Appalachian Regional Commission

Request for Proposals
Search Firm Services for Inspector General

Posted on July 24, 2019

Questions concerning this RFP must be received by email to Scott T. Hamilton (IGsearch@arc.gov) no later than 5pm ET August 14, 2019

Responses to this RFP are due via email to Scott T. Hamilton (IGsearch@arc.gov) no later than 5pm ET August 21, 2019
Overview
The Appalachian Regional Commission ("ARC") seeks proposals from qualified executive search firms, recruiters, consultants, agencies, independent contractors, etc. ("Search Firm") to provide recruitment services to assist the Nominating Committee ("Committee") in selecting an Inspector General ("IG"). Such services shall include, but not be limited to:

1. Develop understanding of ARC, the IG position, and qualifications
2. Source qualified candidates through a variety of channels
3. Assess qualifications of interested candidates against position requirements
4. In collaboration with the Committee, recommend and interview qualified candidates
5. Support the Committee in the hire process and negotiations of the top candidate

ARC Background
Who we are: ARC is a regional economic development agency that represents a partnership of federal, state, and local government. Established by an act of Congress in 1965, ARC is composed of the governors of the 13 Appalachian states and a Federal Co-chair, who is appointed by the President and subject to Senate confirmation. Local participation is provided through multi-county local development districts.

The Office of Inspector General ("OIG") at ARC was established as an independent entity in 1989. The OIG provides independent and objective audits and investigations relating to agency programs and operations, as set forth in the Inspector General Act of 1978 (Public Law 95-452), as amended.

Mission: ARC’s mission is to innovate, partner, and invest to build community capacity and strengthen economic growth in Appalachia.

The OIG provides leadership and coordination; recommends policies to prevent and detect fraud and abuse; and promotes economy, efficiency, and effectiveness in agency programs and operations. The Inspector General also provides a means for keeping the ARC Federal Co-chair and Congress fully informed about problems and deficiencies at the Commission.

What we do: Each year ARC provides funding (federal grants) for several hundred investments in the Appalachian Region, in areas such as business development, community development, education and job training, health, housing, infrastructure, telecommunications, and transportation. These projects create thousands of new jobs, improve local water and sewer systems, increase school readiness, expand access to health care, assist local communities with strategic planning, and provide technical and managerial assistance to emerging businesses.

The purpose of the Office of Inspector General is (1) to conduct and supervise audits and investigations relating to programs and operations of the ARC; (2) to provide leadership, coordination and recommendations for promoting economy, efficiency and effectiveness in the
administration of ARC programs and to detect and prevent fraud, waste and abuse in such programs and operations; and (3) to keep the Commission and Congress fully and currently informed about problems and deficiencies in the administration of ARC’s programs and operations. The Inspector General shall have no responsibility for ARC program operations and shall carry out all activities and responsibilities required under the Inspector General Act of 1978, as amended.

**Staff and structure:** The structure of ARC is designed to ensure an active federal-state partnership. There are 14 Commission members: the governors of the 13 Appalachian states and the Federal Co-chair. ARC’s 57-person staff (approximate), located in Washington, DC, is comprised of both Federal (about 8) and non-federal (“Commission”) employees. The Commission staff is headed by an executive director, and Commission employees serve as program analysts (grants coordinators) and researchers managing over $100 million in grant deliverables each fiscal year, as well as in Communications, Finance, Human Resources, Information Technology, and Legal.

The IG is a non-federal position. The IG reports to and is under the general supervision of the head of the designated federal entity that includes the Federal Co-Chair and the Governors of the 13 Appalachian States.

**Scope of Work and Deliverables**

The Search Firm will, in coordination with ARC’s Nominating Committee, attract, interview, and identify an Inspector General candidate for ARC. Please see Appendix A for the DRAFT IG position description.

