

SBWIB, Inc.

11539 Hawthorne Blvd., Suite 500
Hawthorne, CA 90250

Request for Quote for Audit Services **EXTENDED SUBMISSION**

Release Date:	Monday, July 17, 2023
Deadline for Submission: Extended Date:	Thursday, August 10, 2023 Monday, September 11, 2023 (12:00 p.m. PST)
Technical Assistance: South Bay Workforce Investment Board (SBWIB) – via Zoom conference	Wednesday, July 26, 2023 (11:00 a.m. – 12:00 p.m. PST)
<p style="text-align: center;">For More Information:</p> <p style="text-align: center;">Justina Munoz, Procurement Manager jmunoz@sbwib.org or Tudorita Giulea, Finance Manager tgiulea@sbwib.org (310) 970-7700</p>	

An equal opportunity employer/program.
Auxiliary aides are available upon request to individuals with disabilities.

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SECTION I - GENERAL INFORMATION

A. Background

The South Bay Workforce Investment Board (SBWIB), established in 2000 as a 501(c) 3 non-profit corporation, comprised of 51 members representing business, labor, education, economic development, and other local workforce system stakeholders. The SBWIB provides administration and oversight of state and federally-funded job training and employment service programs including the Workforce Innovation and Opportunity Act (WIOA) to eleven (11) cities located in southwest Los Angeles County, including Hawthorne, Inglewood, Gardena, Carson, Lawndale, El Segundo, Manhattan Beach, Redondo Beach, Hermosa Beach, Torrance and, Lomita. The SBWIB embraces comprehensive strategies to meet the needs of business for a skilled workforce while creating opportunities for workers to prepare for and enter into well-paid careers. SBWIB programs are implemented through four One-Stop Business & Career Centers.

The SBWIB is issuing this Request for Quote (RFQ) to interested and qualified Offerors with experience in conducting Audit Services of Workforce Innovation and Opportunity Act (WIOA) programs and/or related Federal awards in accordance with Generally Accepted Government Accounting Standards (GAGAS). The SBWIB, Inc. also receives non-federal awards from various funding sources which will also be part of the scope of the audit. The Offeror must be a licensed certified public accountant or a public accounting firm and meets the standards of the Government Accounting Office Standards for audit of non-profit governmental organization. The purpose of this request is to procure a qualified provider for one year with the annual option to extend the agreement up to four (4) additional one-year periods based on need, performance, and funding availability. The period of performance for the initial agreement to be awarded is twelve (12) months beginning October 1, 2023, and ending September 30, 2024.

B. Purpose of Solicitation

SBWIB is soliciting quotes using a competitive bid process from qualified accounting firms to furnish audit services on various federal awards, including WIOA, and other non-federal funding sources. SBWIB, Inc. serves as both the grant recipient and administrative entity for WIOA and other federal and state job training funds for the South Bay Workforce Investment Area (SBWIA) which includes the cities of Inglewood, Hawthorne, Gardena, Lawndale, Carson, El Segundo, Torrance, Lomita, Redondo Beach, Hermosa Beach, and Manhattan Beach. SBWIB, Inc. intends to contract with an independent public accounting firm to perform an audit of SBWIB, Inc.'s financial statements, a Single Audit in conformance with the Single Audit Act of 1984, the Single Audit Act Amendments of 1996 (including the U.S. Office of Management and Budget (OMB) Circular A-133 Compliance Supplement), and "Uniform Administrative Requirements, Cost Principles, and Audit for Federal Awards; Final Rule (Uniform Guidance), to provide general ledger accounting technical assistance, and to prepare tax returns.

The Single Audit Act and its Amendments require that SBWIB, Inc. have independent financial and compliance audits of its Federal funds performed annually. The period of performance for the audit services will be July 1, 2022, through June 30, 2023, with the Single Audit and tax preparation for fiscal year ending June 30, 2023, and technical assistance provided during the contract.

SBWIB, Inc. currently has an internal operating budget of approximately \$11 million, a direct

program support budget of \$21.3 and contracts budget of \$1.7 million. There are seventy (70) operating grants, thirty-five (35) of which are Federal awards, and provide 93% of SBWIB, Inc.'s funding. A listing of specific grants and funding amount can be requested from the Finance Manager.

- C. **Deadline for Submission of Quotes:** The deadline for submission of quotes is **Monday, September 11, 2023, by 12.00 p.m. Pacific Standard Time (PST)**. No exceptions to the submission conditions of the quote will be extended; the quote must be submitted as noted below. **Overnight and hand deliveries** must meet the same deadline for submission. Quotes that do not meet the conditions set forth in this notice will not be considered. Facsimile (FAX) will not be accepted, however due to the timeline, a **PDF version** of the quote will be accepted via email and should be addressed to: jmunoz@sbwib.org. Quotes may be delivered in person or by mail at the address indicated on the SBWIB cover page. Quotes must be **received, not postmarked, by 12:00 p.m. (PST) on September 11, 2023**. Quotes received after that time and date will be rejected.

D. **RFQ Schedule and Timeline:**

Beginning July 17, 2023, the RFQ will be available to download from SBWIB's website <http://www.sbwib.org>. If you are unable to download the RFQ please contact:

Justina Munoz, Procurement Manager
 Email: jmunoz@sbwib.org
 Phone: (310) 970-7700

Timeline:

<u>Activity</u>	<u>Date</u>
Release RFQ	July 17, 2023
Last Date to Submit Questions	July 25, 2023
Technical Assistance Q&A (via Zoom)	July 26, 2023
Time: 11:00 am – 12:00 pm (PST)	
RFQ Due by 12:00 p.m. (PST)	September 11, 2023
SBWIB, Inc. Staff's Recommendations	September 13, 2023
SBWIB Executive Committee Approval	September 14, 2023
Negotiation for Agreement	September 14-30, 2023

E. **Technical Assistance:**

SBWIB, Inc. will accept questions submitted via electronic mail to Tudorita Giulea at tgiulea@sbwib.org, Finance Manager **not later than 2:00 p.m. (PST) on Friday, September 8, 2023**. ~~SBWIB, Inc. will hold a technical assistance conference call via Zoom on Wednesday, July 25, 2023, at 11:00 a.m. (PST).~~ Offerors are required to contact Justina Munoz by email to register for the conference call and receive the meeting invitation (meeting link and/or telephone number). Please send registration intent to: jmunoz@sbwib.org and indicate **Technical Assistance Call Registration** in the subject line.

