must meet high standards of public service and fiduciary responsibility. Proposers are responsible for being knowledgeable of all laws, regulations, rules, and policies of the specific funding sources involved and applying them in developing the RFP response.

## Type of Contract

Proposers must propose a cost-reimbursement contract that establishes an estimate of total costs for the purpose of obligating funds and a ceiling that the Career Center operator/service provider may not exceed (except at Career Center operator/service provider's risk) unless the awarding party agrees to amend the contract to provide additional funds). A line-item budget shall be based on all legitimate costs to be incurred by the Career Center operator/service provider in carrying out the training activity. The Career Center operator/service provider is reimbursed for actual expenses according to the approved line-item budget.

Charlotte Works is responsible for ensuring that contracted costs are both necessary and reasonable. The Career Center operator/service provider is required to maintain records sufficient to account for all expenditures, including cost categorization. The Career Center operator/service provider is required to submit reimbursement vouchers monthly.

If any part of the work covered by this request is to be sub-contracted, the grantee shall identify the sub-contracting organization and a sub-contract agreement must be entered into between the two parties. Written approval from Charlotte Works prior to initiating any sub-contract agreements with the exception of On-The-Job Training (OJT) sub-contracts is required. Copies of sub-contract agreements must be submitted to Charlotte Works.

## Funding/Program Period

The initial funding period is from July 1, 2019, through June 30, 2020. Continuation beyond June 30, 2020, is subject to future funding and legislative authority. The contract may be extended twice for a total of three program years depending on funding availability and Career Center operator/service provider performance. However, Charlotte Works is not bound to exercise a second or third year contract based solely on the Career Center operator/service provider meeting stated performance criteria.

All funding is contingent on the availability of federal funds and continued federal authorization for program activities. Any contract awarded hereto is subject to amendment or termination due to lack of funds or authorization or due to statutory or regulatory changes.

## Estimated WIOA Funds Available for Contracts

All amounts are estimates for planning purposes and are subject to change.

<b>Mecklenburg County</b>	<b>Adult</b>
Adult	\$2,463,568
Dislocated Worker	\$1,055,815
Total Amounts	\$3,519,383

## **SUBMISSION REQUIREMENTS**

RFPs must be sealed and addressed as directed in the instructions. Failure to do so may result in a premature opening of, or a failure to open, such a proposal. Sealed modifications of proposals already submitted will be considered if received at the office by the time required by the RFP.

Please submit one original (clearly marked) and six (6) copies of the proposal and attachments in three-ring binders to:

### **Charlotte Works**

**Attention: Danielle Frazier, President & CEO**

**11301 Carmel Commons Blvd., Suite 301**

**Charlotte, NC 28226**

**All proposals are due by 12 p.m. on Friday, March 1, 2019.**

Project Budgets must be submitted as an Attachment to the RFP and clearly labeled.

This RFP does not commit Charlotte Works to award a contract, to pay any costs incurred in the preparation of a proposal, or to procure or contract for services or supplies under WIOA.

Charlotte Works reserves the right to accept or reject any or all proposals received as a result of the request to negotiate with all qualified sources or to cancel, in part or in its entirety, the RFP if it is in the best interest of Charlotte Works to do so.

Charlotte Works' obligation to a Career Center operator/service provider is contingent upon the availability of grant funds from the state of North Carolina from which payment for contract purposes can be made. No legal liability on the part of Charlotte Works or the state of North Carolina for payment of any money shall arise unless and until funds are made available to Charlotte Works and notice of fund availability is confirmed in writing by the N.C. Department of Commerce/Division of Workforce Solutions (DWS).

Charlotte Works requires a letter of intent to bid on WIOA services to be mailed to Charlotte Works, 11301 Carmel Commons Blvd, Suite 301, Charlotte, NC 28226 ATTENTION: Danielle Frazier by Wednesday, January 23, 2019. If no letter of intent is received before a proposal is submitted, that proposal will not be eligible for review.

Charlotte Works strongly encourages all interested bidders to attend the Bidders' Conference. While every effort has been made to include all necessary information, specifications and examples, the need for clarification or interpretation is recognized as a possibility. This is the forum Charlotte Works has selected to answer questions so that all interested parties will have the benefit of the same answer.

Questions regarding the contents of the RFP that are asked during the bidder's conference will be posted online at [www.charlotteworks.com](http://www.charlotteworks.com). Organizations that provide a letter of intent by Wednesday,

January 23, 2019 can submit questions to [2019rfp@charlotteworks.com](mailto:2019rfp@charlotteworks.com) until Wednesday, January 30, 2019.

As Charlotte Works continues to develop and refine its NCWorks system, policies and procedures or regulatory changes occur from time to time. As a result, Career Center operator/service provider may be requested to modify program design or service delivery. Should a request for a change in program design or service occur, Charlotte Works' staff will assist Career Center operator/service provider in the redesign to ensure consistency with board policies and regulatory requirements.

**Any significant changes made to this RFP will be posted on Charlotte Works website: [www.charlotteworks.com](http://www.charlotteworks.com).**

## **Career Center Operator/Service Provider**

### **RESPONSIBILITIES AND RESTRICTIONS**

Each proposer is advised that Charlotte Works holds its Career Center operator/service provider fully accountable for the effective and efficient delivery of the services and activities and operation of the Career Centers as described in this RFP.

The successful proposer will have the existing expertise, capability and capacity to:

- deliver WIOA services to the local area's job-seekers and employer clients as described in this RFP.
- manage and provide services as described in this RFP.
- quickly adapt and conform to changes in policies, priorities, service-delivery design and client needs as necessary.
- establish and maintain a continuous improvement process including data collection, reporting, data analysis and corrective action mechanisms to ensure achievement of performance goals.
- deliver services to individuals with limited English language skills, disabilities or other significant barriers.
- work cooperatively with and refer as appropriate to other Charlotte Works Career Center operator/service provider and/or partners.
- deliver services to individuals who qualify for priority of service as mandated by federal, state and Charlotte Works policy to include veterans and eligible spouses.

## Background

### Overview of Charlotte Works

Charlotte Works, the workforce development board, is appointed by the Charlotte Regional Workforce Consortium to provide policy guidance and program oversight for workforce development programs in Mecklenburg County. The Charlotte Works Board is a group of volunteers representing local business and industry, educational agencies, community-based organizations, organized labor, rehabilitation agencies and economic development entities.

Charlotte Works is the administrative entity and grant recipient of WIOA funds.

**Strategic Planning:** Charlotte Works focuses on being a data- and demand-driven board to help prepare the workforce for growing careers in the region. The plan also focuses on creating an integrated, seamless workforce system to help job-seekers succeed in the North Carolina economy and continuously improve their skills. Charlotte Works is currently working on a new strategic plan to be implemented in PY2019.

Charlotte Works strategic plan spotlights three areas: workforce mobility, system capacity-building and labor market intelligence. Each area focuses on being employer- and data-driven to advance an integrated, market-driven workforce and economic development system. The strategic plan is attached as Appendix XI.

### Charlotte Works' Roles and Responsibilities

Charlotte Works is responsible for the workforce development system throughout the Charlotte Works Local Area. This system must serve the needs of employers, underemployed and unemployed job-seekers transitioning to employment. It must provide reliable and valid information so clients can make informed decisions about training and employment, connect clients to other service providers in the system and the community, help clients access diverse funding sources for training and provide quality job-matching services for employers and job-seekers.

Charlotte Works oversees and evaluates the NCWorks Career Center services throughout the local workforce development area. In doing so, the board is committed to the highest quality services and achievement of performance standards. Charlotte Works' staff will be available to provide the successful proposer with the technical assistance and capacity building needed to achieve the highest level of performance combined with outstanding client satisfaction.

Charlotte Works' responsibilities include:

**Federal Connection:** Ensure that federal policies, procedures and guidelines are correctly implemented; allocate federal workforce development funds; provide data and reports as needed to satisfy federal systems; and participate in federal funding opportunities that further the board's vision for the NCWorks system.

**State Connection:** Ensure that state procedures and guidelines are correctly implemented; allocate state workforce development funds; provide data and reports as needed to satisfy state systems; and participate in state funding opportunities that further the board’s vision for the NCWorks system.

**Local Connection:** Comply with local government (the WDB’s fiscal agent) policies and regulations, serve as the convener for workforce development in the Local Area and partner with local organizations to meet community needs.

**Technological Connection:** Ensure NCWorks Career Centers are equipped with current technology to better serve and assist all clients and manage the local information system for WIOA programs and activities.

**Evaluation and Measurement Metrics:** Approve client satisfaction survey and other evaluation tools throughout the system; measure metrics set for NCWorks Career Centers to ensure quality services and continuous improvement; designate the successful Career Center operator/service provider of the NCWorks Career Centers; maintain a grievance procedure for clients to access if the Career Center operator/service provider’s grievance procedures do not produce a resolution; meet with the Career Center operator/service provider regularly to listen to suggestions, discuss issues and resolve concerns; and monitor and report on quality, performance and cost-effectiveness through onsite visits, records review, evaluations, expenditure review and other methods as needed.

**Communications/Outreach:** Approve site location, facilities and equipment that contribute to centers of excellence and client satisfaction; approve outreach materials funded by the board or containing information about the board’s programs; provide NCWorks Career Centers with a common name, logo and signage to promote the identity of NCWorks and ensure connectivity among the NCWorks Career Center operator/service provider and local and regional entities including chambers of commerce, public education institutions, economic development entities, etc.

All communications and outreach efforts, products and initiatives that will impact NCWorks and its Career Centers in Charlotte are managed entirely by the communications department of Charlotte Works. Any and all communications and outreach products and initiatives are subject to Charlotte Works’s Marketing, Communications and Outreach Policy (provided upon contract award) and to review by members of the board’s communications department.

All NCWorks and NCWorks Career Center communications and outreach efforts, products and initiatives are *centralized* under Charlotte Works. These items should only be produced under the direction of the communications department of Charlotte Works. Centralization

- maintains the consistency, quality and look of NCWorks materials;
- allows for communications services and materials to be produced and distributed to the operator in a timely manner;
- eliminates differences in the products produced by the Career Center operator/service provider and the board;
- and allows all design and printing services, and other outreach products and services, to be bid on an “economies of scale” basis.

Charlotte Works’ communications team develops, manages and leads all internal and external communications efforts. It creates the overall communication strategy, including a comprehensive, multi-channel, high-quality plan; and directly manages communications activities that promote, enhance and protect the NCWorks brand in Mecklenburg County.

**Performance and Compliance:** Provide technical assistance on all policies, procedures and rules that impact the operation of centers and provide assistance as needed for compliance; develop and provide technical assistance to build capacity to help the Career Center operator/service provider meet quality and consistency standards and meet or exceed performance goals within the NCWorks system; ensure compliance with all rules, regulations and procedures issued by all funding sources.

Perform fiscal and programmatic monitoring for compliance in accordance with federal, state and local standards; track and maintain documentation of each performance measure; and approve regional education/training operators for inclusion on the State Training Operator List.

**Fiscal:** Ensure that administrative and programmatic cost categories are properly implemented; confirm that costs are correctly allocated to the associated funding stream; verify that NCWorks system costs are allocated according to the MOUs and provide technical assistance to the fiscal staff of the NCWorks Career Center operator/service provider.

These roles and responsibilities may be refined and changed as the WIOA regulations and procedures are changed by the USDOL, state policy and requirements are created and implemented throughout the state's workforce development system and local direction and procedures are adopted or revised by the board.

A contract entered into with a successful proposer will be a contract with Charlotte Works. **The contract resulting from this RFP is contingent upon the availability of funds and is subject to amendment or termination due to the lack of or reduced funding.** All organizations contracting with Charlotte Works must comply with the USDOL regulations and any other interpretations published by the USDOL. Administration and operation of this program is subject to compliance with WIOA, state policies and procedures as issued from DWS and local policies and procedures as issued by Charlotte Works.

Charlotte Works is the Charlotte Works workforce development board's administrative entity and the City of Charlotte is the fiscal agent. If any changes occur with the board, a new contract will be executed with the Career Center operator/service provider for the remaining timeframe outlined in this RFP.

### **Career Center Operator/Service Provider**

Charlotte Works will designate the Career Center operator/service provider. Designation will help to ensure a consistent level of quality in the services provided in Charlotte Works' Local Area. The board will use criteria and quality standards for the purpose of holding the Career Center operator/service provider accountable for the Career Center operations they oversee.

The Career Center operator/service provider will be required to do the following:

- Operate within the set budget parameters of this RFP;
- Operate all career centers, identified by Charlotte Works, and provide WIOA Adult, Dislocated Worker and Employer services outlined in this RFP;
- Hire all grantor staff who are dislocated as a result of this procurement process for a minimum of 90 days at their current rate of pay, and transition to permanent status those who meet the requirements expected of new hires (narrative should address process for reviewing current

staff and criteria for hiring new staff). The current grantor staff are located across all area NCWorks Career Centers and at partner locations.