The search services required shall include:

- Solicit input from the Committee through meetings and/or interviews to understand ARC, and the role, responsibilities, qualifications and appropriate experience needed for the position (i.e. develop a candidate profile);
- Review and make suggestions to the Committee on enhancements to the position description;
- Develop a recruitment strategy, process and timeline for completion of the work, in consultation with the Committee;
- Develop written materials including job advertisements, interview questions, candidate assessments/tests, and other relevant recruitment material;
- Source job candidates through a variety of channels including advertising in nationally recognized publications likely to attract qualified candidates, proactively reaching out to candidates in the marketplace that may not be actively seeking the position, accessing the firm’s network of qualified candidates and employing other best practice recruitment strategies utilized in the industry;
- Assess the qualifications of interested candidates against those required in the position description and recommend potential candidates for interview to the Committee;
• Support the Committee in engaging in a rigorous interview, reference-checking and hiring process to determine the best candidate;
• In coordination with appropriate ARC staff, perform appropriate background and verification checks on final candidate;
• If requested by the Committee, negotiate offer for hire; and
• Guarantee candidate placement for a reasonable period of time.

The Committee will have complete authority over the process including development of the interview questions. If requested, all candidate applications will be made available to the Committee prior to the finalization of a candidate list.

Specifically, the Search Firm will:

• Post the position through local, regional and national channels, professional journals and publications;
• Source candidates through networking, cold calls, and other methods of obtaining qualified candidates through non-traditional and non-advertised methods;
• Receive and review resumes of applicants, determining which candidates meet minimum qualifications, and following up with interviews and assessments to clarify each applicant’s qualifications and experience;
• Prepare and present to the Committee a written summary of the candidates with the most promising qualifications and experience;
• Assist the Committee in evaluating these candidates and further identifying the top candidates for serious consideration and interviews;
• Coordinate the Committee’s and candidates’ schedules and participation in the interviews;
• Ascertain the strengths and personal dimensions of each candidate and report to the Committee;
• Debrief with the Committee to determine top candidate;
• In coordination with the Committee and other applicable ARC staff, assist with compensation negotiations, conduct reference checks, job history and performance verification, criminal history/background check, and any other relevant verification and review on top candidate in preparation for final appointment ballot, then offer;
• Notify applicants not selected and maintain applicable communication with candidates throughout the search; and
• Advise the Committee of any other areas, services, or important steps to take that are not listed above.

Proposal Requirements
Submitted proposals must include the following:

A. Cover letter: Please include the RFP subject, name of entity, address, contact person with all applicable contact information, and date of preparation.
B. Qualifications: Describe the background, experience and capabilities of the entity as it relates to the Scope of Work and Deliverables outlined above. Highlight at least three successful placements in other similar organizations during the last five years.

C. Scope of Services: Provide a scope of services and a proposed outline of tasks, products and schedules/timeline. Also, identify the extent of the Committee and/or ARC staff involvement deemed necessary, including key decision points at each stage of the project. Major proposed deviations from the desired scope of services outlined above should be clearly noted and justified.

D. Cost: Provide cost proposal for scope of services including fixed costs, fees, expenses (including anticipated advertising expenses), reimbursable costs, and any other anticipated costs.

E. Consulting staff: Provide the name, title, background and experience as well as a current resume/C.V. of the primary consultant(s) for this project. Identify all staff who would be assigned to work directly or indirectly on this search and throughout the project. Selected Search Firm will be required to furnish the services of the individuals identified as key personnel. Any change in key personnel will require written approval by ARC.

F. Insurance: List all relevant insurance policies and coverage amounts carried by the Search Firm. The selected proposer will be required to submit evidence of and comply with all insurance requirements deemed necessary by the Committee.

G. References: Provide a list of at least three clients the Search Firm has contracted with in the past three years who can verify your firm’s ability to provide the scope of services requested. Provide name, title, email, and complete contact information for each reference. Provide a list of current clients who are receiving services like those requested in this RFP with a brief description of the work.

H. Performance Guarantee: Describe the terms and conditions under which your performance guarantee applies.

I. Type of Search Agreement: Specify the type of proposed search agreement, e.g., exclusive, retained, contingency-based, and all applicable and relevant terms pursuant to that agreement.

J. Additional Services: The selected Search Firm is welcome to outline additional services or alternative approaches that it feels are in the best interest of the Appalachian Regional Commission.