If any corrections are noted or questions were posed during the technical assistance call, an Addendum to the RFQ will be issued and reposted to the website at www.sbwib.org as well as a list of available Q&A responses. The Addendum may be emailed to the proposing

entities in attendance at the conference. No Addendum will be released if there are no corrections to the RFQ and/or no questions submitted.

SBWIB/SBWIB, Inc. Board Members, staff, or associated parties are precluded from entertaining any questions concerning this solicitation or this procurement outside the confines of the technical assistance outlined above.

SECTION II - ADMINISTRATION

A. Eligible Offerors:

SBWIB, Inc. intends to contract with an independent public accounting firm to perform and audit of SBWIB, Inc.'s financial statements, A Single Audit in conformance with the Single Audit Act of 1984, the Single Audit Act Amendments 1996 (Including the US. Office of Management and Budget (OMB) Circular A-133 Compliance Supplements), and "Uniform Administrative Requirements, Cost, Principles, and Audit Requirements for Federal Awards; Final Rule" (Uniform Guidance), to provide general ledger accounting technical assistance, and to prepare tax returns. The Offeror must be a licensed certified public accountant or a public accounting firm licensed in the State of California and meet generally accepted auditing standards (GAAP). SBWIB, Inc. encourages quotes from small businesses, minority-owned firms, and women's business enterprises.

In accordance with Department of Labor (DOL) regulations at 29 CFR Part 98, SBWIB, Inc. is prohibited from awarding funds to any party debarred, suspended, or otherwise excluded from or ineligible for participation in federal assistance program

B. Qualifications:

Offeror must possess the following qualifications:

1. Knowledge of the state, federal, and local workforce development system and legislation to include all applicable federal statutes, regulations, policies and guidance.
2. Knowledge and experience in performing governmental/non-profits audits.
3. Financial Audit Services must be in accordance with:
 - Generally Accepted Auditing Standards (GAAS)
 - Government auditing standards issued by the Comptroller General of the United States (Yellow Book)
 - 2 CFR, Part Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Final Rule (Uniform Guidance)
 - Provisions of the Single Audit Act of 1984, as amended July 1996; 31 U.S.C., Chapter 75; OMB Circular A-133
 - OMB Compliance Supplements
 - OMB Circular A-133
4. The lead auditor(s) must be a Certified Public Accountant (CPA) with at least five (5) years of experience in fund accounting and government funded grant programs.
5. The lead auditor(s) must be onsite for the majority of the field work. Assigned staff must have an accounting degree and at least two (2) years of experience in auditing.

C. Contractual Term and Method of Payment:

1. SBWIB, Inc. will contract for the provision of financial audit services on, or about October 1, 2023, for the first year period. SBWIB, Inc. may, at its sole discretion, opt annually to extend the term of the contract each year thereafter and up to three (3) additional one-year periods. In no event shall the total term of a contract extend beyond 48 months. SBWIB, Inc. reserved the right to terminate this contract each year, or earlier based on performance and SBWIB, Inc. satisfaction with the services provided.
2. Contracts will be issued on an annual basis and may be terminated by either party upon thirty (30) days written notice.
3. The contract is not assignable by the selected auditor, whether in whole or in part, without the written consent of SBWIB, Inc.
4. SBWIB, Inc. shall pay a flat fee for performing each audit. This fee is to include all of the expenses for labor, communications, travel and other miscellaneous costs to be incurred in the performance of the audit service.
5. Full payments will be made when SBWIB, Inc. has determined that the total work effort has been satisfactorily completed. Should SBWIB, Inc. reject a report, SBWIB, Inc.'s authorized representative will notify the selected auditor in writing of such rejection, giving the reasons. The right to reject a report shall extend throughout the term of the audit contract and for ninety (90) days after the Offeror submits the final report and invoice for payment.

SECTION III - SCOPE OF AUDIT

A. Audit Standards:

- The Single Audit must be conducted in accordance with the Workforce Innovation and Opportunity Act (P.L. 113-128), 20CFR 652, the Single Audit Act of 1984, the Single Audit Act Amendments of 1996, Generally Accepted Government Auditing Standards, and the U.S. Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments and Non-Profits Organizations and Compliance Supplements to OMB A-133 and Uniform Guidance.
- The Single Audit must be a financial, compliance and internal controls audit, which covers the administrative entity and a selection of its sub-recipients/contractors. For the purpose of this audit, the Offeror must have experience in conducting Government Nonprofit 501(c)(3) financial and OMB A-133 compliance audit, with an emphasis on internal controls and WIA regulations.
- The Single Audit will cover federal expenditures, including but not limited to WIOA, incurred by the SBWIB, Inc. and a selection its sub-recipients/contractors during the period July 1, 2022, through June 30, 2023.
- The Single Audit will be subject to a monitoring review by the Department of Labor Employment and Training Administration and the State of California Employment Development Audit Division to provide reasonable assurance of conformance with audit contract conditions.
- Upon request, the auditor will make available to SBWIB, Inc. or its authorized agent all working papers and documents as they relate to the audit.