Charlotte Works strives to establish a quality-driven, comprehensive system of workforce development services that benefits all individuals in the Local Area who wish to take advantage of them. This is accomplished through a systemic approach in the development of Career Center operator/service provider quality standards and measures of excellence that can be flexibly applied.

Charlotte Works will execute a written agreement with the Career Center operator/service provider that provides a basis for accountability, clarity of roles and responsibilities and promotes inclusion of partners and integration of services. Consistent with the principles of universal access, client choice, increased accountability and strong private-sector involvement, the designation process will also advance quality-improvement methods, client-satisfaction measures and staff development.

Career Center operator/service provider quality standards shall include, but are not limited to:

- **Leadership:** examines how the organization's senior leaders address values, performance expectations, a focus on clients and other stakeholders, empowerment, innovation, learning and organizational directions.
- **Strategic Planning:** examines the organization's processes of developing strategic objectives and creating action plans and related human resource plans to support organizational direction.
- **Client and Market Focus:** examines how the organization determines client/market requirements, expectations and preferences. Also examines how the organization builds relationships with clients and determines their satisfaction.
- **Information and Analysis:** examines the performance management system and how the organization executes strategies based on performance-data information.
- **Human Resource Focus:** examines how the organization enables employees to develop and use their full potentials in alignment with the organization's objectives. Also examines efforts to build and maintain work environment and employee support climate conducive to performance excellence, full participation and personal and organizational growth.
- **Process Management:** examines key aspects of process management including client-focused product design and service delivery; and support, supplier and partnering processes involving all work units. Also includes how key processes are designed, managed and improved to achieve better performance. The operator must adopt and use the customer-focused process design established by Charlotte Works (see Appendix XII).
- **Business Results:** examines the organization's performance and improvement in key business areas: client satisfaction, financial and marketplace performance, product and service performance, human resources results, supplier and partner results and operational performance. Also examines performance levels relative to other organizations within the system providing similar services.

## Charlotte Works Labor Market Information

Labor market information for Charlotte Works can be found at [www.charlotteworks.com](http://www.charlotteworks.com), [www.ncworks.gov](http://www.ncworks.gov), or [www.nccommerce.com](http://www.nccommerce.com) (Labor and Economic Analysis tab).

## NCWorks Career Centers

The NCWorks Career Centers (one-stop) system brings together a wide variety of federal, state and local program partners, integrates the provision of their services and provides a full-range of assistance to job-seekers and employers all under one roof.

Services are driven by business and focused on client choice. Charlotte Works has two certified NCWorks Career Centers. NCWorks Career Center locations are in Appendix X.

Other locations and/or relocation of current NCWorks Career Center(s) will be determined and/or approved by the board. The successful proposer will be notified of any changes. The successful proposer may assist the board in designating re-locations.

## Mandated Partners

Under WIOA (Section 121 (b)(1)), required NCWorks delivery system partners include:

- WIOA Title I programs (Core partner),
- Wagner-Peyser programs (Core partner),
- Adult education and literacy programs (Core partner),
- Rehabilitation Act programs (Core partner),
- Older Americans Act programs,
- Perkins post-secondary vocational education activities,
- TAA and NAFTA-TAA programs,
- Veterans employment and training programs,
- Community Service Block Grant employment and training activities,
- HUD employment and training activities,
- Unemployment compensation programs,
- Second Chance Act programs and
- Temporary Assistance for Needy Families (TANF) (unless opted out by the governor).

## Additional Partners and Programs – with approval of local area:

- employment and training programs administered by the Social Security Administration;
- employment and training programs administered by the Small Business Administration;
- client-assistance programs, such as, but not limited to: Supplemental Nutrition Assistance Program (SNAP);
- national and community service state grants; and
- other appropriate federal, state or local employment, education and training programs.

The successful proposer will coordinate with WIOA's mandatory partners on the outreach and recruitment functions of all proposed activities.

## **PART I: Scope of Work**

Charlotte Works seeks a Career Center operator/service provider that employs vision, innovation, accountability and the efficient and effective use of resources in workforce development programming. In the interest of establishing seamless service delivery for all prospective clients, and in keeping with the spirit of WIOA as it pertains to the participation of all mandatory partner agencies and programs, these partners and the Career Center operator/service provider will operate in the most effective and integrated manner possible. However, it is not necessary that all partner services be located at all NCWorks Career Centers.

Under WIOA, the Adult and Dislocated Worker programs are designed to provide quality employment and training services to assist eligible individuals in finding and qualifying for meaningful employment and to help employers find the skilled workers they need to compete and succeed in business.

The Career Center operator/service provider will deliver WIOA services within the context of the NCWorks system and specifically in the local NCWorks Career Centers including consistent use of the NCWorks name, logo, marketing materials, etc. Career Centers serve as hubs for workforce efforts within their communities, offering services to both job-seekers and employers within the NCWorks integrated services delivery framework. Each individual Career Center operates with a unique set of partner-agency staffing, lease and utility arrangements and ongoing improvement activities. The same quality services are provided in all Career Centers.

WIOA-funded staff will work within an integrated NCWorks team to coordinate and deliver all aspects of career services including greeting clients, individualized career advising, scholarships for training, workshop organization, hiring events and WIOA-funded business services. All staff should be fully cross-trained to fulfill any “career services” role within a Center, dependent on need and traffic flow. The Career Center operator/service provider will support the professional development of its full or partially funded staff through attendance at WIOA-related professional development training opportunities and WIOA-announced service operator meetings.

The Career Center operator/service provider will assist in workforce-system-building activities with NCWorks partners, the education community and other organizations. Activities should include, but are not limited to, partnerships with schools to provide workforce information and resources, assisting with career fairs, hosting workshops, supporting career pathways and the NCWorks system. Proposals should incorporate activities that demonstrate the proposer’s ability to successfully engage and contribute to the development of the local workforce system.

### ***NCWorks Career Center Operations***

WIOA requires workforce boards to procure the Career Center operator/service provider of one-stop centers. The primary role of the NCWorks Career Center operator/service provider is to ensure that services provided through the NCWorks Career Centers meet the needs of clients (businesses and job-seekers) in an efficient and effective manner. It is critical that Career Center operations are unified with the delivery of WIOA services, including WIOA-mandated and non-mandated partner organizations, to all interested businesses and job-seekers in all Career Centers. In addition, the Career Center operator/service provider provides management and oversight of the partnership of organizations that comprises the NCWorks Career Center system.

The Career Center operator/service provider's primary goal is to create a seamless system of partners among workforce development, economic development, business and community agencies to meet the needs of businesses and job-seekers in Charlotte Works' Local Area. The Career Center operator/service provider will work closely with Charlotte Works' staff to effectively implement an integrated NCWorks system for businesses and job-seekers.

The Career Center operator/service provider must perform these operations and functions:

- ensure that NCWorks Career Centers deliver quality and timely career services daily;
- ensure that NCWorks Career Centers provide information and access to training services
- ensure that NCWorks Career Centers provide information and access to programs and activities carried out by NCWorks partners as described in the Memorandum of Understanding (MOU) between Charlotte Works and local elected officials;
- provide coordination and access to the labor market data, information and analysis; and all job-search, placement, recruitment and other labor exchange services authorized by Wagner-Peyser that are mandated to co-locate within the NCWorks Career Centers; and
- ensure that all Career Center services and outreach materials are compliant with the Americans with Disabilities Act (ADA) and ADA and Equal Opportunity (EO) guidelines.

The Career Center operator/service provider will work in close partnership with Charlotte Works staff to provide guidance and leadership to the NCWorks system to achieve the following outcomes:

- deliver a high-quality, consistent set of services to job-seekers and business clients;
- ensure a mix of services that allow the system to serve a diverse client base;
- coordinate services and funding to support client access to and success in post-secondary education;
- support job-seekers and workers in progressing toward economic self-sufficiency;
- promote business- and industry-sector and employer-driven skilled-development strategies;
- maintain and consistently improve the integration of services and service providers within NCWorks; and
- ensure high levels of accountability, cost-efficiency and innovation to maximize resources and client satisfaction.

The Career Center operator/service provider is responsible for implementing and managing the NCWorks system under policies and guidelines established by Charlotte Works, the NCWorks Commission, DWS and the federal government. The Career Center operator/service provider will coordinate with Charlotte Works to ensure system-wide standards are achieved and use continuous quality-improvement assessment tools to document positive change and to systematize standards and their use across the system.

The Career Center operator/service provider will promote and facilitate service delivery integration in the Charlotte Works/NCWorks system including coordinating:

- (and improving) career services;
- local Rapid Response teams and activities;

- promotion of the NCWorks Career Centers;
- communication among functional teams and offices;
- Resource Centers, staffing schedules and regular staff meetings;
- staff competency training; and
- (and integrating) business services among partners.

To best serve NCWorks Career Center clients, Charlotte Works follows an integrated service delivery model with three teams to streamline services that address client needs: talent engagement, talent development and business solutions.

### ***Talent Engagement***

As a client enters an NCWorks Career Center, s/he will be greeted by a member of the talent engagement team. The client will identify himself or herself as either a new or a returning client.

The talent engagement team member will introduce the client to NCWorks and Career Center services through a brief orientation. S/he will also offer basic services such as registration, an initial assessment, a basic skills assessment, work history review, job-readiness determination and/or referrals to partner agencies as appropriate, to the client. After basic services are provided and all documentation is gathered, the client moves on to self-service (the Resource Center) and makes an appointment to return.

If a client is returning, s/he will be greeted and move directly into self-service; a career advisor will work with him/her to determine the level of job-readiness, and the client will then move on to either the talent development team or the business solutions team.

### ***Talent Development Team***

If the client is identified as not being job-ready, s/he will work with the talent development team, comprised of career advisors who will work directly with him/her to grow his/her talent. This includes, but is not limited to, diploma/high-school-equivalency preparation, soft skills, career assessment, career counseling, workshops, training scholarships, work experience and on-the-job training.

### ***Business Solutions Team***

If the client is identified as being job-ready, s/he will work with the business solutions team, comprised of career advisors who work directly with both clients and employers to offer basic and/or individualized services including, but not limited to, the Career Readiness Certificate, Rapid Response, job/career fairs, employment services and older-worker programs.

Often, the talent development and business solutions teams will work together to both develop the client's talent while simultaneously assisting him/her with employment. The client flow process is attached as Appendix XII.

## **Clarifying Partner Expectations**

The Career Center operator/service provider will coordinate the NCWorks services offered by the required and additional NCWorks partners according to the requirements of WIOA.

The Career Center operator/service provider is expected to hold and/or participate in partner meetings regularly to encourage communication among partners, leverage resources, discuss effectiveness of the Centers and create strategies to more effectively serve all clients. Some Centers already hold regularly scheduled partner meetings.

In conjunction with Charlotte Works' staff, the NCWorks Career Center operator/service provider will negotiate with the partners to develop and maintain resource-sharing agreements to include:

- services provided and coordinated through the NCWorks system,
- funding of shared services and infrastructure costs and
- referral methods among partners and the NCWorks Career Center operator/service provider(s).

Partners will make a commitment to support the following:

- a strong, simplified, coordinated approach designed to serve the client,
- bringing funded or in-kind resources,
- providing staff to be supervised (functionally) by the managing organization or providing an electronic linkage in lieu of a staff presence,
- sharing in the cost of NCWorks Career Center operations as agreed (mandatory as of July 2017),
- sharing in the goals and operation of the NCWorks Career Centers,
- actively participating in the governance of the NCWorks Career Center and
- supporting the NCWorks Career Centers' mission, goals and business plan.

## **Career Services**

WIOA legislation includes career and training services provided through the NCWorks Career Centers as described below:

- eligibility determination for funding and services;
- outreach, intake and orientation to the information and other services available through the NCWorks Career Centers;
- initial assessment of skill levels (including literacy, numeracy and English language proficiency), aptitudes, abilities (including skills gaps) and supportive-service needs;
- job-search and placement assistance and as appropriate, career counseling including information on in-demand industry sectors and occupations and nontraditional employment;
- appropriate recruitment and other business services on behalf of employers;
- referrals to and coordination of activities with partner programs and services;
- workforce and labor market employment statistics information including job-vacancy listings, job skills necessary for job openings and information on local occupations in demand and the earnings, skill requirements and opportunities for advancement within those career pathways;
- performance information and program-cost information on eligible training providers;
- information in formats that are usable by and understandable to clients relating to the availability of supportive services or assistance provided by partners;

- referrals to supportive services or other needed assistance; information and assistance regarding filing claims for unemployment assistance; and
- information and assistance regarding establishing eligibility for financial-aid assistance for training and education programs.