The proposal narrative should not exceed 15 typewritten pages. Supplemental materials including, but not limited to, CVs/resumes, timeline, references, and detailed budget may be included as Appendices, not to exceed 10 pages total. Font (Times New Roman or Calibri preferred) should be no smaller than 10 typeset.

Proposals must include and address all required information, as failure to do so will result in immediate disqualification and cause the response to not be considered. Further, the response must be signed by an officer of the responding Search Firm, and the response must include a...
statement as to the period for which the response remains valid, which must be at least 90 days from the date responses to the RFP are due.

**Proposal Submission Process**
Questions concerning this RFP must be received by 5pm ET August 14, 2019 via email to Scott T. Hamilton at IGsearch@arc.gov. Proposals must be submitted via email in PDF or MS Word format to Scott T. Hamilton at IGsearch@arc.gov by the deadline of 5pm ET August 21, 2019. Hard copy proposals will not be accepted.

**Proposal Review and Evaluation**
In selecting consulting services for this project, ARC may request to interview Search Firm(s) and will examine a number of factors and criteria including:

- Demonstrated ability, specialization and expertise in content areas identified in this document including but not limited to successful recruitment for executive and senior-level positions in organizations similar to ARC;
- Qualifications and experience of individual consultant(s) in providing support for key functions;
- The extent to which the proposal addresses the goals of this proposal and clearly describes the scope of work;
- Specific plans to be used to perform the services;
- Availability for work to be conducted during proposed project timeframe; and
- Project costs/rates.

**RFP Terms and Conditions**
This RFP is for the purpose of soliciting responses from Search Firms to provide search services related to hiring an Inspector General for ARC.

No claim for adjustment of any provision of the RFP shall be honored after the proposal has been submitted on the grounds that the proposer was not fully informed as the existing conditions or circumstances or any other related matter. However, by this RFP, ARC has not committed itself to employ a Search Firm for these services for any or all of the herein-described matters reserves the right to decide such after receipt, review, and evaluation of all responses. ARC fully reserves the right to make this decision and the decision on this matter is final.

Additionally, ARC reserves the right to:

- Waive or amend any portion of this RFP by written notice to all respondents;
- Negotiate all elements that comprise the information with the Search Firm(s) to ensure that the best possible considerations are afforded to all concerned;
- To waive any irregularities;
- Reject any and all responses to this RFP;
- Request additional information from any or all respondents;
• Conduct discussions with respondents to assure full understanding of, and responsiveness to, the solicitation requirements;
• Approve or reject any subcontractors proposed or used in carrying out the work;
• Select Search Firm(s) for specific purposes or for any combination of specific purposes; &
• Defer the selection to a time of ARC’s choosing.

Warranty and Independence

Respondents must warrant that no sums or anything of value has been or will be paid directly or indirectly to any officer or employee of ARC such as wages, compensation, or gifts in exchange for acting as officer, agent, employee, subcontractor or consultant to the Respondents in connection with any work compensated or performed.

ARC cannot and does not make any representatives or warranties with regard to the information, data, documentation, and material conveyed in this RFP or otherwise provided by ARC. Respondents shall conduct their own independent investigations and analysis and make their own assessments, judgments, and decisions regarding this opportunity.

Commission, Board and Staff Communication

Respondents intending to respond to this RFP are prohibited from contacting any member of the Commission or ARC staff with the purpose of influencing the RFP selection process. All RFP related communication should be directed to Scott T. Hamilton, the contact person, during this process. Failure to comply with this requirement may result in disqualification.

Period of Contract

The contract will be offered for a term of about four months, or such time is needed to identify the top candidate, with renewal options subject to ARC approval. At all times, the Search Firm will serve at the will and pleasure of ARC.

Cost of Developing and Submitting Response

ARC shall not, under any circumstances, be liable or responsible for any costs or expenses incurred by any Respondent in preparing and/or submitting a response associated with this proposal including, but not limited to, research, investigation, development, preparation, transmittal, or presentation of proposals or any related information, data documentation, and material. All costs and expenses incurred by the proposers in connection with these proposals submitted shall be the sole responsibility of the proposers.

Acceptance of RFP Content

Some of the contents of this RFP and the response submitted may be incorporated by reference in any final contract resulting from this RFP.