B. Auditor Responsibilities:

- The selected auditor will provide the SBWIB, Inc. with the date and time of the entrance conference to discuss the requirements, reports, documentation, and timelines.
- SBWIB, Inc. staff shall be available to answer questions, locate documents, and assist in preparing letters, schedules, and work papers. The extent of staff's assistance shall be discussed during the entrance conference.
- The auditor shall conduct an audit of the basic financial statements of the entity, each major fund and the remaining aggregate fund information in accordance with U.S. generally accepted auditing standards and the standards applicable to financial audits contained in Government Auditing Standards.
- The auditor will perform audit of the Financial Statements of the SBWIB, Inc. as of **June 30, 2023**, and the related statements of activities and change in net assets, and cash flow for the year then ended. The draft audit report of the Financial Statements is due by **December 15, 2023**, and the final audit report is due not later than **December 31, 2023**.
- The auditor shall conduct the financial, compliance and internal controls audit under the Single Audit Act requirements and provide a draft report to the SBWIB, Inc. for review and comment by **December 15, 2023**. The final report will be issued, subsequent to a review of any responses provided by the SBWIB, Inc. no later than **December 15, 2023**.
- The auditor's duties will also include preparation of IRS 990, Return of Organization Exempt from Income Tax and CA Form 199, California Exempt Organization Annual Information Return which are due on by **February 15, 2024**; and other related services that are not currently known, but may be required throughout
- The Single Audit will cover federal expenditures, including but not limited to WIOA, incurred by the SBWIB and a selection of its sub-recipients/contractors during the period **July 1, 2022, through June 30, 2023**. The Single Audit report is **due prior to December 31, 2023**.
- All work papers must be made available for examination by authorized representatives of the U.S. Department of Labor (DOL), State of California Employment Development Department (EDD), SBWIB, Inc., and any other funding agency of enforcement.
- The auditor will conduct the audit in accordance with auditing standards generally accepted in the United States and will include test of SBWIB, Inc. accounting records and other procedures Auditor consider necessary to enable them to express such an opinion.
- The auditor's procedures will include tests of documentary evidence supporting the transactions recorded in the accounts, test of the physical existence of inventories, and direct confirmation of receivable and payable and certain other assets and liabilities by correspondence with selected customers, creditors and financial institutions.
- The auditor will review the effectiveness of the internal control structure including control over federal awards and compliance with the terms and conditions of federal grant other related agreements.
- Two (2) hard bound copies and a PDF version of the final SBWIB, Inc. audit report which will be submitted to SBWIB, Inc. Reports should be submitted within thirty (30) days of audit work completion.
- The auditor shall provide general ledger accounting technical assistance during the course of the Single Audit, between the time of the draft and final reports. A review of the invoicing process, internal controls, accounting entries and allocation methodology should result in specific recommendations for compliance with the OMB Circular A-133, the OMB A-133 Compliance Supplement, and Uniform Guidance.
- The auditor will provide the SBWIB, Inc. with an exit conference to discuss any audit findings and responses prior to issuance of the final audit report.

- The auditor will submit the Single Audit and Management Letter addressed to the Board of Directors to the Department of Labor Employment and Training Administration, the State of California's Controllers office and the South Bay Workforce Investment Board financial offices.

SECTION IV - INSTRUCTIONS FOR SUBMITTING QUOTE

The Offeror must clearly demonstrate their ability to provide the requested services. In order to simplify the review process and obtain the maximum degree of comparison the quote must be organized as follows:

A. Submission:

Submission of Quotes does not guarantee that a quote will be funded. Offerors seeking funding must submit a complete quote package. All questions must be answered, and all forms must be completed in order to be considered for funding. If the question is not applicable, state "not applicable" and briefly explain why you think it does not apply.

B. Order of Submission:

Quote must be submitted in the following order:

- Request for Quote Cover Page (Attachment A)
- Narrative Response (maximum 20 pages)
- Peer Review
- Audit Services Budget (Attachment B)
- Signed Certifications and Assurances (Attachment C1-H)

C. Formatting Requirements:

All Quotes must be limited to the following prescribed information and be submitted in an 8 ½ x 11 format. Pages are to be numbered sequentially, with the exception of the cover page and the font size must be 12pt. either Times New Roman or Arial. Quotes shall not exceed twenty (20) single-sided pages in length (double-sided pages count as two pages). This page limit does not include cover page, divider sheets, resumes or required forms.

D. Authorized Signature

An individual authorized to bind the Offeror shall sign all quote documents. The quote cover sheet shall provide the name, title, address and telephone number of individual(s) with authority to negotiate and execute the contract. Verification of authority may be required.

E. Copies Required (Electronic Copy acceptable):

Offerors must submit **one (1) original unbounded** with all executed (i.e., original signatures) narrative responses and attachments, plus **three (3) exact copies**. **The cover page must be stamped/typed to indicate "Original". In total you will submit four (4) quotes.**

Any quote lacking the required number of copies **may** be ruled non-responsive and **may** not be considered under this procurement.

Electronic copies sent via email is also acceptable, however, all signature pages must

be in full color (blue preferred). The electronic file should be addressed to: jmunoz@sbwib.org. SBWIB's staff will not copy, complete, organize or otherwise change any quote submitted in person or delivered in response to this solicitation. **Electronic submissions will be printed in as received.**

Quotes accepted as responsive will be reviewed only as originally submitted by the deadline. Upon receipt by the SBWIB any and all quote will become the property of SBWIB.

F. Narrative Response

Offeror are responsible for familiarity with all applicable regulations and applying them in developing the RFQ response. Offeror selected will be required to assume full responsibility for all activities and services included in the contract. No assignment of contract or interest, in any part, to any third party shall be allowed.