Other career services needed for an individual to obtain or retain employment include:

- comprehensive and specialized assessments of the skill levels and service needs of adults and dislocated workers including diagnostic testing and use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals;
- development of an Individual Employment Plan (IEP) to identify employment goals, appropriate achievement objectives and the appropriate combination of services for the client to achieve the employment goals including providing information on eligible operators of training services and career pathways to attain career objectives;
- group career counseling;
- individual career counseling;
- career planning;
- short-term prevocational services including developing learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills and professional conduct to prepare individuals for unsubsidized training;
- internships and work experiences linked to careers;
- workforce-preparation activities;
- financial literacy;
- out-of-area job-search and relocation assistance;
- English-language acquisition and integrated education and training programs; and
- follow-up services including career counseling for clients in WIOA activities who are placed in unsubsidized employment for not less than 12 months after the first day of the employment as appropriate.

Each client will receive an orientation of available services including all partner services and any other pertinent resources to ensure successful return to employment. The orientation will include a complete overview of the processes and procedures for gaining maximum benefits from engagement with the NCWorks Career Center. Orientations can be conducted in individual or group settings depending on demand and the need for Center efficiency. Group orientations may be Center- or program-specific and will be included in a master calendar and published on a monthly basis for the public through NCWorks Online.

WIOA consistently emphasizes the need for services targeted to people with disabilities and individuals with barriers to employment, including those who receive public assistance or are otherwise low-income and/or basic-skills deficient. Outreach, promotion efforts and services will include efforts to encourage the use of the NCWorks system to groups that need employment and training services to become more skilled and employable in the path to financial self-sufficiency.

WIOA Sec. 3 (24) defines an “individual with a barrier to employment” as a member of one or more of the following populations:

- a. displaced homemakers;
- b. low-income individuals;

- c. Indians, Alaska Natives and Native Hawaiians as such terms are defined in Section 166;
- d. individuals with disabilities, including youth with disabilities;
- e. older individuals;
- f. ex-offenders;
- g. homeless individuals (as defined in Section 41403(6) of the Violence against Women Act of 1994 [42 U.S.C. 14043e-2(6)] or homeless children and youths (as defined in section 725(2) of the McKinney-Vento Homeless Assistance Act [42 U.S.C. 11434 a(2)]);
- h. youth who are in or have aged out of the foster-care system;
- i. individuals who are English-language learners, individuals who have low levels of literacy and individuals facing substantial cultural barriers;
- j. eligible migrant and seasonal farm workers as defined in Section 167(i);
- k. individuals within two years of exhausting lifetime eligibility under Part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.);
- l. single parents (including single pregnant women);
- m. long-term unemployed individuals; and
- n. such other groups as the governor involved determines to have barriers to employment.

### ***Training Services***

Upon completion of orientation and assessments, clients may be deemed appropriate for training services if they are unlikely to obtain or retain self-sufficient employment. Training programs should focus on in-demand industry sectors or occupations in demand in the area or in an area to where the client is willing to relocate.

Occupational-skills training should be provided through Individual Training Accounts (ITA) from an approved training provider. All clients interested in receiving WIOA scholarship assistance must apply for a Pell Grant.

Training services are described as:

- occupational-skills training including training for nontraditional employment;
- on-the-job training;
- programs that combine workplace training with related instruction including
  - cooperative education programs;
  - training programs operated by the private sector;
  - skill upgrading and retraining;
  - entrepreneurial training;
  - transitional jobs;
  - occupational-skills training;
  - adult education and literacy activities including activities of English language acquisition and integrated education and training programs, provided concurrently or in combination with other training services; and
  - customized training conducted with a commitment by an employer or group of employees to employ an individual upon successful completion of the training.

All clients who receive training services must be determined eligible for WIOA funding.

## ***Working Smart: Soft Skills for Workplace Success***

*Working Smart: Soft Skills for Workplace Success (Working Smart)* is a soft-skills curriculum developed in response to employer demands for a workforce that has an increased capacity to fulfill expectations beyond technical abilities. Employers are looking for people who not only have the technical skills and experience to do the job, but also the “soft skills” that lead to success: communication skills, problem solving skills, time management, accountability and more.

*Working Smart* provides the tools to help job-seekers keep a job, excel at their jobs and be more productive. *Working Smart* is offered to employers, job-seekers and other agencies serving job-seekers.

*Working Smart* is conducted weekly at one of the two NCWorks Career Centers. The course lasts one week and is instructed by two trainers per week. The Career Center operator/service provider will ensure trained staff are onsite to facilitate the *Working Smart* curriculum as scheduled. The Career Center operator/service provider is responsible for coordinating and facilitating all *Working Smart* courses.

### ***Program Requirements***

**The selected Career Center operator/service provider will continue services with adult and dislocated worker clients currently enrolled under WIOA contracts.**

**Eligibility Verification/Validation/Documentation:** The Career Center operator/service provider will use NCWorks Online for all aspects of documentation and tracking of services. All clients must be dually enrolled in WIOA services, whether it be WIOA Title I, Wagner Peyser, or both. The Career Center operator/service provider will ensure that each client is eligible to receive WIOA-funded services prior to obligating or paying any expenses on a client’s behalf. The Career Center operator/service provider will determine, verify and certify WIOA eligibility for each adult or dislocated worker client being enrolled in WIOA individualized services by obtaining acceptable records/documents to verify each required eligibility item. Verification documents and other necessary paperwork must be maintained to the greatest extent possible in NCWorks Online.

Hard-copy files and electronic files must be maintained for proper reporting. The Career Center operator/service provider will document services, referrals, progress, activities and follow-up in NCWorks Online. Documentation should outline successes and barriers related to the completion of the Individual Employment Plan along with potential next service steps.

**Assessments:** Assessment involves gathering information, appraising, analyzing and using it to assist clients. Assessments of the skill levels and service needs of adult and dislocated workers may include diagnostic testing, use of other assessment tools and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. The goal of an assessment is to identify skills, strengths, deficiencies and attitudes relating to vocational training, basic education and employment. Assessments may be used for career discovery and specific job applications. They form the basis for career services by measuring academic development, workplace skills, interests, job-seeking and -retention skills, financial situation, work-readiness, employment and family barriers and ability to learn to do work tasks.

A thorough assessment of a client should identify whether or not the client has:

- adequate basic education, skills and work background for his/her choice of WIOA services or employment opportunities;
- required occupational tasks and any skills to be developed to achieve his/her employment goals;
- realistic job-seeking skills and the work maturity (attitude) to get and keep a job; and
- sources of additional support needed for success and the organizations that can provide this support.

The Career Center operator/service provider will provide assessment services including assessment of basic skills, abilities and interests; evaluation of work history; evaluation of support service needs; and other assessment instruments that might be of value in assisting clients. All assessment processes and tools must be approved by Charlotte Works' staff prior to implementation and must be applied in a consistent and equitable manner. The Career Center operator/service provider will select the appropriate assessment tools to use in unison with Charlotte Works.

**Individual Employment Plans (IEP):** Each adult or dislocated worker client enrolled into WIOA services will have an IEP to identify employment goals, appropriate achievement objectives and the appropriate combination of services for him/her to achieve employment goals including providing information on eligible operators of training services and career pathways to attain career objectives. The IEP should be flexible and responsive to the individual needs of each client as s/he moves through career and/or training services; employment is the ultimate goal for each client. The plan should be reviewed and updated as needed. Each IEP will identify educational goals, pre-employment steps, selected learning objectives, training, work-based learning (when provided) and any other preparation for unsubsidized employment. The plan will set clear and realistic goals for educational advancement, entry into employment in a targeted industry and any continued learning and development as needed.

**Case Management:** Case management is the provision of a client-centered approach in the delivery of services, designed to prepare and coordinate comprehensive employment plans, such as service strategies, for clients to ensure access to necessary WIOA activities and supportive services using, where feasible, computer-based technologies; and provide job- and career-counseling during program participation and after job placement.

The Career Center operator/service provider will have a sufficient amount of experienced career advisors to manage active clients, follow-up clients, caseloads and client flow. Case management will be provided to ensure all clients are successful.

Case Management strategies should include, but are not limited to:

- Regularly scheduled contact maintained with all clients. The frequency of the contact is based on an assessment of the client's needs as s/he moves through the process. At a minimum, monthly contact must be made with each client. More frequent contact may be needed in certain circumstances and is encouraged.
- Use of the IEP goals to measure progress such as increasing TABE, Work Keys or college entrance exam scores; finding unsubsidized employment; attaining occupational- and work-readiness skills; attaining an occupational license, certificate, or degree; etc.

- Support and intervention in time of crisis; assistance in the development and implementation of a crisis plan.
- Monthly case notes entered into NCWorks Online in a timely manner. Case note summaries are not limited to, but should detail contacts per client; missed appointments and attempts to contact the client; career services provided; progress, barriers, interventions and successes; etc.
- Provision of linkages and referrals and coordination of services and resources that support the achievement of the client's IEP.
- Collaboration with other service providers, training providers, businesses and community partners.
- Building soft skills and job-retention skills in each client is a Charlotte Works priority.
- Follow-up services will be provided to all clients.

Career advisors should know the name, family and life situation of each client. They should have a detailed and working knowledge of other community services and resources and cultivate a wide network of contacts. Where progress is slow or in reverse, career advisors should be proactive in identifying the problem and solving it before the client quits without achieving a recordable positive outcome.

**Employment and Training Services:** WIOA legislation speaks to priority of services relative to the provision of employment and training services. As referenced in the WIOA legislation, “priority shall be given to recipients of public assistance, other low-income individuals, and clients who are basic skills deficient for receipt of career services, and training services.” Charlotte Works has a Priority of Service policy for WIOA services. The Career Center operator/service provider will adequately serve clients who fall into these priority categories.

**Performance Measures:** All eligible adult and dislocated workers who receive WIOA services and exit services during PY 2019 will be measured against USDOL Common Measures for Adults and Dislocated Workers. WIOA-specific measures are negotiated by Charlotte Works and have been established for PY19.

Charlotte Works will also request locally tracked outcomes and set local measures. See the chart in the Performance Measures section regarding the most recent local measure goals for PY 2018.

### ***Business Solutions***

Serving the needs of employers is a principal focus for WIOA and Charlotte Works, as employers are a primary client with the continual need of finding and hiring candidates. The employer service delivery system will be highly coordinated to improve the quality of every business service. Staff who provide employment solutions should be fully integrated into the client flow of businesses and job-seekers.

Employment solutions staff will ensure coordination and quality of a suite of fundamental services and work in concert with Charlotte Works' business services team to strategically align the workforce system with employer needs. Employment solutions staff will coordinate with Charlotte Works' business services team to match available talent with employers' needs.

All NCWorks Career Centers will offer a broad range of integrated services that are provided at no cost to all employers to support economic and workforce development efforts.

The Career Center operator/service provider will coordinate and/or deliver the following employment solutions with partner staff:

- hiring and interviewing events held at the NCWorks Career Centers and/or other partner sites;
- access to labor market and related information through NCWorks Online;
- information and referral to sources for developing customized training programs;
- information on career preparation activities and career pathways;
- information on TAA and certification;
- information, development and coordination of work-based learning opportunities including work experiences, on-the-job training contracts and apprenticeships;
- state and/or federally generated information on tax credits for new hires;
- state and/or federal program information on federal bonding;
- access to information and services through the NCWorks Career Centers and online;
- avenues to place job openings beyond NCWorks Online;
- referrals of well-qualified NCWorks clients;
- staff-assisted employee pre-screening;
- basic job-matching of résumés and applications;
- preliminary basic skills and other assessments;
- industry-specific job fairs;
- development and coordination of job orders;
- coordination of Rapid Response activities;
- enabling employers in NCWorks Online;
- keying-in of business services in NCWorks Online; and
- other Charlotte Works-approved employment solutions as applicable.

*Note: The Career Center operator/service provider will have to measure effectiveness in serving employers and will report on common performance indicators which include how many job-seekers entered and retained employment, their median wages, whether they attained credentials and their measurable skill gains.*

### **Employer Account Management in NCWorks**

Employer account management in NCWorks Online is a critical component of a highly coordinated employer service delivery system. Staff shall carry out all employer verification and account- and job-order maintenance activities as outlined in the Employer Accounts and Job Order Policy guide published by DWS (found online here <https://www.nccommerce.com/LinkClick.aspx?fileticket=tvxKM6vCrZ8%3D&tabid=3697&mid=8957>).

The Career Center operator/service provider will coordinate or deliver employer account-management activities with partner staff including, but not limited to:

- reviewing employers who have submitted registration within 72 hours of submission;
- completing and uploading an “employer verification form” into NCWorks Online;
- merging and updating duplicate accounts for employers;

- indicating employer status as “Pending Verification,” “Not Verified,” “Enabled” or “Revoked/Suspended” if there is any reason to doubt the employer’s validity or if employer validity cannot be determined; and
- generating and distributing to partner staff monthly reports of enabled employers.