Assignment and Delegation
Any contract issued pursuant to this RFP is not assignable, nor may be delegated, except with the prior written approval of ARC.

Property

All responses become the property of ARC upon receipt. ARC has the right to use any and all ideas or adaptations of the ideas contained in any response received in this RFP. Selection or rejection of the response will not affect this right.

Proprietary Information

If a Respondent does not desire certain proprietary information in its response disclosed, they are required to identify all proprietary information in the response, which identification shall be submitted concurrently with the response. If the Respondent fails to identify proprietary information, it agrees by submission of its response that all parts of all responses shall be deemed non-proprietary and will become public documents upon completion of the RFP process.

Governing Law

The contract created as a result of this RFP and the accepted response will be made under, and shall be governed by, and construed in accordance with the laws of the District of Columbia.

Additional Information

Prior to engagement, the selected Search Firm will enter into a contractual arrangement with ARC that will include, but not be limited to, the following requirements:

- Register in SAM (if not already);
- Warrant that the services provided do not infringe any copyright, trademark, patent or other intellectual property right of any third party;
- Agree that all deliverables constitute “works made for hire” and that such works constitute and contain proprietary assets and confidential work product; and
- Commit to completing the Scope of Work at rate(s) and costs not to exceed the agreed upon amount(s).

ARC is an equal opportunity employer. Selection for positions will be based solely on merit. ARC does not discriminate on the basis of race, color, religion, sex, national origin, politics, marital status, sexual orientation, physical or mental disability, age, membership or non-membership in an employee organization, or any other factor prohibited by law. ARC will provide reasonable accommodation to applicants with disabilities.

ARC Contact Information for this RFP:
Name: Scott T. Hamilton, Executive Director
Email: IGsearch@arc.gov
Phone: 202-884-7700
Introduction
The Appalachian Regional Commission (ARC) is an economic development agency of the federal government and 13 state governments focusing on 420 counties across the Appalachian Region. ARC’s mission is to innovate, partner, and invest to build community capacity and strengthen economic growth in Appalachia to help the Region achieve socioeconomic parity with the nation. www.arc.gov

The Office of Inspector General (OIG) was created by the Inspector General Act of 1978, as amended, and provides independent and objective oversight of ARC’s programs and activities, leadership, coordination, and recommendations designed to promote economy, efficiency and effectiveness of the agency’s programs and operations, and detect and prevent fraud, waste and abuse.

The Inspector General (IG) reports to and is under the general supervision of the head of the designated federal entity that includes the Federal Co-Chair and the Governors of the 13 Appalachian States.

Major Duties and Responsibilities
The Inspector General works independently in accomplishing the mission and strategic goals of the Agency, and performs the following duties, but not limited to:

Lead a diverse professional Inspector General operation within a grant making agency by providing policy direction for and conducting, supervising and coordinating performance and financial audits, inspections, evaluations and investigations relating to the agency programs and operations.

Direct conducting audits, inspections, evaluations and investigations to determine compliance with Agency and Federal government-wide requirements and efficiency and effectiveness of agency programs and operations.

Administer the review and approval of all reports of investigation to ensure that investigative findings are properly reported to the IG and Agency head appropriately.

Lead and manage OIG staff and monitor contractors responsible for financial, grant and program audits and evaluations.

Report and recommend policies and actions by the agency for the purpose of promoting economy and efficiency in the administration of, or preventing and detecting fraud, waste and abuse in its programs and operations.

Keep the Agency Head and Congress fully informed concerning any problems and deficiencies in ARC’s programs and operations and the need for corrective actions.
Serve as the spokesperson on OIG matters including representing OIG in meetings with agency leadership, members of Congress and their staff, the accountability community, the public and media.

Review existing and proposed legislations and regulations relating to programs and operations and commenting on the impact of such action on program efficiency, economy and administration.

Serves as a member of the Council of the Inspectors General on Integrity and Efficiency (CIGIE).

Oversee new and innovative policies, procedures, standards, and guides and conduct studies to enhance the program from both an operational and financial perspective.

