



## **REQUEST FOR PROPOSALS (RFP)**

**For**

**Workforce Services**

**Release Date: March 10, 2017**

**All proposals MUST be submitted by April, 17, 2017, 4:00 p.m. CST**

**Submit Responses to:**

**Employ Milwaukee Inc.,  
Attn: Grants Administration  
2342 N. 27<sup>th</sup> Street  
Milwaukee, WI 53210**

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# I. EXECUTIVE SUMMARY

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## 1.1 EMPLOY MILWAUKEE'S APPROACH

As the Workforce Development Board for Milwaukee County (WDA 02), Employ Milwaukee Inc., (EMI) is committed to supporting Milwaukee County residents in their search for economic self-sufficiency and supporting employers by collaborating with them to create a talent pipeline for a knowledge-based economy.

EMI evaluates labor supply and demand to provide program and services with a goal of connecting people to employment for a lifetime. EMI's Industry Advisory Boards (IAB) are employer-driven and committed to providing labor demand expertise in regional growth sectors including manufacturing, construction, financial services, healthcare and hospitality. Labor supply is represented by the EMI's Coordinating Council, a formal network of community-based organizations that provide specialized services to address barriers to employment for residents.

Respondents should be prepared to participate with Employ Milwaukee staff and IAB partners to provide an aligned system approach to delivering WIOA business services, including working to ensure that program participants are being trained to industry standards and addressing the needs of the industry sector. Successful respondents will be able to show 1) evidence of and resources to collaborate; 2) leveraging to achieve comprehensive program services; and 3) specific linkages with and expertise in the targeted sector groups.

## 1.2 WIOA PROGRAM OVERVIEW

The **Workforce Services** to be provided shall be in accordance with the Workforce Innovation and Opportunity Act (WIOA), P.L. 113-128, enacted July 22, 2014. WIOA supersedes the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner Peyser Act, and the Rehabilitation Act of 1973.

The purpose of WIOA is to better align the workforce system with education and economic development in an effort to create a collective response to economic and labor market challenges on the national, state, and local levels.

As WIOA implementation progresses, success in accomplishing the purposes of WIOA at the State, local, and regional levels, will be determined by whether:

- One-stop centers are recognized as a valuable community resource and are known for high quality, comprehensive services for customers.
- The core programs and one-stop partners provide seamless, integrated customer service.
- Program performance, labor market, and related data drive policy and strategic decisions and inform customer choice.
- Youth programs reconnect out-of-school youth (OSY) to education and jobs.
- Job seekers access quality career services either online or in a one-stop center through a "common front door" that connects them to the right services.
- One-stop centers facilitate access to high quality, innovative education and training.
- Services to businesses are robust and effective, meeting businesses' workforce needs across the business lifecycle.

WIOA is a primary source for workforce development activities at EMI and respondents **MUST** be familiar with the federal regulations applicable to WIOA. Both WIOA and the regulations can be accessed on the Department of Labor's site ([www.doleta.gov](http://www.doleta.gov)). In addition, the State of Wisconsin Department of Workforce Department of

Workforce Development website includes the Wisconsin State Plan and other technical guidance documents that may aid respondents in developing their proposal (<http://dwd.wisconsin.gov/wioa/>).

### 1.3 SOLICITATION OVERVIEW

Employ Milwaukee, Inc.(EMI), issues this Request for Proposals (RFP) to solicit agencies capable of successfully delivering **Workforce Services** in Milwaukee County. It is EMI's intent to award contracts for Workforce Services that includes the One Stop Operator, WIOA Title 1 Adult and Dislocated Worker services. Respondents are **required** to respond to all three to be considered for a grant award. The specifics of these services are discussed in **Section III Scope of Work**.

Obligations under this RFP are conditional upon the availability of funds. Performance and obligations under this RFP are contingent upon an annual appropriation by the United States Congress that is permitted with the United States Department of Labor and the Wisconsin Department of Workforce Development to contract for services. Employ Milwaukee reserves the right to terminate or adjust this RFP to conform to available funds.

This procurement for Workforce Services is not "business as usual" for Milwaukee County. This is an opportunity for unique and **innovative** services that offers workforce development an opportunity for a fresh approach to connect adult workers to employers, while demonstrating a cost effective service delivery plan through unique community and employer collaborations and partnerships.

It is the expectation that proposal responses sufficiently articulate the respondent's plan of action to deliver the solicited services and demonstrate a successful performance track record in delivering the solicited services or comparable services. Responses also need to document an in depth knowledge of the fiscal, administrative and programmatic requirements of the funding stream (s) used by EMI.