### ***On-The-Job Training***

On-The-Job Training (OJT) is a service component authorized by WIOA.

OJT is defined in WIOA as “training by an employer that is provided to a paid participant while engaged in productive work in a job that:

- “provides knowledge or skills essential to the full and adequate performance of the job;
- “is made available through a program that provides reimbursement to the employer of wages of the participant, except as provided for the extraordinary costs of providing the training and additional supervision related to the training; and
- “is limited in duration as appropriate to the occupation for which the participant is being trained, taking into account the content of the training, the prior work experience of the participant, and the service strategy of the participant, as appropriate.”

Under OJT the individual begins training as an employee of the employer and is subject to the same conditions of employment as other similarly employed individuals and s/he receives training under appropriate supervision, thus acquiring occupational skills and knowledge in an "on-the-job" training environment.

Despite the benefits accruing to employers who participate, the focus of the WIOA OJT training service component is on the individual client served. OJT is designed to provide an opportunity for all WIOA-program eligible and -suitable individuals to receive the training necessary to acquire skills and knowledge that will enable them to become self-sufficient, maintain unsubsidized employment and compete for job advancement.

The Career Center operator/service provider will coordinate and implement all OJT services and provide direct and promising opportunities for sustained unsubsidized employment for WIOA clients in accordance with the OJT policy. Charlotte Works OJT policy will be provided upon contract award.

### ***Rapid Response Services***

Rapid Response services, as mandated by USDOL, are delivered to employees who are being dislocated due to downsizing, closure or other sensitive business actions and whose company has filed a Worker Adjustment & Retraining Notification (WARN) with the state of North Carolina. DWS coordinates Rapid Response teams and operation of the TAA program across the state. The Career Center operator/service provider will assist in coordinating these outreach teams. NCWorks Career Centers shall provide the following Rapid Response services in conjunction with other appropriate partners:

- coordinating participants for, and conducting initial meetings with, the affected business' leadership to determine the nature of the Rapid Response;
- reviewing affected workers' assistance needs;
- coordinating and conducting Rapid Response workshop presentations to assist with career transition, job-search tools and skills, résumé preparation and interviewing techniques;
- assessing re-employment prospects for workers;
- providing information on available resources to meet the short- and long-term needs of affected workers;
- establishing a process of referring affected employees to the NCWorks system;
- developing recruitment/job-development activities including job fairs, job-lead development and general recruitment notifications;
- providing appropriate information about potential dislocations, available adjustment assistance, services and when appropriate, information on the TAA program and the North American Free Trade Agreement (NAFTA);
- preparing and distributing Governor's Rapid Response packets containing state and local resources for affected workers; and
- submitting a written narrative to the DWS Rapid Response office detailing the services rendered to each group of dislocated workers upon completion of service delivery.

## **Reports**

### **Monthly and Quarterly Reports**

The Career Center operator/service provider will develop routine monthly and quarterly written programmatic reports including WIOA Common Measures, career services, Career Center traffic, business services, case management, client outcomes, and other key performance indicators. Charlotte Works' staff will work closely with the Career Center operator/service provider to design and administer these reports. The Career Center operator/service provider will submit reports on a monthly basis to Charlotte Works.

### **Financial Reports**

The Career Center operator/service provider will prepare and submit financial reports and invoices for reimbursement through Charlotte Works' financial system by the fifth working day of the month following the report month that include:

- monthly invoices by fund source to include budget amounts by line item, monthly expenditures by line item, year-to-date expenses by line item and accrued expenses. Back-up documents are required to support monthly expenses.
- Summary and detailed accounting reports by fund source generated from the organization's general ledger that matches the monthly invoices submitted for reimbursement.

### **Performance Measures**

The Career Center operator/service provider will be aware that WIOA performance measures for PY19 (set to take effect on July 1, 2019) will be based on data regarding exiters from the WIOA program for the previous year (beginning July 1, 2018), unless otherwise waived by the USDOL. The Career Center operator/service provider will track and report the data for follow-up and performance measures specified by WIOA:

- *Employment Rate - 2nd Quarter After Exit:* The percentage of participants who are in unsubsidized employment during the second quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the second quarter after exit)
- *Title I Youth Education and Employment Rate - 2nd Quarter After Exit:* The percentage of title I Youth program participants who are in education or training activities, or in unsubsidized employment, during the second quarter after exit from the program.
- *Employment Rate - 4th Quarter After Exit:* The percentage of participants who are in unsubsidized employment during the fourth quarter after exit from the program (for title I Youth, the indicator is the percentage of participants in education or training activities, or in unsubsidized employment during the fourth quarter after exit)
- *Title I Youth Education and Employment Rate - 4th Quarter After Exit:* The percentage of program participants who are in education or training activities, or in unsubsidized employment, during the fourth quarter after exit from the program.
- *Median Earnings - 2nd Quarter After Exit:* The median earnings of participants who are in unsubsidized employment during the second quarter after exit from the program
- *Credential Attainment:* The percentage of those participants enrolled in an education or training program (excluding those in on-the-job training (OJT) and customized training) who attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program. A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant also is employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program
- *Measurable Skill Gains:* The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.
- *Effectiveness in Serving Employers:* Effectiveness in Serving Employers: WIOA sec. 116(b)(2)(A)(i)(VI) requires the Departments to establish a primary indicator of performance for effectiveness in serving employers. The Departments are piloting three approaches designed to gauge three critical workforce needs of the business community.

The Career Center operator/service provider will be responsible for meeting all WIOA Performance Measures.

Each local workforce board is responsible for negotiating these measures with the North Carolina Department of Commerce. Below are Charlotte Works' WIOA Performance Measures for PY 2018; they are provided as information and a baseline for this RFP.

<b>Metrics</b>	<b>PY18 Goals: Adult</b>	<b>PY18 Goals: Dislocated Worker</b>	<b>PY18 Goals: Youth</b>
Employment Rate – 2 <sup>nd</sup> Quarter After Exit	73.0%	83.5%	78.0%
Employment Rate – 4 <sup>th</sup> Quarter After Exit	75.0%	87.0%	76.0%
Median Quarterly Earnings	\$6,373	\$7,203	N/A
Credential Attainment	60.0%	59.2%	51.5%
Measurable Skills Gains	N/A	N/A	N/A
Effectiveness in Serving Employers	N/A	N/A	N/A

These performance measures are subject to change with the implementation of WIOA and/or PY 2019 measurements.

Employment goals are measured using Unemployment Insurance Wage Records systems.

The Career Center operator/service provider will capture all credentials earned, in-program skills gains and other related data in NCWorks Online.

In the event that the N.C. Department of Commerce sets additional goals to indicate the success of the system or Centers, the Career Center operator/service provider will also be required to meet those goals and/or measures.

Charlotte Works has set additional goals to indicate the success of its career centers. The PY 2018 performance measurements below are provided as information and a baseline for this RFP.

<b>Metrics</b>	<b>PY16 Goal</b>
Total Job-Seekers Served	<b>22,000</b>
Employers Served	<b>1,200</b>
ITA's	<b>300</b>
OJT Grants	<b>20</b>
<i>Working Smart</i> Graduates	<b>350</b>
Adult Work Experiences	<b>20</b>

The above metrics are based upon a 12-month period (July 1, 2018 – June 30, 2019), and the operator will be expected to meet goals for a 12-month period (July 1, 2019 – June 30, 2020).

**Note:** *The USDOL and Charlotte Works expect to develop federal and local performance measures for effectiveness in serving employers.*

## **PART II: Fiscal and Administrative Management**

A number of changes to the federal OMB circulars took place on December 19, 2014. New uniform guidance was issued in 2 CFR Part 200 and 2 CFR Part 2900. The Employment and Training Administration issued TEGL 15-14 that gives guidance on this reform. In summary, 2 CFR 200 and 2 CFR 2900 replaces the following: A-103 & A-89, A-87, A-133 & A-50, A-110, A-21, A-110 and A-122.

### ***Internal Financial Management***

The Career Center operator/service provider is required to conduct internal financial management reviews to provide adequate internal controls and ensure compliance with the following areas related to WIOA funds and services:

- provisions of WIOA and its regulations;
- provisions of the WIOA contract;
- applicable state and local workforce development board policies;
- accepted financial management and accounting practices; and
- compliance with 2 CFR Part 200.

Internal financial management procedures shall be sufficient to prevent fraud and abuse. All reports of information creating suspicion of or instances of criminal misconduct must be reported immediately to Charlotte Works, DWS and USDOL.

Internal financial management procedures must also ensure that auditable and otherwise adequate records that support all expenditures of WIOA funds are maintained and adhere to policies regarding allowable costs and allocations of costs to proper cost categories. The Career Center operator/service provider will assure that accounting records are supported by source documentation for each transaction. In addition, records should be traceable to documentation and maintained in such a manner as to provide a complete and accurate audit trail during any internal or external examination.

The Career Center operator/service provider will document all internal financial compliance reviews.

If applicable, the Career Center operator/service provider will provide a copy of the organization's Cost Allocation Plan. For-profit organizations will provide any proposed profit within the budget document.

**Internal Program Management:** The Career Center operator/service provider is required to establish internal program management procedures to assure compliance with contract requirements, delivery of high-quality services to eligible adults and dislocated workers and achievement of planned outcomes. Internal program management procedures must also ensure that auditable and otherwise adequate records are maintained to support the eligibility of all WIOA clients and confirm adherence to specific requirements and time limitations.

**Audit Submission:** As a recipient of WIOA funds, the Career Center operator/service provider must have an annual financial and compliance audit performed. The audits must be conducted in accordance with auditing standards set forth under the Single Audit Act Amendment of 1996 and revised OMB Circular A-133 at 29 CFR 95.26 for institutions of higher education, hospitals and other nonprofit organizations and at 29 CFR 97.26 for units of state and local government. This requirement will be met by providing Charlotte Works with a copy of the annual audit according to OMB Circular A-133. A for-profit Career Center operator/service provider must have an annual financial and compliance audit performed under Generally Accepted Accounting Standards by an independent auditor. A copy of the audit will be forwarded to Charlotte Works. The audit should be submitted within 30 days after the completion of the audit, but no later than six months after the end of the audit period.

**Monitoring Procedures:** In accordance with WIOA Contract Monitoring and Audit Procedures and WIOA regulations (20 CFR, Part 652, et al and 20 CFR 667.410), WIOA-contracted staff must cooperate with any monitoring, inspection, interviewing employees or clients and permitting the examination of, and/or photocopying of books, records, files or other documents related to the contractual agreement. These activities may be conducted by DWS, USDOL, Charlotte Works or their designated representatives. This cooperation includes access to, examination of and/or photocopying of books, records, files, documents, property or equipment related to all aspects of WIOA-funded activities under this contractual agreement.

Charlotte Works has developed a systematic monitoring system for evaluating the quality and effectiveness of WIOA-funded programs. Monitoring is the quality control system whereby the Charlotte Works gathers and analyzes information to detect problems, identify strengths and weaknesses and propose improvements to the program. Monitoring activities are conducted periodically to determine whether programs are in compliance with contractual agreements, WIOA

law and regulations and Charlotte Works policies and requirements. Charlotte Works monitors performance, programmatic and fiscal activities. In many instances, the different types of monitoring are interrelated and conducted simultaneously. The Career Center operator/service provider must cooperate with any monitoring, inspection, audit or investigation of activities related to WIOA contracts. Monitoring visits may be announced or unannounced in accordance with Charlotte Works' policies.

**Records Retention:** Certain records and documents must be maintained for WIOA clients and employees. The Career Center operator/service provider agrees to make these records available for monitoring and review by the Charlotte Works WDB and agrees to retain these records, subject to audit, for five years from completion of services.

If any aspect of the program is under investigation or in the process of audit resolution and/or debt collection, the WIOA staff is required to retain records after the five-year period and until the final audit resolution of all disallowed and/or questioned costs are paid or accepted as allowable.

Release of responsibility to retain records after the five-year period will not be authorized until final resolution of all audit findings. In the event the Career Center operator/service provider goes out of business or ceases to be an organization prior to the expiration of records retention responsibility, the Career Center operator/service provider will deliver all records required to be retained by Charlotte Works in an orderly fashion with documents properly labeled and filed and in an acceptable condition for storage.

The following records and documents must be maintained:

- general ledger or equivalent;
- cash receipts and cash disbursements journals/reports or equivalent;
- bank statements, reconciliation, deposit slips and canceled checks for each bank account through which WIOA funds were received or disbursed;
- all contracts with Charlotte Works including all amendments;
- all financial reports and documentation supporting requests for reimbursement;
- payroll records including Individual Earnings Record, Employee Withholding Authorization (W-4), FICA reporting forms, federal and state withholding, unemployment taxes, employee personnel files, time records and employee time/salary allocation plans;
- invoices and/or supporting data for non-payroll disbursements;
- clients' records including participant data forms, verification/documentation items, assessments tests and results, the Individualized Employment Strategy/Individual Employment Plan and documentation of outcomes;
- monthly participant and financial reports and monthly performance reports; and
- any other financial records or documents that are related to the contracted funds as requested by Charlotte Works.