The following information, in the order listed below, is required as part of the quote:

1. A completed Quote Cover Sheet (**Attachment A**)
2. A narrative that summarizes the following:
 - a. Experience in providing services similar to those as outlined in the Scope of Audit, to include:
 - Prior experience working within the workforce development industry, and/or non-profit sector;
 - Prior experience and knowledge in auditing non-profit organizations funded by the Workforce Investment Act and or Workforce Innovation Opportunity Act
 - Prior experience in auditing Federal, and State grants
 - Experience and knowledge of the state, federal, and local workforce development system and legislation.
 - b. The identification of all staff to be involved in this project, including their credentials. Attach resumes of all professional staff involved, including how they have worked for the firm.
 - c. A copy of the lead auditor's CPA license
 - d. A copy of the most recent Peer Review Report
 - e. Three (3) references for organizations that have received your services in the past 3-5 years, to include:
 - Company name
 - Contact name
 - Address
 - Telephone number(s)
 - E-mail address
 - Type of reference (i.e., for profit, nonprofit, state, federal, workforce board)
 - Reference annual operating budget
 - Type of audit service(s) performed
 - Date(s) services performed
3. Describe the firm approach to the audit by providing the following:
 - a. Work Plan
 1. Submit a work plan to accomplish the scope of audit defined in Section III of this RFQ. Include a time estimate for each segment of the work plan by staff level to be

assigned. Where possible, individual staff members should be named, and their titles provided; the planned use of specialists should be specified.

2. The audit work plan should demonstrate the auditor's understanding of the audit requirements of a Single Audit as specified in OMB Circular A-133 and the OMB published in the Federal Register the Uniform Administrative Requirements, Cost Principles, Audit Requirements for Federal Awards; Final Rule and the audit tests and procedures to be applied in completing the audit plan. The audit work plan should specify what work will be accomplished to allow the auditor to render:

- a) An opinion report on the financial statements;
- b) A report on the organization's internal control systems;
- c) A report of compliance with laws, regulations and contract provisions; and
- d) A Schedule of Findings and Questioned Costs

b. Reporting Requirements

Describe Offeror's understanding of, and ability to meet, reporting requirements including type and number of reports and exit conferences.

c. Time Requirements

Describe in detail plan to meet the time line and reporting deadlines requirements.

d. Tax Preparation

Describe the process for preparing tax returns for the fiscal year ending June 30, 2022, including IRS Form 990, Return of Organization Exempt from Income Tax and CA Form 199, California Exempt Organization Annual Information Return which are due on February 15, 2021.

e. Submission of Letters

Describe the process that will be used to submit the Single Audit and Management Discussion Letter to the Department of Labor Employment and Training Administration, the State of California's Controllers office and the South Bay Workforce Investment Board, Inc.

4. Complete the Audit Services Budget in **Attachment B**. State the estimated number of hours and hourly rate by staff classification, any other costs and the resulting all-inclusive maximum fee for the Scope of Audit.

5. Sign and return all Certifications and Assurances Forms (Attachment C-H)

SECTION V - RATING

A. Compliance Review:

The following description of the quote review is a general description. Not all elements must be performed on all quotes received and the order of the process may be varied at the discretion of the SBWIB, Inc. reviewing staff, SBWIB Executive Committee or the full SBWIB.

SBWIB, Inc. staff will screen quotes for responsiveness. Non-responsive quotes will not be given further consideration. To be responsive, a quote must be:

- a. Submitted on time;
- b. Meet all submission requirements, e.g., quantity, signatures, etc.
- c. Include all required forms, signed certifications, and other material fully completed in

accordance with the instructions.

Upon finding that a quote is responsive, the SBWIB, Inc. review forms, certifications and other documentations; may check reference; may conduct on-site visits; and perform other verification activities.

B. Evaluation Criteria:

All responsive quotes are reviewed and scored by the SBWIB, Inc.'s Review/Evaluation team, designated by the SBWIB, Executive Director. Quotes will be read and scored by the same reviewers. Each reviewer will evaluate the quote for acceptability and assign a numerical score. Scores from each reviewer for all quotes will then be totaled and averaged. A maximum of 100 points may be awarded to any single quote. A maximum of 75 of those points are based on the required elements and 25 maximum points are based on the cost criteria. The recommendations of the Review/Evaluation team will then be forwarded to the SBWIB Executive Committee. **Offeror must have an average score of 85 points to or higher to be recommended for funding. SBWIB, Inc. reserves the right to recommend multiple quotes to the executive committee to be placed on the Slate of Providers as described below. In the event that the primary auditor fails to provide services outlined in the agreement and quote, SBWIB, Inc. may use an alternate auditor to perform the services based on a score of 85 points or higher and approved to be placed on the Slate of Providers.**

The Executive Committee will review the recommendations of the SBWIB, Inc. Review/Evaluation team. The committee may accept, modify, or reject the evaluation team's recommendations, or return the matter to the SBWIB, Inc. staff for further investigation or negotiation.

The SBWIB Executive Committee will make final recommendations for ratification by the full SBWIB.

All quotes determined to be responsive will be internally evaluated by SBWIB, Inc. based on a total score of 100, using the criteria listed below:

- 1. Responsiveness to RFQ (5 Points)**
The Offeror must abide by the requirements outlined within the RFQ. Timely submission, completed forms, and submission of all required information will be considered.
- 2. Demonstrated Performance (30 Points)**
The Offeror must demonstrate a successful history of providing the same or similar services during the last three (3) years prior to this RFQ. Staff must meet minimum qualifications as noted under Section II, paragraph B-Eligible Offerors.
- 3. Quality of Approach (40 Points)**
The Offeror must demonstrate a thorough understanding of the range of services to be offered. The Bidder must describe the overall approach it will utilize in providing services, and adherence to timelines.
- 4. Reasonableness of Cost (25 Points)**
The Offeror must demonstrate its proposed cost for providing services are reasonable, necessary and allowable. All cost must be complete and clearly identified.