Factors

Factor 1. Knowledge, Skills and Abilities Required by the Position
Bachelor’s degree with emphasis in business administration, public administration, public policy, economics, law, social science, or a related field.

Demonstrated experience developing and leading a strategic OIG office.

Progressively responsible experience related to auditing, inspections, evaluations, and investigations of government agencies and programs, or the equivalent.

Demonstrated knowledge of and skill in interpreting and applying the authorities and responsibilities conferred by the IG Act of 1978, as amended.

Demonstrated experience reporting to Congress, or an equivalent oversight body, concerning fraud, waste, and abuse of financial programs.

Demonstrated experience leading and managing staff, contractor monitoring, and management activities related to the responsibilities of an Office of Inspector General.

Demonstrated ability to analyze, plan, organize, direct, adjust the functions and supervise, mentor, motivate, and appraise staff to meet the program requirements objectives within available resources.

Demonstrated ability to motivate and inspire confidence and cooperation among others; demonstrated ability to develop and lead high performance/high morale team and to effectively foster teamwork and effective collaboration.

Demonstrated ability to effectively coordinate program efforts with other internal and external organizations, represent the organization to key individuals and groups outside the immediate work unit, as well as serve as spokesperson for the organization to a variety of audiences and purposes.

Demonstrated ability to manage multiple projects with shifting priorities under tight deadlines.

Demonstrated ability to systematically organize and catalogue data and information.

Demonstrated ability to exercise strong judgement and discretion, including a high degree of flexibility, initiative, and capacity for self-management and exceptional attention to detail.

Demonstrated written and verbal communication and interpersonal skills to produce quality reports and recommendations and establish independent positive working relationships to gain cooperation and
acceptance of OIG reports and recommendations. Demonstrated ability to produce written information, which may include technical information that is appropriate for the intended audience, that is timely, accurate, succinct and relevant to recipient’s needs.

Demonstrated ability to manage OIG operations within budget limitations including planning and directing each facet of the operation.

Demonstrated knowledge and application of financial, inspections, evaluations and investigative standards, principles, techniques and practices necessary for assessing and analyzing financial management and effectiveness and efficiency of agency operations.

Demonstrated skill to effectively deal with personnel from all levels of government and private industry.

Demonstrated experience selecting and monitoring contractors that conduct audits and evaluations of government programs.

Unimpeachable integrity and personal ethics.

Leadership (people and strategy) – ability to manage strategy through successful and timely achievement of goals; guide staff; link mission, vision, values, goals and strategies to outcomes; help others identify goals and use their talents to achieve them; model successful competencies; hold staff accountable to outcomes using positive, developmental and constructive feedback.

Adaptability – ability to accept and apply changes to work processes, information, team; recovers quickly from setbacks and finds alternative ways to reach goals or targets; navigates change through positive communications and supportive actions.

Communicating – selects appropriate and effective way to communicate to audiences in diverse situations; listens actively and asks questions to understand other perspectives or confirm understanding; awareness of and responsive to verbal and non-verbal communication styles; provides status updates which reduce or eliminate the need for follow up from requestor.

Collaboration - ability to interact and work effectively with others to accomplish goals despite differences, changes, roles or resources; treats others with respect, dignity, and professional courtesy; values the contributions of others through listening, sharing relevant information and considering new ideas; affirmatively shares lessons learned and relevant information.

Critical Analysis - ability to identify, research, analyze, design, manage and communicate data and outcomes sufficiently to various audiences to accomplish work outcomes; develops, recommends, and/or implements innovative and effective approaches to solve problems.

Accountability – makes best use of resources to accomplish work priorities; takes responsibility of balancing quality with deadlines; takes appropriate action(s) to fulfill commitments to others; owns, acknowledges and corrects mistakes; immediately communicates updates and changes to others.

Other position information:
- U.S. Citizenship required,
- Position requires successful completion and maintenance of background security review
- Ability to travel 25%
I have reviewed this job description and I understand all my job duties and responsibilities. I am able to perform the essential functions as outlined. I understand that my job may change on a temporary or regular basis according to the needs of my location or department without it being specifically included in the job description. If I have any questions about my job duties, I should discuss them with the Commission.

Name (printed)

Signature

Date