### ***Insurance Requirements***

**Insurance:** The Career Center operator/service provider shall provide adequate onsite medical and accident insurance for all enrollees not covered by North Carolina's Workers' Compensation law. This coverage shall not include income maintenance. Contributions to a self-insurance plan, to the extent that they are comparable in costs and extent of coverage had insurance been purchased, are allowable upon prior approval by DWS through Charlotte Works. Requests for

such approval must be submitted in writing. It is strongly encouraged that WIOA clients are covered by accident insurance while participating in WIOA-funded activities.

**Workers' Compensation Insurance.** The Career Center operator/service provider must comply with Sections 667.274(b)(1) and (2) of the WIOA regulations and meet the statutory requirements of the State of North Carolina and employers liability: \$100,000 per accident limit, \$500,000 disease per policy limit, \$100,000 disease each employee limit, providing coverage for employees and owners. Workers' compensation must be provided to clients in programs and activities under Title I of WIOA on the same basis as the compensation is provided to other individuals in the state in similar employment. Workers' compensation benefits must be available to clients in work experience for injuries suffered while participating in work experience. If the work-experience activity is not covered by worker's compensation, insurance coverage must be secured for injuries suffered by the client in work experience. OJT employers must provide proof of workers' compensation or comparable coverage prior to execution of the OJT contract. No WIOA client will be required to work in conditions which are unsanitary, hazardous or dangerous to the client's health or safety. All clients placed in a paid work experience or internship must be covered by workers' compensation.

**General Liability Insurance:** Bodily injury and property damage liability as shall protect the Career Center operator/service provider and any subcontractor performing work under this contract whether such operations are performed by the Career Center operator/service provider, any subcontractor or anyone directly or indirectly employed by either. The amounts of such insurance shall be less than \$1,000,000 bodily injury each occurrence/aggregate and \$1,000,000 property damage each occurrence/aggregate or \$1,000,000 bodily injury and property damage combined single limits each occurrence/aggregate. This insurance shall include coverage for products/completed operations, personal injury liability and contractual liability assumed under the indemnity provision of this contract.

NOTE: A Career Center operator/service provider that is a state agency or political subdivisions of the state of North Carolina are exempt from the public liability insurance requirement referenced above.

**Automobile Insurance:** A Career Center operator/service provider using motor vehicles in conducting services shall provide automobile insurance that clearly specifies that Charlotte Works and/or staff are held harmless against claims arising from ownership, maintenance or use of said vehicle. Bodily injury and property damage liability covering all owned, non-owned and hired automobiles for limits of not less than \$1,000,000 bodily injury each person each accident and \$1,000,000 property damage or \$1,000,000 combined single limit each occurrence/aggregate.

**Bonding Insurance Requirements** A Career Center operator/service provider must meet bonding requirements as required through the OMB Circulars or other applicable regulations. Public agencies are required by the North Carolina General Statute to be bonded. Non-governmental agencies will procure a blanket fidelity bond, position bond or name schedule fidelity bond for all persons or positions authorized to receive or disburse WIOA funds. The Career Center operator/service provider must maintain all bonding in force for the period of the contractual agreement.

The Career Center operator/service provider must submit a written notice to Charlotte Works within 15 calendar days prior to any reduction in the limits stated on the bonding document. Similarly, the Career Center operator/service provider must provide written notice of any cancellation of the bonding policy to Charlotte Works immediately upon receipt of the cancellation

notices. Employee fidelity insurance coverage protects the employer against a dishonest act by an employee. The amount of the fidelity bond will be at a minimum of \$50,000.

**Directors & Officers Liability:** Such insurance will protect the Career Center operator/service provider for negligent acts, errors or omissions in performing services under this contract. The amount of such insurance will not be less than \$1,000,000 for each claim.

**Program Income Requirement:** USDOL requires that all income generated under any WIOA contract shall be reported and used to further program objectives. Any organizations proposing program income must provide a set of measurable deliverables. Program income is required to be spent prior to use of WIOA funds.

**For Profit:** Organizations proposing for-profit contracts must provide criteria/deliverables for profit and a schedule of payment as part of the budget narrative. All criteria proposed must be specific, measurable, achievable, realistic and timely (SMART goals). Profit margins shall not exceed 10 percent of the contract. Criteria for profit will be reviewed and included in negotiating final contracts.

**Authority to Re-Capture and Re-Distribute Funds:** Charlotte Works has the authority to re-capture and re-distribute funds based on the following criteria not being met:

- staffing levels,
- enrollments,
- caseloads /or
- spending levels.

### ***Property Management Requirements***

The Career Center operator/service provider agrees to maintain careful accountability of all WIOA-purchased non-expendable property (property with a life expectancy of one year or more and a unit cost of \$500 or more) and to maintain an inventory of all properties issued by Charlotte Works or subsequently acquired with WIOA funds. Acquisition of non-expendable property with a unit cost of \$500 (including taxes, shipping and handling costs) or more must be approved by Charlotte Works' staff **prior** to the purchase. Any disposal of WIOA property must be according to applicable federal, state and local disposal procedures. Any revenues derived from the sale of property purchased with WIOA funds must be used in WIOA service delivery for the program(s) which funded the original purchase.

Any single piece of equipment that costs greater than \$5,000 purchased with WIOA funds must be approved by Charlotte Works and DWS.

The Career Center operator/service provider will be responsible for maintaining an accurate inventory of all WIOA property in its possession. A copy of the updated annual inventory shall be submitted to the Charlotte Works staff upon completion. Charlotte Works will maintain a fixed-asset listing to be verified for physical location and serviceability at the Career Center operator/service provider facility at least annually.

In the event property purchased with WIOA funds is stolen or destroyed by criminal act, the Career Center operator/service provider will notify appropriate law enforcement officials immediately. Charlotte Works must be notified within three working days of discovering the loss or

damage. A copy of the police report will be maintained as documentation of loss and a copy forwarded to Charlotte Works.

The Career Center operator/service provider agrees to pay for or replace any property purchased with WIOA funds that is lost, damaged or destroyed through negligence.

### **Wage and Labor and Health and Safety Standards**

Clients employed in work-related activities under WIOA must be compensated in accordance with applicable law, but not less than the higher of the rate specified in the Fair Labor Standards Act of 1938 or the applicable state minimum wage law.

Health and safety standards under federal and state law otherwise applicable to working conditions of employees are equally applicable to working conditions of WIOA clients engaged in work-experience activities under WIOA. Workers' compensation insurance coverage must be secured for WIOA clients in work experience.

### **Budgets and Invoices**

The Career Center operator/service provider will assume financial and management responsibilities for NCWorks Career Centers.

Proposers should submit combined budget that is included with the proposal up to, but not greater than, the projected available funding for each program. Once a Career Center operator/service provider is selected, Charlotte Works' staff will work with the proposer to budget those funds. The amounts on the funding chart are intended to be used as guidelines for proposers and are subject to revision based upon final notification of WIOA funding availability from DWS. The budget spreadsheet and additional worksheets (to be provided after a letter of intent is submitted) will provide a summary of the proposed cost by line item. If additional narrative detail is needed, provide that as well. It is understood that client expenses will be difficult to accurately predict at this time; however, a projection of these expenses based on plans for services to clients is requested. More detailed budgets will be developed after the Career Center operator/service provider is selected and allocation amounts are more defined.

Proposed budgets must be within the amounts indicated and must be reasonable based on proposed staffing, service levels and service delivery plans. The amount awarded will be determined on a competitive basis, but not necessarily based on the lowest proposed cost. Subsequent revisions and negotiations of final contract budgets may be required due to funding-award decisions.

Since this is a reimbursement contract, the Career Center operator/service provider will be expected to incur the costs for all program services and make payments on behalf of the enrolled clients, then report each month's expenses by the fifth day of the following month for each of the fund sources in the contract. The monthly reimbursement submission will include a line-item invoice, budgets, current-month expenses, unexpended balances and accrued expenses. As back-up to the invoice, a summary line-item expenditure reports and detailed line-item expenditure reports by fund source that support the invoice amounts will be submitted each month.

Since the program year and fiscal year runs from July 1 through the following June 30, final payment for each program year's WIOA expenses will occur with the June invoice and end-of-year financial close-out documents submitted by the Career Center operator/service provider to

Charlotte Works during the month of July. The Career Center operator/service provider is expected to expend at least 95 percent of the contracted funds by the end of each program year.

Although not expected, if any part of the work covered by this RFP is to be sub-granted, the proposer will identify the sub-granting organization and a sub-grant agreement will be entered into between the two parties. Copies of the sub-grant agreements will be submitted to Charlotte Works for approval, prior to execution of any sub-grant agreements.

## **PART III: PROPOSAL FORMAT AND REQUIRED FORMS**

### **Confidential Information**

No documents relating to this procurement will be presented or made otherwise available to any other person, agency or organization until after the funding awards. Commercial or financial information obtained in response to this RFP is privileged and confidential and is clearly worded as such and will not be disclosed at any time so long as all requirements of North Carolina General Statutes 132-1.2 have been met. Respondents must visibly mark as “Confidential” each part of their funding application that is considered proprietary information.

Proposals should include all items listed below, in the order shown. Forms should be completed with all information requested and executed properly. Omissions, inaccurate submissions or out-of-order responses may result in a section being deemed incomplete or non-responsive and given a low rating during the review process. Proposals that fail to include all applicable forms and information will not be considered.

### **Number each page.**

1. **2019 WIOA Response Package Cover Sheet**
2. **Program and Financial Management Form** - Carefully review each section. Identify the appropriate agency staff member responsible for compliance.
3. **Statement of Work Narrative** - If a section does not apply, write “N/A” or “Does not apply” by the respective section. Sections include:
  - a. Experience and Capacity
  - b. Budget
  - c. NCWorks Career Center Operations
  - d. Adult/Dislocated Worker Services
  - e. Employer Services
4. **Assurances and Certifications Form** - Requires signature of authorized representative.
5. **Statement of Compliance Form** - Requires signature of authorized representative.
6. **Certificate Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions** - Requires signature of authorized representative.
7. **Certification Regarding Drug-Free Workplace** - List the site for the performance of work.
8. **Job Descriptions** - Complete for each additional WIOA staff hired.
9. **RFP Budget Form** - Complete the Budget Summary, supporting worksheets, budget narrative for all costs required to implement the program design.
10. **Other** - Attach the following items:
  - a. **federal ID;**

- b. **most recent end-of-year financial statement and copy of last audit;**
- c. **organization grievance procedures;**
- d. **copy of bond coverage** (or explanation of planned coverage if an award is made);
- e. **organization personnel and travel policies;**
- f. **current organization chart** (include equal opportunity officer);
- g. **charter and bylaws of organization with list of current board members;**
- h. **cost allocation plan (if applicable, provide a copy of the organization's approved indirect cost plan);**
- i. **certificate of general liability insurance; and**
- j. **certificate of worker's compensation insurance.**

## **PROPOSAL NARRATIVE INSTRUCTIONS**

This portion of the proposal should give reviewers a clear picture of the proposed services and the capability of the proposer to deliver these services.

Proposers should follow the alphabetical and numerical sequence of the format described below. Provide responses in as much detail as possible with enough information to adequately respond to the questions or statements. The narrative should not exceed 20 pages. **In order to provide a clear picture of the program design, program activities/services, anticipated outcomes and the proposer's capability to deliver the services, address each of the following areas in order.**

In some cases, questions are repeated in multiple sections. Where responses are identical, it is acceptable to indicate "see question XX" and not repeat answers.

### **Experience and Capacity**

#### **A. Experience**

1. Provide a description of the organization to include:
  - the legal organizational name and legal status.
  - the organization's mission, vision, history and accomplishments. Include number of years in operation, size of the organization and the geographic distribution of the service delivery area.
  - how the organization is currently funded.
  - how offering services in response to this RFP will fit into the proposing organization's mission or business plan. Include internal structure including management and supervisory staff positions to be used to operate this program in Charlotte Works' service area.
2. Describe the organization's financial and administrative experience in managing and accounting for multiple federal, state and local funding sources in accordance with Generally Accepted Accounting Principles (GAAP). Include how it will conduct self-monitoring for contract performance and compliance and develop and implement a continuous improvement model.
3. Describe past and current activities or programs administered and operated by the proposer that demonstrates the capability to:

- serve as the Career Center operator/service provider including functional supervision of partner programs, facilities and personnel in the NCWorks Career Centers; and
  - manage, administer and operate a workforce development program under WIOA to serve adults and dislocated workers. Include specific data on outcomes achieved to demonstrate the ability to meet contractual performance standards for WIOA services or comparable programs.
4. Describe the organization's experience in providing oversight of multi-organization staff teams and in developing and delivering technical assistance and capacity-building with workforce staff and organizations.
  5. Describe how the organization's resources, professional contacts, knowledge of the labor market and special expertise will help Charlotte Works to meet and exceed performance goals for the NCWorks system.