C. Slate of Providers:

The evaluation team may recommend additional Offerors to the SBWIB Executive Committee who was not selected for funding, but who submitted quotes that met all of the submission requirements and were among the top three (3) highest scored quotes. The recommendation Offerors will be added to a "Slate of Providers" list from which the SBWIB may select in the case of failure by the selected auditor to enter into an Agreement with the SBWIB, Inc. or default for the delivery of services under this RFQ. Two or more written quotes are desired to be obtained with this method (sole source allowances may apply).

The listing of the Offeror on the Slate of Providers is not a commitment by the SBWIB to utilize the services of the Offeror. The Offeror agrees that it will honor its commitment stated in the quote so long as it is listed on the Slate, however price submitted at the time of the RFQ is subject to negotiation for best offeror.

The Offeror may, by written notice to the SBWIB remove itself from the Slate. Such written notice shall contain the effective date of the removal and a statement as to the reason for removal. A party authorized to commit the Offeror shall sign the notice. Once voluntarily withdrawn from Slate, the Offeror cannot be placed on the Slate again except thru selection by the WIB in response to a new solicitation.

The SBWIB reserves the right to remove an Offeror from the Slate at any time when it deems such action to be in the best interest of the SBWIB.

D. Appeal Procedures to Resolve Procurements Disputes:

If any entity had submitted a quote and is not recommended for funding during the review process, the entity may protest/appeal the recommendation to the SBWIB Executive Committee. The protest/appeal may not dispute the particular score received by the petitioning entity, or the score assigned to a competing entity. The scores given by the rating panel are final and not subject to question by an appealing entity. An appealing entity may protest/appeal the recommendations of the evaluators if it can show that any substantial portion of the SBWIB- approved RFQ process has not been followed.

The written protest/appeal must be delivered to the SBWIB, Executive Director, 11539 Hawthorne Blvd., 5th Floor, Hawthorne, CA, by Tuesday, September 21, 2023. Protests/appeals received after the established time frame will not be accepted. Only protests/appeals, which cite specific sections (s) of RFP that have been violated, will be considered. Once reviewed by the SBWIB Executive Director for merit, the protest/appeal will be elevated to the SBWIB Executive Committee, which will meet at the above address Thursday, October 12, 2023, at 9:00 a.m. The SBWIB Executive Committee shall resolve any protest based upon written protest and any oral or written response thereto provided by staff. Any SBWIB Executive Committee resolution shall be made prior to any funding determination under this RFQ. The decision made by the SBWIB Executive Committee, as to which quote(s) are funded, will be final.

A. Acceptance of Terms and Conditions:

Each Offeror, by submission of a quote, acknowledges acceptance of terms and conditions, certifies that all specifications listed in the RFP will be met, and further understands that these specifications may become part of a contract for provision of services should awarded.

B. SBWIB, Inc.'s Rights :

- Accept or reject any or all quotes received;
- Cancel or reissue this solicitation in part or its entirety;
- Award a contract for any service or group of services solicited in any quantity;
- Make no award or withdrawn an award;
- Waive any defect in the procurement;
- Correct any error(s) and/or make any changes to the solicitation by notifying Offerors;
- Reject any quote that fails to conform to the essential requirements of the solicitation;
- Negotiate the final terms of any contract awarded;
- Conduct reviews of any entity selected for award;
- Contact any individual or entity listed in the quote
- Terminate or cancel this solicitation and any contracting action due to lack of funding;
- Use the contents of a successful quote as basis of a contractual obligation;
- Request clarification, explanation or verification of the quote content;
- Require additional price, technical or other data as a result of negotiations conducted;
- Award to other than the highest scoring quote;
- Award without discussion as deemed in its best interest;
- Withhold a contract until resolution of all outstanding issues;
- End contract negotiations if acceptable progress is not achieved;
- Extend, shorten, increase, decrease or add other services to any contract awarded;
- Reserve the right to employ or contract with other audit firms during the contract period awarded as a result of this RFQ.
- Reject any quote and waive any requirement when the action is considered to be in the SBWIB's best interest and negotiate changes, revisions, and/or modifications of a quote with any Offerors.

C. Offeror's Restrictions :

- Offer or provide any gratuities or favors, for the purpose of influencing an award;
- Engage in any activity that will restrict or eliminate competition;
- Make a plea of error or mistake in the stated price/cost contained in their quote;
- Provide audit services to an SBWIB, Inc.'s contractor during the contract period with SBWIB, Inc.

D. Licenses:

The selected auditor, both corporate and individual, must be fully licensed and certified for the type of work to be performed in the State of California at the time of RFQ submission. The quote of any Offeror that is not fully licensed and certified shall be rejected.

E. Confidentiality:

The selected auditor agrees to keep all information related to SBWIB, Inc. in strict confidence. Other than the reports submitted to SBWIB, Inc., the Offeror agrees not to publish, reproduce or otherwise divulge such information, in whole or in part, in any manner or form or to authorize or permit others to do so, taking such reasonable measures as are necessary to restrict access to the information while in the selected auditor's possession. Auditor's employees will have access to the information only on a "need-to-know" basis. The selected auditor agrees to immediately notify SBWIB, Inc., in writing, in the event the Auditor determines or has reason to suspect a breach of this requirement.

F. Conflict of Interest:

Agencies employing or retaining employees of the SBWIB, Inc., members of the SBWIB Executive Committee and/or other SBWIB, Inc. contractors, subcontractors, or consultants or in any other capacity, must make such information known with their quote document. Failure to do so may result in disqualification of the quote, cancellation of contract or contract award, or result in disciplinary action against individuals involved.

G. Cost Incurred by Offerors:

All costs associated with quote preparation will be borne by the Offeror. The SBWIB will not, in any event, be liable for any pre-contractual expenses incurred by Offerors in the preparation and/or submission of the quotes. Quotes will not include any such expenses as a part of the proposed.

H. Best Offer:

The quote shall include the Offeror best terms and conditions.

I. Insurance:

Offeror will be required to provide evidence of insurance coverage and endorsements as follows:

- **Professional Liability** containing errors and omissions coverage in amounts not less than \$1,000,000 (One-million dollars)
- **Worker's Compensation and Employee Liability** (if applicable) in accordance with California State Compensation laws.

Endorsement: The City of Inglewood/SBWIB, Inc., its officers, volunteers and employees are to be named as additional insured under the Professional Liability policy.

Contractor must provide proof of personal automobile insurance; if required, automobile liability insurance or a waiver may be requested if automobile will not be used in the performance of services for the SBWIB, Inc. Said insurance will be required to be maintained in full force and effect during the term of the contract.

ATTACHMENT A

<p>SOUTH BAY WORKFORCE INVESTMENT BOARD (SBWIB) REQUEST FOR QUOTE COVER PAGE (Must be completed and signed)</p>

Name of Firm, Entity, Organization	
Contact Name	
Title of Contact Person	
Address	
Phone Number	
E-mail	
Federal Tax ID	
Tax Legal Status	
Date organization Establish	
License number for the owner or partner responsible for the	
Is offeror a small Business, Minority Firm or Women’s business Enterprises Certifying Agency? <i>* If yes, attachment of</i>	

I affirm that the information within this quote, to the best of my knowledge, is true and accurate. Further, I am duly authorized to submit this quote on behalf of this agency. I also understand that my agency will be responsible for meeting all audit requirements as set forth in this RFQ. I fully affirm and understand that failure to meet these requirements may result in my organization’s quote not being considered.

Name (Print)

Title

Organization

Authorized Signature

Date

AUDIT SERVICES BUDGETS

Staff Position	Estimated No. of Hours	Hourly Rate	Total Cost
Total Staff Hours and Cost			\$
Other expenses (itemize):			Amount
Total Other Expenses			\$
Professional Flat Fee			\$
TOTAL BUDGET			\$

CERTIFICATION REGARDING LOBBYING
CERTIFICATION FOR CONTRACTS,
GRANTS, LOANS AND COOPERATIVE
AGREEMENTS

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

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence and officer or employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal Contract, grant, loan or cooperative agreement.
2. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of congress in connection with this Federal contract, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL "Disclosure Form to Report Lobbying" in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans and cooperative agreements) and that all subrecipients shall certify and disclose accordingly
4. This Certification is a materiel representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352 Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature

Date

Print Name & Title of Authorized Representative

Organization

DEBARMENT AND SUSPENSION CERTIFICATION

Instructions for completing Certification Form

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds (referred to as the “Bidder” throughout) is providing the certification as set out below.
2. The certification in this clause is a material representative 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 and erroneous certification, in addition to other remedies available to the Federal Government, the U.S. Department of Labor (DOL), the State of California, SBWIA, SBWIB, or any of the Operating Cities may pursue available remedies, including suspension and/or debarment.
3. The prospective recipient of Federal assistance funds shall 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 charged circumstance.
4. The terms “covered transaction”, “suspended”, “ineligible”, “lower tier covered transaction”, “participant”, “person”, “primary covered transaction”, “principal”, “Proposal” and “voluntarily excluded”, as used in this section, have the meaning 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.
5. The prospective recipient of State and Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in his covered transaction, unless authorized by the grantor.
6. 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.

7. A participant 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, ineligible, or voluntarily excluded from the covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determined the eligibility of its principals. Each participant may but it is not required to check the List of Parties Excluded from Procurement or Non-procurement Programs.
8. 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.
9. The knowledge and information of a participant is not required to exceed which a prudent person in the ordinary course of business dealings normally possesses.
10. Except for transaction 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 participant in this transaction, in addition to other remedies available, the grantor may peruse available remedies, including suspension and/or debarment.

Signature

Date

Print Name & Title of Authorized Representative

Organization

CERTIFICATION 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, 2 CFR Section 200.450 and 29 CFR Part 97.35 and 98.510 Participants responsibilities.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS FOR CERTIFICATION)

1. The prospective recipient of federal assistance funds certifies, by submission of this proposal, then neither it or its principal are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded form 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 shall attach an explanation to this proposal.

Signature

Date

Print Name & Title of Authorized Representative

Organization

CERTIFICATION REGARDING DRUG-FREE WORKPLACE ACT REQUIREMENTS

The undersigned certifies that it will or will not continue to provide a drug-free workplace by:

- (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the subrecipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (B) Establishing an ongoing drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The subrecipient's policy of maintaining a drug-free workplace;
 - (3) Any available counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (C) Making it a requirement that each employee to be engaged in the performance of any subgrant be given a copy of the statement required by paragraph (A);
- (D) Notifying the employee in the statement required by paragraph (A) that, as a condition of employment under the subgrant, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer, in writing, of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five (5) calendar days after such conviction;
- (E) Notifying the South Bay Workforce Investment Board (hereinafter referred to as the SBWIB), in writing, within ten (10) calendar days after receiving notice under paragraph (D)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every sub-grant officer or other designee on whose sub-grant activity the convicted employee was working, unless the SBWIB has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected sub-grant;
- (F) Taking one of the following actions, within thirty (30) calendar days of receiving notice under paragraph (5)(b), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

- (2) Requiring such employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for such purposes by a federal, state or local health, law enforcement, or other appropriate agency.
- (G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (A), (B), (C), (D), (E).