## **B. Capacity**

1. Describe resources the organization brings to the workforce system that will assist in the coordination and delivery of services, and how the organization, as a whole, will support the work of staff and the programs. Explain how the organization will support the transition of the Career Center operator/service provider.
2. Staffing Plan - Detail the plan to staff the proposed services. Include the:
  - number of staff (indicate full-time or part-time), in addition to existing Charlotte Works' staff as discussed in this RFP. If staff will serve more than one Center, indicate this with the appropriate details regarding the locations, time at each Center and schedule, if known.
  - job descriptions to include, job titles, job duties to be funded under this proposal in addition to existing Charlotte Works' staff and range of activities to be performed. Use the provided form.
  - qualifications of key staff to be assigned onsite to this program including education, experience and any specialized training or certifications specific to workforce service delivery. If the organization will need to hire staff as a result of being awarded a contract, outline the plan to hire qualified staff.
  - the organization's expectations for providing ongoing staff training to ensure staff has access to the most current information, tools and promising practices.
3. Administrative Capacity – Describe the monitoring and evaluation of the program operations and staff that are to be routinely carried out. Include any systems that may be used to track, capture and report performance or outcomes.
4. Fiscal Management and Reporting Capacity - Describe the fiscal system. Include:
  - the process the proposer uses or proposes to use to timely capture and report fiscal information to Charlotte Works' administrative entity.
  - the systems in place to ensure fiscal accountability and the timely and appropriate expenditure of WIOA funds.
  - how the proposer will internally track both actual and projected obligations and encumbrances.
  - the ability and method to be used to repay disallowed costs if such disallowances are identified in the monitoring or audit of the contract.

- the capacity to track expenses down to the client level either within the organization's accounting system or other proprietary software designed for that purpose.
- whether the organization has the fiscal capacity to operate under a projected draw-down scenario (WIOA funds are distributed through a process of draw-downs from USDOL and then from the state to Charlotte Works. Since this is a reimbursement process, the time from incurred expense to receipt of reimbursement may take 30 to 60 days.)

**Budget Narrative – Budgets**

Upon receiving the proposer's letter of intent, Charlotte Works will provide a budget to be completed in an Excel format. See Appendix XIII for a line-item break-down of the budget. The proposed budget should be aligned with the funding amounts outlined below.

	<b>Adult</b>	<b>Dislocated Worker</b>	<b>Total</b>
<b>Career Center Operations</b>	\$1,494,272	\$640,402	\$2,134,674
<b>*ITA/OJT/Participant Costs</b>	\$969,296	\$415,413	\$1,384,709
<b>Total Award Allocations</b>	\$2,463,568	\$1,055,815	\$3,519,383

\* As a best practice, Charlotte Works requires that at least 30% of awarded allocations on training programs through Individual Training Accounts (ITA) and On-the-Job Training (OJT) programs.

If the proposer is proposing to be reimbursed for indirect costs, the proposer must submit a copy of the approved indirect cost plan that has been approved by the federal cognizant agency for the organization for indirect costs to be considered for payment.

If the organization needs to provide details about any of the budget line items in addition to the indirect costs or profit line items, reference both the line item and program in the narrative.

For-profit proposals must include a narrative of proposed profit along with the deliverables that must be met before profit will be reimbursed to the organization. The profit may not exceed 10 percent of the total project costs. Deliverables may be reduced to smaller increments of the total in order to receive a profit payment at predetermined achievement points. If the organization plans to do this, provide the details in the narrative.

If the proposer proposes to use a direct-cost allocation plan, describe in detail the plan to be used when costs are allocable to more than one program/funding source. Identify common costs to be included in the plan. Proposers must follow the guidelines established in 2 CFR 200.

**Allowable Costs/Cost Principles** - All recipients and sub-recipients must follow the federal allowable cost principles that apply to their organizations. The USDOL regulations at 2 CFR 200 identify these federal principles for determining allowable costs.

Expenditures of WIOA funds are allowable only for those services/activities permitted by the WIOA guidelines or federal regulations. Allowable program services/activities include career and training services and supportive services.

**Cost-Reimbursement Contract** -This is a contract format that provides for the reimbursement of all allowable costs that have been identified and approved in the contract budget. It requires the proposer to maintain the documentation necessary to support the cost.

**Administrative Cost** -That portion of the contract budget that is associated with the overall management and administration of the WIOA program services and that is not directly related to the provision of services to clients.

**Cost-Allocation Plan** - A plan that identifies and distributes the cost of services provided by support staff and/or departments or functions. It is the means to substantiate and support how the costs for a program are charged to a particular cost category.

In general, to be an allowable charge to WIOA, a cost must meet the following principles:

- must be necessary and reasonable for the performance of the grant.
- must be allocable to the grant.
- must be authorized and not prohibited under federal, state or local laws or regulations.
- must receive consistent treatment by the sub-recipient.
- must be adequately documented.
- must conform to federal exclusions and limitations.

If written documentation is necessary to explain any budget line item, attach it to the Budget Summary document.

## **NCWorks Career Center Operations**

### **Delivery**

1. Provide a brief summary highlighting the proposer's vision of NCWorks Career Center operations. This may also include target clients, recruitment and planned outcomes and/or goals for the NCWorks Career Centers.
2. Describe how the organization foresees shared supervision in the NCWorks Career Centers between the proposer's staff and the Division of Workforce Solutions staff within the "functional supervision" model adopted by the state.
3. Job-seeker and employer workshops are expected to be an integral "product" through our NCWorks Career Centers. Describe the process for ensuring that a "healthy" mix of workshops is made available to meet the needs of clients on a regular basis. Describe any plans related to delivery, topics and outreach.
4. Describe the process for initially assessing universal clients' needs and directing job-seeker clients to the appropriate services.

### **B. Partnerships**

1. The Career Center operator/service provider will be a leader, collaborator and partner at area NCWorks partner meetings. Describe how this may best be accomplished.
2. Describe the organization's current level of partnership with each of the WIOA-mandated partners in its area and how this may result in increased service delivery. Identify partnerships with other organizations in Charlotte Works' Local Area that are not specifically mandated by WIOA but that may assist in meeting the goals of service delivery or system-building activities. Describe any new partnerships that the organization will prioritize during the contract period.

3. Describe instances, projects or collaborative relationships in which the organization has led or worked closely with one or more WIOA system partners or other workforce and economic development entities on cooperative workforce development projects, programs or initiatives. Include the organization's role and outcomes.

## **Adult/Dislocated Worker Services**

### **A. Program Description**

1. Provide a description of the proposed project along with projected goals/outcomes desired.
2. Describe the target population and geographic area to be served.
3. Describe the organization's past experience and results delivering services in similar projects and/or to similar populations. Include experience in coordinating services with other community entities and programs.

### **B. WIOA Adult/Dislocated Worker (Job-seeker) Services Statement of Work**

Proposals will include a Statement of Work detailing all aspects of the proposed project design including programs and services outlined in this RFP and other information deemed relevant. The Statement of Work is an in-depth description of the design of services that demonstrates how requirements will be met and describes the process for achieving the WIOA Adult/Dislocated Worker Performance Outcomes. Address in the Statement the following components:

1. Describe how the organization will manage the eligibility and enrollment process to ensure that all clients enrolled are eligible and appropriate for WIOA services. At a minimum, include information about staff training and supervision related to the eligibility and enrollment process, internal monitoring and development of Individual Employment Plans.
2. Describe how the proposer will ensure that clients who cannot be served by the proposer's program are referred to appropriate services elsewhere. Include how the proposer will ensure all referrals are tracked.
3. Describe how the proposer will serve large numbers of varying individuals. Discuss service delivery for serving individuals with barriers to include:
  - individuals with limited English proficiency,
  - people with limited literacy skills,
  - offenders and
  - highly skilled job-seekers.
4. Career services are the foundation for client-service delivery. Describe how the organization's WIOA-funded staff will provide effective and relevant career services within an integrated service delivery system.
5. Include in your plan any innovations and strategies that have been found to increase the likelihood of success for individuals and how you plan on using those strategies within the NCWorks system.
6. Describe how the organization will manage the provision of WIOA-funded training services (OJT may be addressed in the next question). Include specifics about determining individual client need for training, assisting the client to select an appropriate occupational sector, developing a comprehensive individual employment plan to include the training

services and management of the ITA process. Include details about how you will engage the client to be successful with the educational component and the transition from training to employment.

7. Work-based learning continues to be a focus in the WIOA legislation. Describe how the organization will provide paid on-the-job training including the pre-award analysis, contract development, skill-gap analysis, training-plan development, monitoring, evaluation and any additional details that demonstrate the ability to successfully offer on-the-job training. Provide any other program design ideas regarding short-term work-based learning options, other than OJT, that could result in employment.
8. Describe strategies that will ensure services are in alignment with current local and regional labor market demands.
9. Describe plans for service delivery that result in achievement of enrollment goals, performance measures and outreach and recruitment to target groups.

For proposers not currently providing adult and dislocated worker services in Mecklenburg County, describe your start-up plan and proposed transition period including a timeline of events, hiring of appropriate additional staff, staff training, start of services and other critical steps in the process toward full-scale service delivery.

## **BUSINESS SOLUTIONS**

### **A. Program Description**

1. Describe the proposed employer services and projected goals/outcomes desired.
2. Describe the target population and geographic area to be served.
3. Describe the organization's past experience and results delivering employer services. Include experience in coordinating services with other community entities and programs.

### **B. Business Solutions Statement of Work**

Proposals will include a Statement of Work detailing all aspects of the proposed project design including programs and services outlined in this RFP and other information deemed relevant. The Statement of Work is an in-depth description of the design of services that demonstrates how requirements will be met and describes the process for achieving the WIOA Performance Measures. Address in the statement the following components:

1. Describe strategies to identify the workforce development needs of employers. Include employer services or strategies that can be provided by the NCWorks system to meet business needs.
2. Describe strategies to match the hiring needs of employers with individuals who meet or exceed their minimum qualifications, thus eliminating referrals of unqualified candidates.
3. Describe outreach and collaboration that will result in successful work-based learning opportunities for WIOA clients.
4. Describe efforts to coordinate delivery of services to employers among partners. Include efforts to expand outreach that may result in increased use of the NCWorks system.
5. Describe efforts/plans that will support sector strategies.
6. Describe any plans for collaboration and innovation not yet included.

7. Describe what relationships, partnerships and community organizations are essential to your outreach efforts to reach businesses.

## **GENERAL PROVISIONS AND REQUIREMENTS**

1. This RFP does not commit Charlotte Works to award a grant.
2. Proposals must be submitted in the format set forth in the Proposal Format and Required Forms section of the RFP and adhere to the minimum requirements specified therein.
3. Formal notification to award a contract and the actual execution of a contract are subject to:
  - a. receipt of WIOA funds granted,
  - b. results of negotiations between selected proposer and Charlotte Works' administrative staff and
  - c. continued availability of WIOA funds.
4. Any changes to the WIOA program, the N.C. WIOA plan or Charlotte Works' WIOA plan may result in changes to contracting and requirements. In such instances, Charlotte Works will not be held liable for what is in the proposals proposal or this RFP package.
5. Each proposer that submits a proposal will be notified in writing of Charlotte Works' decision concerning its proposal.
6. Proposals submitted for funding consideration and programs operated must be consistent with federal WIOA legislation, all applicable federal regulations, DWS policies and issuances and Charlotte Works' policies and procedures.
7. Proposers selected for funding will ensure compliance with all applicable OMB circulars.
8. Charlotte Works may require proposers to participate in negotiations and to rewrite their proposals as agreed upon during the negotiations.
9. Additional funds received by Charlotte Works may be contracted by expanding existing programs and contracts or by consideration of proposals not initially funded under this RFP if such proposals were rated in the competitive range. These decisions shall be at the discretion of Charlotte Works' board of directors.
10. Charlotte Works may decide not to fund part or all of a proposal even though it is found to be in the competitive range if, in the its opinion, the services proposed are not needed or the costs are higher than Charlotte Works finds reasonable in relation to the overall funds available, or if past management concerns lead Charlotte Works to believe that the Career Center operator/service provider has undertaken more services than it can successfully handle.
11. If, through the negotiation process, it becomes evident that the proposer may not be able to fulfill contract expectations, Charlotte Works reserves the right not to enter into contract with the organization, regardless of Charlotte Works' approval of the proposer's proposal.
12. Charlotte Works is required to abide by all WIOA legislation and its subsequent regulations. Therefore, Charlotte Works reserves the right to modify or alter the requirements and standards as set forth in this RFP based on program requirements mandated by state or federal agencies.
13. Career Center operator/service provider will adhere to Charlotte Works' procedures to collect, verify and submit any required monthly or quarterly reports and monthly invoices to Charlotte Works.
14. Appeals by proposing organizations denied funding are limited to procedural appeals only; such appeals will be based solely on allegations of irregularities in the solicitation and awards procedure and not on the relative merit of the offers submitted. If a proposer believes to have been harmed by the violation or misapplication of procedure or regulation of this program, the proposer has the right to file a grievance. This grievance should be

filed according to the written procedures established by Charlotte Works and may be obtained by contacting Charlotte Works' President & CEO at 11301 Carmel Commons Blvd., Suite 301, Charlotte, NC 28226.