The sub-recipient may insert in the space provided below the site(s) for the performance of work done in connection with the specific sub-grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Signature	Date
Print Name & Title of Authorized Representative	Organization

**CERTIFICATION REGARDING COMPLIANCE WITH THE
AMERICANS WITH DISABILITIES ACT**

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

1. The Contractor is in compliance with and will continue to comply with the Americans with Disabilities Act 42U.S.C. 12101 et seq., and its implementing regulations.
2. The Contractor will provide for reasonable accommodations to allow qualifies individuals with disabilities to have access to and participate in its programs, services and activities in accordance with the provisions of the Americans with Disabilities Act.
3. The Contractor will not discriminate against persons with disabilities nor against persons due to their relationship or association with a person with disability.
4. The Contractor will require that the language of this certification be included in the award documents for all sub awards at the tiers (including subcontractors, subgrants, and contacts under grants, loads and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
5. This certification is a material representation of fact which reliance was placed when the parties entered into his/her transaction.

Signature

Date

Print Name & Title of Authorized Representative

Organization

NON-DISCRMINATION ASSURANCE

During the performance of this agreement, the Contractor agrees as follows:

1. The Contractor will not discriminate against any employee or applicant for employment because of race, religious creed, color, national origin, ancestry, physical handicap, medical condition, marital status or sex. The Contractor will take affirmative action to assure that applicants are employed, and that employees are treated during their employment, without regard to their race, religions creed, color, national origin, ancestry, physical handicap, medical condition, marital status or sex. Such affirmative action shall be designed to insure against discrimination in the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation, and selection for training, including apprenticeship or any other change or proposed change in employment conditions.
2. The Contractor will cause the forgoing to be inserted in all subcontracts for any work covered by this Agreement so that such provisions will be binding upon each subcontractor, provided that the forgoing provisions shall not apply to contracts or subcontractors for standards commercial supplies or raw materials.

Signature

Date

Print Name & Title of Authorized Representative

Organization

SOUTH BAY WORKFORCE INVESTMENT BOARD
CODE OF CONDUCT AND CONFLICT OF INTEREST POLICY

PURPOSE

The South Bay Workforce Investment Board (SBWIB) and South Bay Workforce Investment Board, Inc. (SBWIB, Inc.) are committed to maintaining the highest of standards of ethical conduct and to guard against problems arising from real, perceived, or potential conflict of interest. All SBWIB members, SBWIB, Inc. employees, South Bay One- Stop Business & Career Centers, youth programs, contractors, and partners at all levels of participation in the One- Stop System funded by the Workforce Innovation and Opportunity Act (WIOA) are expected to read, understand and apply this policy to ensure system integrity and effective oversight of the One- Stop System.

BACKGROUND

Grantees, subrecipients and contractors funded under WIOA must implement codes of conduct and conflict of interest policies and procedures as specified in WIOA; corresponding federal and state regulations and guidance publications; relevant Office of Management and Budget (OMB) circulars; and state conflict of interest policies.

A conflict of interest policy is required to ensure that individuals or representatives of organizations entrusted with public funds will not personally or professionally benefit from the award, administration, or expenditure of such funds.

The SBWIB recognizes that by its very composition, conflicts of interest and issues concerning the appearance of fairness may arise. Therefore, it is essential for SBWIB members, SBWIB, Inc. employees, South Bay One-Stop Business & Career Centers, youth programs, contractors, and partners to be sensitive and error on the side of caution when potential or real conflict or fairness issues occur. To accomplish these purposes, the SBWIB establishes the following definitions, actions, and guidelines.

EFFECTIVE DATE

The Directive is effective immediately.

REFERENCES

- Public Law 113-128 Section 101(f) - State Board Conflict of Interest
- Public Law 113-128 Section 102(b)(2)(E) - State Plan Conflict of Interest Assurance
- Public Law 113-128 Section 107(h) - Local Board Conflict of Interest
- Public Law 113-128 Section 121(d)(4) - One-Stop Operators
- 20 CFR 679.130(f)(1) through (3) - Criteria to certify One Stops
- 20 CFR 679.410(a)(3) and (c) - Local board must avoid inherent conflict of interest
- 20 CFR 679.430 - Entities performing multiple functions
- 20 CFR 683.200(c)(5) - Administrative Rules, Costs, Limitations – Title I WIOA and Wagner-Peyser
- 29 CFR 97.36(3) Procurement
- 2 CFR Part 200.112, 200.318 and Part 2900 - Office of Management and Budget Uniform Guidance on administrative, cost, and audit provisions for federal grants

DEFINITIONS

Conflict of Interest - Conflict between the official responsibilities and the private interests of a person or entity that is in a position of trust. A conflict of interest would arise when an individual or organization has a financial or other interest in or participates in the selection or award of funding for an organization. Financial or other interest can be established either through ownership or employment.

Immediate Family - Immediate Family consists of the individuals' parents (including step-parents), spouse, domestic partner, children (including step-children), siblings, grandchildren, grandparents, and any relative by marriage (an "in-law").

Individual - (1) an individual; i.e., officer, or agent, or (2) any member of the individual's immediate family (spouse, partner, child, or sibling), or (3) the individual's business partner.

Organization - A for-profit or not-for-profit entity that employs, or has offered a job to, an individual defined above. An entity can be a partnership, association, trust, estate, joint stock company, insurance company, or corporation, whether domestic or foreign, or a sole proprietor.

CODE OF CONDUCT POLICY

During the performance of duties, your actions are a reflection upon the SBWIB and SBWIB, Inc. as well as a reflection upon you. It is extremely important that all SBWIB and committee members, SBWIB, Inc. employees, South Bay One-Stop Business & Career Centers, youth programs, contractors, and partners act in a courteous, friendly, helpful and prompt manner

in dealing with the public, customers and officials.

Ethical Principles:

Compliance with the Law: It is the SBWIB's policy that all SBWIB members, SBWIB, Inc. employees, South Bay One- Stop Business & Career Centers, youth programs, contractors, and partners be knowledgeable of and comply with all applicable laws and regulations of the United States and the State of California in a manner that will reflect a high standard of ethics. Compliance does not comprise one's entire ethical code of conduct or responsibility; rather it is a minimum, and an essential condition for adherence to mission and duties.