15. All Career Center operator/service providers will ensure equal opportunity to all individuals. No individual in the Charlotte Works Local Area shall be excluded from participation in, denied the benefits of, or be subjected to discrimination under any WIOA-funded program or activity because of race, color, religion, sex, national origin, age, disability or political affiliation or belief.
16. Career Center operator/service providers must accept liability for all aspects of any WIOA program conducted under contract with Charlotte Works. Career Center operator/service provider will be liable for any disallowed costs or illegal expenditures of funds or program operations conducted.
17. Reductions in the funding level of any contract resulting from this solicitation process may be considered during the contract period when a Career Center operator/service provider fails to meet expenditure, participant and/or outcome goals specified in the contract or when anticipated funding is not forthcoming from the federal or state governments.
18. Career Center operator/service providers will allow access to all WIOA records, program materials, staff and clients to local, state and federal representatives. In addition, Career Center operator/service providers are required to maintain all WIOA records for five years from the last day of each program year.

## **Proposal Review and Evaluation Criteria**

**Evaluation Criteria** - In selecting one or more proposers as the Career Center operator/service provider working in the local NCWorks Career Centers for adult and dislocated worker services, primary consideration will be given to the demonstrated effectiveness of the proposer's delivery of comparable services, overall quality of proposed plan of services, the likelihood of meeting or exceeding federal Common Measures and cost. Consideration will be given to a strong record of integrity, business ethics, fiscal management and accountability, staff qualifications and technical skills to perform the work and the ability of the proposer to meet service-delivery requirements at a reasonable cost.

The following criteria will be used to conduct the technical evaluations of each proposal and to make a determination of overall quality and cost effectiveness:

- proposer qualifications and past performance,
- proposer's organizational capability,
- quality of proposed plans to provide Career Center services,
- quality of proposed plans to achieve service levels and outcomes and
- reasonableness and competitiveness of proposed costs.

# **2019 Request For Proposal Appendix**

# APPENDIX I

## SUGGESTED FORMAT FOR LETTER OF INTENT

Name and Address of Organization Intending to Submit a Proposal

Date:

Ms. Danielle Frazier, President & CEO  
Charlotte Works  
11301 Carmel Commons Blvd., Suite 301  
Charlotte, NC 28226

Dear Ms. Frazier:

This letter indicates our intent to submit a proposal in response to the Charlotte Works Request for Proposal (RFP) for Workforce Innovation and Opportunity Act (WIOA) Title I – Adult and Dislocated Worker Program funds.

We recognize that this is a non-binding letter of intent. We also understand that the WIOA Title I Adult Program will operate from July 1, 2019, to June 30, 2020.

Sincerely,

## APPENDIX II

### PY 2019 WIOA RESPONSE PACKAGE COVER SHEET

Organization Name:

Street Address:

Mailing Address:

Contact Person(s):

Title(s) of Contact Person(s):

Telephone Number(s):

Fax Number(s):

E-Mail(s):

Federal ID#:

Requested Funding:

Check the box that most appropriately describes your organization

- Unit of local government     Private nonprofit organization  
 For-profit organization     Other

Summary of Proposed Budget

COST OBJECTIVES/CATEGORIES	AMOUNT
<b>TOTAL COST OF PROPOSED PROGRAM</b>	
Total Number of Proposed Training Slots	
Cost Per Training Slot	

Are funds from other funding sources being requested in order to implement this proposed WIOA program?

Yes  No

If the answer to the above question is yes, complete the following information to indicate sources, amounts and expected dates of funding approval. Provide an explanation of how the other funding source will be used in the WIOA program.

OTHER EXPECTED FUNDING SOURCES	EXPECTED AMOUNT	EXPECTED DATE OF APPROVAL

<b>TOTAL OTHER FUNDS EXPECTED</b>		
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CERTIFICATION: I certify that the information contained in this proposal fairly represents this organization and its operating plans and budget necessary to conduct the proposed NCWorks Career Center operations, employment, training and services program activities described herein. I acknowledge that I have read and understand the requirements of the RFP and that this organization is prepared to implement the proposed activities as described herein. I further certify that I am authorized to sign this proposal and any contractual agreement emanating there from on behalf of the organization submitting the proposal.

\_\_\_\_\_ / \_\_\_\_\_

(SIGNATURE and DATE of Signatory Official)

Date

\_\_\_\_\_ / \_\_\_\_\_

(Typed or Printed NAME and JOB TITLE of Signatory Official)

Date

Complete a separate form for each activity marked with YES (Career Center Operations, Adult/Dislocated Worker and Employer Services).

## APPENDIX III

### PROGRAM AND FINANCIAL MANAGEMENT

**Instructions:** Complete the following section. Areas that address compliance issues must identify the appropriate member of the organization's staff who will be responsible for compliance. Add any necessary clarification.

- Equal Employment Opportunity (EEO):

Name of EEO officer

Position title

Phone number

- Internal Program Management and Monitoring Procedures:

Staff name

Email

Phone number

- Invoicing and Financial Reporting:

Staff name

Email

Phone number

- Requirements for Depository Accounts Holding WIOA Funds:

Name of institution(s)

Is this account interest-bearing?

- Property Management Requirements:

Staff name

Email

Phone number

## APPENDIX IV

### ASSURANCES AND CERTIFICATION

As an organization requesting WIOA funding, we assure and certify that our agency will comply with the following provisions:

1. It will exclusively use the statewide/regional brand name for the statewide and Charlotte Works workforce development systems in lieu of traditional workforce development language and organizational names in the marketing and delivery of services and programs.
2. It will consistently identify individual programs and activities in user-friendly terms, rather than bureaucratic lingo.
3. It will designate appropriate job titles for staff who work with WIOA clients and detailed job descriptions will be available for each job title. These job titles will consistently be used with external clients.
4. It will maintain client files according to Local Area policies and guidance and adhere to data validation expectations.
5. It will not place clients in WIOA-subsidized work settings which are designed to provide maintenance to the employers' place of business.
6. It will fully comply with the requirements of the WIOA, all federal regulations issued pursuant to the Act, the North Carolina Strategic Plan, Charlotte Works' Strategic Plan, Chief Elected Official, Charlotte Works' Workforce Development Area and DWS.
7. It will administer the program in full compliance with safeguards against fraud and abuse as set forth in the law and regulations; that no portion of its program will in any way discriminate against, deny benefits or employment to or exclude from participation any person on the grounds of race, color, national origin, religion, age, sex, disability, sexual orientation or political affiliation or any other non-relevant factor.
8. It will house all Career Center operator/service provider staff at the Career Centers to the greatest extent possible for which it receives a contract and will accept all associated workforce roles and responsibilities.
9. It will operate the program in full compliance with health and safety standards established under state and federal law and that conditions of employment and training will be appropriate and reasonable in light of such factors as the type of work, geographical area and proficiency of the clients.
10. Ineligible applicants will be referred to other appropriate services including career services available at the Career Center.
11. Other resources will be exhausted prior to using WIOA funds.
12. All clients employed through the program who are not covered under state workers' compensation laws and all clients enrolled in classroom training will be provided with adequate on-site medical/accident insurance.
13. All WIOA clients participating in on-the-job training activities or individuals employed in other activities under WIOA be compensated at the same rates, including periodic increases and working conditions, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience and

- skills and that such rates shall be accordance with applicable law. In no event shall the wage be less than the applicable state or local minimum wage law.
14. No client will be employed to fill a job opening when any other person is on layoff from the same or equivalent job, or when the employer terminates the employment of any regular employee or otherwise reduces its workforce with the intention of filling vacancies with WIOA participants.
  15. No WIOA funds will be used for contributions on behalf of any clients to retirement systems or plans; to impair existing contracts for services for collective bargaining agreements; to assist, promote or deter union activities; or to displace any currently employed worker.
  16. Reports to Charlotte Works or its staff will be provided in a timely fashion as requested.
  17. All client information will be keyed into the client management information system, NCWorks Online, in accordance with state and local policy, both in terms of content and timeframe expectations.
  18. Eligibility verification will be completed and documented in accordance with federal, state and local policy.
  19. Client loans will not be made from WIOA funds.
  20. Project costs will not exceed the amount agreed upon during contract negotiations and included in contracts.
  21. Coordinate training site visits by Charlotte Works staff and Charlotte Works board of directors members on request and will fully cooperate with monitoring reviews and other site visits by any representative of the WIOA.
  22. In carrying out the contract, refrain from activities involving either actual or the appearance of conflict of interest according to N.C. General Statutes and Charlotte Works' conflict-of-interest policy.
  23. Adhere to the North Carolina records retention policy and all WIOA financial and programmatic records (including client files) will be maintained by each Career Center operator/service provider for a minimum of five years from the date the program year audit is completed.
  24. Will have an annual single audit performed in accordance with current federal regulations and, upon receipt of completed audit, submit a copy to Charlotte Works within 30 days unless a longer period is agreed.
  25. Will comply with Title VI of the Civil Rights Act of 1964 (PL 88-352).
  26. Will comply with the nepotism provisions as they relate to federally funded programs.
  27. Will comply with the Immigration Reform and Control Act of 1986 by completing and maintaining on file an I-9 form for each client receiving WIOA wages.
  28. Will comply with the Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (PL 91-646) that requires fair and equitable treatment of persons displaced as a result of federally assisted programs.
  29. The organization is not debarred, suspended, proposed for debarment or declared ineligible from participation in this project.
  30. Does not use federal funds for lobbying purposes. If lobbying has occurred using funds other than federal funds, the Career Center operator/service provider agrees to file a disclosure report if applicable.
  31. For grants, contracts and sub-contracts in excess of \$100,000, or where DWS has determined that orders under an indefinite quantity agreement in any year will exceed \$100,000, or if a facility to be used has been the subject of a conviction under the Clean Air Act (42 USC 1319 (c)) and is listed by the United States Environmental Protection Agency (USEPA) or is not otherwise exempt, the Career Center operator/service provider assures that (1) no facility to be utilized in the performance of the proposed grant is on the EPA List

of Violating Facilities; and (2) prior to award, it will notify DWS of the receipt of any communication from the director of federal activities, USEPA, indicating that a facility to be used for a contract is under consideration to be listed.

32. No funds will be used to develop or implement education curricula for school systems in the state.
33. No WIOA funding will be used for sectarian activities and that employees paid from WIOA funds will not participate in sectarian religious activities in the execution of their job duties.
34. No WIOA funds will be used to encourage or induce the relocation of a business.
35. No WIOA funds will be used for customized or skill training and related activities after the relocation of a business until after 120 days.
36. No WIOA funds will be used for foreign travel.
37. No WIOA funds will be used to duplicate services available in the area.
38. Clients will not be charged fees for placements or referrals.
39. No WIOA financial assistance will be provided to any program that involves political activities and the Career Center operator/service provider agrees to comply with the provisions of the Hatch Act that limits the political activity of certain state and local government employees and enrollees in federally funded programs.
40. All WIOA clients and WIOA funded staff are aware of grievance procedures and the Career Center operator/service provider assures and certifies that the Career Center operator/service provider has in place an established grievance procedure to be used for grievances or complaints about its program and activities from clients/enrollees, sub-grantees and other interested parties.
41. The Career Center operator/service provider will comply with N.C. General Statutes that prohibit public officials and employees from having a personal interest in any contract to which s/he is also a party in an official capacity.
42. The Career Center operator/service provider assures and certifies that it will comply with applicable provisions of the following laws as they relate to employment and training procedures:

The Drug Free Workplace Act The Immigration Reform Act The American's with Disabilities Act	The Davis-Bacon Act Child Labor Laws The Fair Labor Standards Act
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This is to certify that all specifications contained in Charlotte Works's RFP have been read, understood and addressed in the proposal; the required format has been followed; all of the information contained in this proposal is true and correct; the Career Center operator/service provider will comply with all of the above assurances; and this proposal has been duly authorized by the governing body of the Career Center operator/service provider.

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

# APPENDIX V

## STATEMENT OF COMPLIANCE

I hereby certify:

1. The proposer is duly approved to submit this application requesting funding under the WIOA.
2. The proposer does hereby agree to execute all work related to this application in accordance with the WIOA grant, DWS policies, Charlotte Works' policies and guidelines and other administrative requirements issued by the governor of North Carolina. The proposer shall notify Charlotte Works within 30 calendar days after issuance of any amended directives if it cannot so comply with the amendments.
3. The proposer will ensure special efforts to prevent fraud and other program abuses, such as but not limited to deceitful practices, intentional misconduct, willful misrepresentation and improper conduct which may or may not be fraudulent in nature.
4. The contents of the application are truthful and accurate and the above named organization agrees to comply with the policies stated in this application.
5. This application represents a firm request subject only to mutually agreeable negotiations.
6. The proposer is in agreement that Charlotte Works reserves the right to accept or reject any proposal for funding.
7. The proposer has not been debarred or suspended from receiving federal grants, contracts or assistance; and that if awarded a contract for the service, assures that no sub-contracts, grants or assistance will be made or permitted to any debarred or suspended organization as provided under Executive Order 12549.
8. The above-named proposer waives any right to claims against the members and staff of Charlotte Works and the Charlotte Regional Workforce Consortium in their individual capacities.

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Organization (proposer)

---

Authorized Representative Signature  
Name/Date

Notary

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Typed Name/Title

Affix Notary Seal

## APPENDIX VI

### CERTIFICATE REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY and VOLUNTARY EXCLUSION

#### Lower Tier Covered Transactions

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).

(BEFORE COMPLETING THE CERTIFICATION, READ THE ATTACHED INSTRUCTIONS THAT ARE AN INTEGRAL PART OF THE CERTIFICATION)

1. The prospective recipient of federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.
2. Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective recipient will attach an explanation to this proposal.

---

Organization (proposer)

---

Authorized Representative Signature  
Name/Date

Notary

---

Typed Name/Title

Affix Notary Seal

## **INSTRUCTIONS FOR CERTIFICATION - LOWER TIER TRANSACTIONS**

By signing and submitting this proposal, the prospective recipient of federal assistance funds is providing the certification as set forth below:

- The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the USDOL may pursue available remedies including suspension and/or debarment.
- The prospective recipient of federal assistance funds will provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective recipient of federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- The prospective recipient of federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it will not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible or voluntarily excluded from participation in this covered transaction unless authorized by the USDOL.
- The prospective recipient of federal assistance funds further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- The prospective recipient of federal assistance funds in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended or voluntarily excluded from the covered transaction unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Procurement or Non-procurement Programs.
- Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible or voluntarily excluded from participation in this transaction, in addition to other remedies available to the federal government, the USDOL may pursue available remedies including suspension and/or debarment.

# APPENDIX VII

## DRUG-FREE WORKPLACE CERTIFICATION

**Organization:** \_\_\_\_\_

The organization hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named organization will:

1. publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the organization's workplace and specifying actions that will be taken against employees for violations of the drug-free workplace policy.
2. establish a drug-free awareness program as required by Government Code Section 8355(b) to inform employees about:
  - a. the dangers of drug abuse in the workplace,
  - b. the person's or organization's policy of maintaining a drug-free workplace,
  - c. any available counseling, rehabilitation and employee-assistance programs and
  - d. penalties that may be imposed upon employees for drug-abuse violations.
3. provide as required by Government Code Section 8355(c) that every employee who works on the proposed contract or grant:
  - a. will receive a copy of the organization's drug-free policy statement and
  - b. will agree to abide by the terms of the organization's statement as a condition of employment on the contract.

### Certification

This is to certify that all specifications contained in the Drug-Free Workplace certification have been read and understood, that the organization will comply with all of the above and that this certification has been duly authorized by the governing body of the operator organization.

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**Signature of Authorized Representative**

**Date**

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**Name**

**Title**

## APPENDIX VIII

### JOB DESCRIPTIONS

Using this format, complete a separate job description for each position/job classification for additional hired staff outside of existing Charlotte Works' staff that will provide WIOA services under the terms of this agreement whether funded in full, in part or not at all with WIOA funds from this program. Identify:

1. Job title and program
2. Actual job duties or tasks to be performed in relation to the above-named WIOA program and job title (or attach job description).
3. Minimum education, experience and qualifications of the person to perform the above job duties.
4. The anticipated amount of time this staff person will provide WIOA-funded services:
  - a. \_\_\_\_\_ hours per day
  - b. \_\_\_\_\_ hours per week
  - c. \_\_\_\_\_ office location(s)
5. The anticipated amount of time this staff person will provide WIOA-funded services:
  - a. \_\_\_\_\_ Adult
  - b. \_\_\_\_\_ Dislocated Workers
  - c. \_\_\_\_\_ business services
  - d. \_\_\_\_\_ office location(s)
6. Immediate Supervisor: (If position needs to be filled, indicate this.)
7. Other sections/departments with the organization that the staff person(s) assigned to this position may work in. Include a description.

## For Proposer Review Only

### Appendix IX

#### PROPOSAL REVIEW AND EVALUATION CRITERIA

##### **A. Proposal Evaluation Process**

The intent of the evaluation process is to certify that each proposal received meets the basic requirements and to determine the quality of each proposal. A Proposal Review Panel consisting of Charlotte Works' board members and staff will review and evaluate competitive proposals. This shall include a comprehensive review of all proposals received.

##### **B. Proposal Question and Answer (Q & A) Session**

As a part of the proposal review and selection process, the top three to five respondents may be asked to meet with the Proposal Review Panel to briefly discuss their proposals, answer questions about their proposals (including budget details) and/or provide additional information about the proposers. Charlotte Works' staff will contact proposers to schedule the time and location for these Q&A sessions.

##### **C. Evaluation Factors and Proposal Rating Criteria**

A primary consideration in selecting an organization(s) to deliver WIOA Adult and Dislocated Worker services shall be the effectiveness of the proposer in delivering comparable services based on demonstrated performance in terms of the likelihood of meeting or exceeding federal adult common measures, cost and overall quality of services. Consideration will be given to a strong record of integrity, business ethics and fiscal management and accountability; the staff qualifications/professional and technical skills to perform the work; the ability of the proposer to meet service-delivery requirements at a reasonable cost; and demonstrated collaboration and leveraging of resources.

Charlotte Works will use the following criteria to conduct the technical evaluations of each competitive proposal to determine overall quality and cost-effectiveness:

- probable program effectiveness;
- proposer qualifications;
- projected budget;
- RFP responsiveness;
- program design;
- services directed to priority needs and populations;
- innovation and collaboration;
- planned outcomes; and
- past program performance.

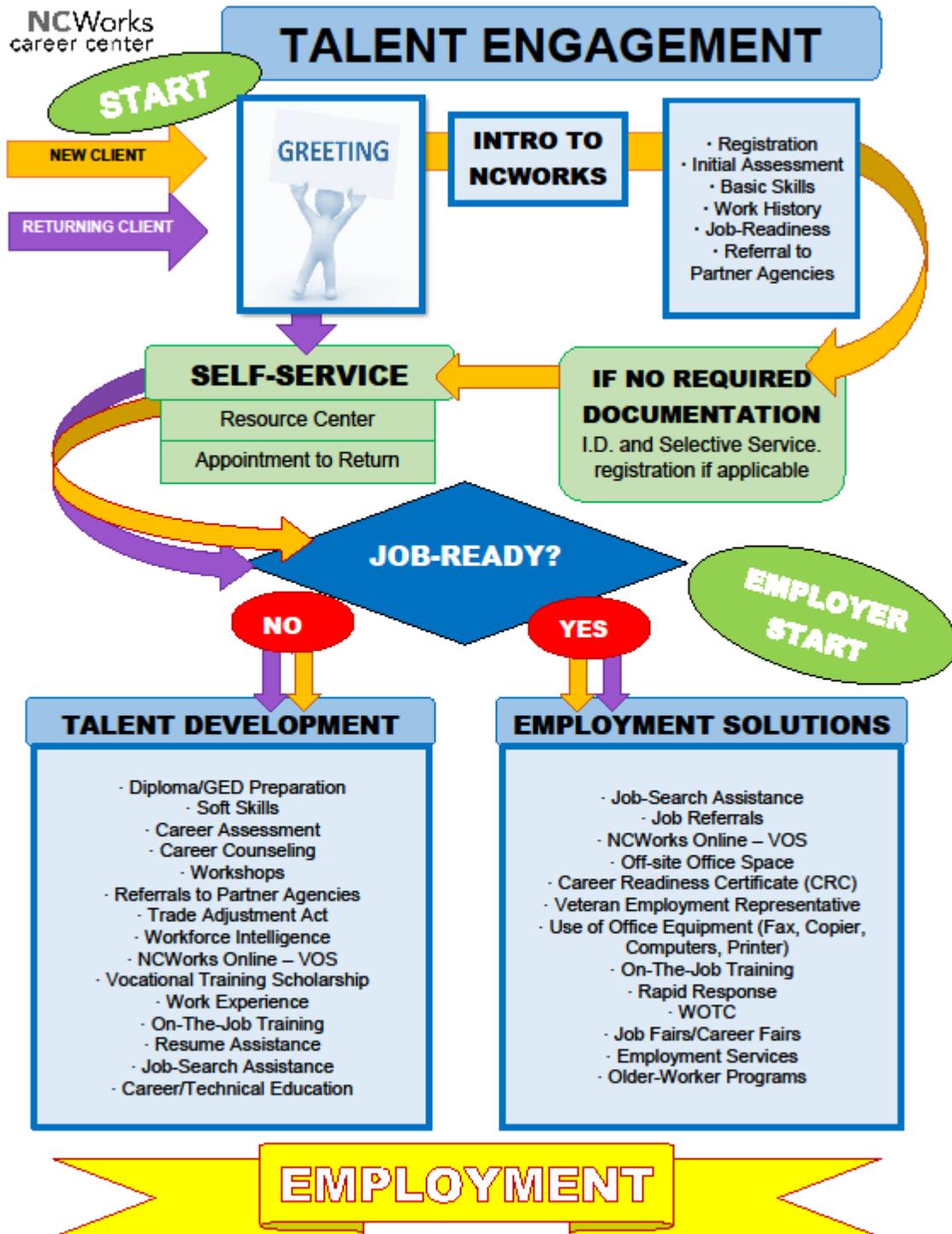
## APPENDIX X

### Charlotte Works Career Centers

<b>Career Center Name, Street Address, City, County, State, Zip Code, Host Facility and Hours of Operation</b>
NCWorks Career Center 5601 Executive Center Dr., Ste. 100 Charlotte, NC 28212 Mecklenburg County Division of Workforce Solutions Hours of Operation Monday - Thursday 8 a.m. – 4:30 p.m. Friday 8 a.m. – 2 p.m.
NCWorks Career Center 7140 Forest Point Blvd., Ste. A Charlotte, NC 28217 Mecklenburg County Division of Workforce Solutions Hours of Operation Monday - Thursday 8 a.m. – 4:30 p.m. Friday 8 a.m. – 2 p.m.

CARE3 sites are collaborations with targeted community partners to extend Charlotte Works' resources within local neighborhoods and faith-based organizations so that communication, transportation and other barriers to employment are reduced or eliminated. CARE3 sites are not NCWorks Career Centers but are an extension of workforce development services for clients in the community. Each site is equipped with computers, software and volunteers that offer clients convenient access to resources needed to become more employable and to find work. Charlotte Works requires that CARE3 sites be mandatory partners of the NCWorks Career Centers and are maintained by Charlotte Works. Charlotte Works/NCWorks currently has NCWorks Career Advisors located at community partner agencies on a full-time and part-time schedule. The operator/service provider will be required to continue these partnerships, as well as others, under the guidance and direction of Charlotte Works.

# APPENDIX XI



## APPENDIX XII

	Budget Summary	
	Workforce Innovation and Opportunity Act	
Contractor: Provider		
<b>Description</b>	<b>Line item #</b>	<b>Line Item Total</b>
Staff Salaries	0844-1	
Staff Fringe Benefits	0844-2	
Staff Travel	0844-3	
Staff Training	0844-4	
Advertising and public relations	1844	
Materials, supplies and postage	1843	
Inurance	1846	
Ocupancy Costs - Lease & utilities	845	
Equipment <\$500 and Equip repairs and maintenance	1847	
Communications	1848	
Subscriptions and Dues	1849	
Management fee	1850	
Professional fees	851	
Indirect costs	1851	
Internship & Work Experiiece wages	1841-1	
Participant fringe benefits	1841-2	
Participant supportive services	1841-3	
Individual training accounts/scholarsh	1841-4	
<b>Total Budget</b>		