Professional Standards: It is the SBWIB's policy that its representatives be knowledgeable of emerging issues and professional standards in the field and to conduct themselves with professional competence, fairness, efficiency and effectiveness.

Guidelines:

Areas of concern are those actions or lack of actions which may lead to conflict of interest or the appearance of conflict of interest or to a perception of unfairness related to SBWIB business inside or outside board and committee meetings. Specific areas which may pose problems include but are not limited to, comments made in public, information sharing, and disclosure of associations.

Comments Made in Public: SBWIB and committee members are encouraged to act in a public relations capacity for the SBWIB. This includes public speaking engagements and comments in a public forum. Because there is public interest in SBWIB actions, members should differentiate between descriptive comments, which relate to actions already taken by the board, and statements, which imply future SBWIB decision-making, or the ability to influence decision-making.

Information Sharing: SBWIB and committee members are encouraged to share information with the community about SBWIB activities. To the extent possible, access to information regarding board activities and procurement of services should be available at the same time and under the same circumstances to all parties. Such information includes the Strategic Plan, request for proposals, notices of meetings, meeting minutes, and policies.

Disclosure of Associations: SBWIB and committee members have professional and personal associations throughout the community. Associations include those which pertain to

memberships in organizations or contractual agreements between partners, stakeholders, or employers and employees, as well as associations which arise out of custom, shared interests, friendships, or other relationships.

Such associations have been and will continue to be of significant benefit to the SBWIB. Where a direct or indirect financial conflict of interest exists, an SBWIB or committee member may not vote or serve on a rating team. When associations raise appearance of fairness as an issue, SBWIB and committee members should qualify statements in public by disclosing the association and minutes of the meeting should reflect the disclosure.

Whenever a SBWIB representative is in doubt about possible problems with appearance of fairness, they should disclose the association.

CONFLICT OF INTEREST POLICY

1. Each grant recipient and subrecipient must maintain a written code of standards or conduct governing the performance of persons engaged in the award and administration of WIOA contracts and sub-grants. This policy can be adopted if none exists with a written acknowledgement to be maintained on record.
2. No individual in a decision-making capacity shall engage in any activity if a conflict of interest (real, implied, apparent, or potential) is involved. This includes decisions involving the selection, award, or administration of a sub grant or contract supported by Workforce Innovation and Opportunity Act (WIOA) or any other federal funds.
3. Before any public discussions regarding the release of a Request for Proposal, or any matter regarding the release of funding or the provision of services, an SBWIB member or SBWIB committee member must disclose any real, implied, apparent, or potential conflicts of interest before engaging in the discussion. The minutes of the meeting should reflect the disclosure.
4. An SBWIB member or a member of a SBWIB committee cannot cast a vote or participate in any decision-making about providing services by such member (or by any organization that member directly represents) or on any matter that would provide any direct financial benefit to the member, immediate family or to the member's organization.
5. SBWIB members or a member of a SBWIB committee or agents of the agencies making awards cannot solicit or accept gratuities, favors, or anything of monetary value from awardees, potential awardees, or other parties to agreements. However, the SBWIB allows for situations where the gift is an unsolicited item of nominal value worth \$50.00 or less.
6. Disciplinary actions may be taken up to and including termination of board membership for

violation of this policy by any individual. The SBWIB Coordinating Committee may evaluate any violations of these provisions on a case-by-case basis and recommend to the Executive Committee, if and what penalties, sanctions or other disciplinary action are appropriate.

7. Individuals shall not use for their personal gain, for the gain of others, or for other than officially designated purposes, any information obtained as a result of their committee, board or working relationships with the SBWIB where that information is not available to the public at large, or divulge such information in advance of the time decided by the SBWIB for its release.
8. One Stop Operators must disclose any potential conflicts of interest arising from relationships with training providers and other service providers. (WIOA Section 121 (d)(4))
9. Any organization that has been selected or otherwise designated to perform more than one function related to WIOA must develop a written plan that clarifies how the organization will carry out its multiple responsibilities while demonstrating compliance with WIOA, corresponding regulations, relevant Office of Management and Budget circulars, and this conflict of interest policy. This plan must limit conflict of interest or the appearance of conflict of interest, minimize fiscal risk, and develop appropriate firewalls within that single entity performing multiple functions. The plan must be agreed to by both the SBWIB and the Executive Committee. (20 CFR 430)
10. Membership on the SBWIB or being a recipient of WIOA funds to provide training or other services, is not itself a violation of conflict of interest provisions of WIOA or corresponding regulations.

DISCLOSURE OF CONFLICT(S) OF INTEREST

I, _____, a member of the SBWIB Workforce Investment Board, SBWIB, Inc. staff member or Contractor, hereby disclose the following conflict(s) of interest with another position that I hold outside of the SBWIB.

Check All That Apply

- _____ I have no conflicts to disclose.
- _____ I represent a private sector employer that has current business/contractual dealings with the SBWIB, or one or more of the One Stop Operators, Partners, or other WIOA funded Service Providers/Contractors.
- _____ I have an immediate family member(s) who is employed by a current or potential WIOA funded Service Provider/Contractor or by another organization that provides services directly to the SBWIB.
- _____ I represent a WIOA funded Service Provider/Contractor.
- _____ I represent a One Stop Operator.
- _____ I represent An AJCC Partner.
- _____ Other: (please describe the nature of the conflict)

For the reasons stated above, I promise and attest that I will hereby declare, before a vote or discussion on the matter, the nature and extent of the conflict. I will hereby voluntarily withhold from participating in any discussions pertaining to this matter and abstain from voting on the subject. I further understand that this shall not prohibit me from responding to any direct questions on the matter from other members.

Signed: _____
Print Name: _____
Date: _____