### 1.4 ELIGIBLE RESPONDENTS

The eligible applicant may include private and public entities, secondary or post-secondary education institutions, faith based organizations, for-profit and not-for-profit agencies, Community Based Organizations (CBO), or other entities. Partnerships or consortiums may respond; however, collaborations submitting proposals must identify a lead entity that will be responsible for management, coordination of services, operations, financial accountability, legal obligations and all reporting requirements. This lead entity must demonstrate its capacity to set direction, achieve outcomes, leverage matching or in-kind resources and manage overall operations, including staff oversight, customer services, continuous improvement and achievement of performance outcomes. Organizations applying that have a strong understanding of the local workforce system, a comprehensive employer base, knowledge of the challenges to job seekers and established local and regional relationships with educational and training organizations, employers, and active community based non-profits in the region will be given priority.

The prospective recipients of federal assistance funds certifies, by submission of this proposal, that neither they nor their principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

Respondents must have the technical competence, expertise in management and administration, professional staff, and administrative and fiscal management systems to accomplish the goals and objectives stated in this RFP and meet high standards of public service and fiduciary responsibility. Respondents are responsible for being

knowledgeable of regulations of the specific funding sources involved and applying them in developing the RFP responses.

## II. WORKFORCE SERVICES SCOPE OF WORK

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### 2.1 ONE STOP OPERATOR ROLE

The operator is charged with coordinating the service delivery among partner agencies in One-Stop Centers.

Duties include but are not limited to:

- Coordinate service delivery among partners
- Coordinate service delivery among physical and electronic sites
- Coordinate services across local area system
- Primary provider of services at physical centers includes:
  - Management of hours of at site (s)
  - Management of technological resources such as websites, case management information, business networking software, on-line testing sites
  - Management of daily operations thru coordination with WIOA Fiscal Agent for lease, utilities, and other invoice remittance
  - Management of partner responsibilities as defined in MOU
  - Management of services for individuals
  - Management of services for businesses
  - Provide basic services such as orientations, information on careers and labor markets, and resource rooms
  - Submission of annual staffing, and operational budgets
  - Following federal and state regulations pertaining to handling of EEO responsibilities, customer complaints, and physical and programmatic accessibility
  - Implementation of local workforce development board policies
  - Reporting to Local Workforce Development Board on operations, performance accountability, and continuous improvements

The Workforce Board also expects the One Stop Operator to assist with the following:

- Share employer relationship information including business leads and job orders
- Assist in staffing employer hiring events
- Help track employer engagement activities happening at the one stop center (s)

One stop operators **may not**:

- Convene system stakeholders to assist in the development of the local plan
- Prepare and submit local plans



**Workforce Services – One Stop Operator, Adult & Dislocated Worker**

- Be responsible for oversight of itself
- Manage or participate in the competitive selection process for operators
- Select or terminate one stop operators, career services, and youth providers
- Negotiate local performance measures
- Develop and submit budgets for activities of the local workforce development board

Any entity serving as a one-stop operator, that also serves a different role within the one-stop delivery system, may perform some or all of the required functions when acting in its other role, if it has established sufficient firewalls and conflict of interest policies and procedures. The policies and procedures must conform to the specifications in 20 CFR 679.430 for demonstrating internal controls and preventing conflict of interest.

**2.2 WIOA ADULT & DISLOCATED SERVICES PROGRAM REQUIREMENTS**

The Workforce Innovation and Opportunity Act defines the required activities authorized for Adults and Dislocated Workers. Respondents must have knowledge of WIOA to understand the scope of authorized activities. These activities include:

- Establish a one-stop delivery system
- Provide career services to adults and dislocated workers, respectively, through the one-stop delivery system
- Provide training services to adults and dislocated workers
- Establish and develop relationships and networks with large and small employers and their intermediaries; and
- Develop, convene, or implement industry or sector partnerships

The WIOA Adult and Dislocated Worker formula programs, in addition with the Wagner-Peyser (WP) Employment Service, are foundational pieces of the one-stop delivery system. Under WIOA adults and dislocated workers may access career services and training services. WIOA provides for a workforce system that is universally accessible, customer centered, and training that is job driven. Training is supported through an expansive Eligible Training Provider List (ETPL). WIOA also provides enhanced access and flexibility for work-based training options, such as Registered Apprenticeship (RA), on-the-job training, customized training, and incumbent worker training.

WIOA Adult and Dislocated Worker Activities includes but is not limited to:

- Eligibility determination
- Outreach and intake
- Initial assessment of skills
- Supportive service needs
- Job search and placement assistance
- Career counseling
- Recruitment and other business services for employers
- Referrals to other One-Stop partner programs and other available programs in the community
- Information and assistance with establishing eligibility for financial aid and assistance for educational programs other than WIOA
- Development of an Individual Employment Plan
- Adult education and literacy activities and follow-up services

### 2.3 WIOA TITLE 1 ADULT AND DISLOCATED WORKER PARTICIPANT ELIGIBILITY

Funds awarded through this RFP will be used for WIOA-eligible adults and dislocated workers seeking workforce services. Individuals eligible for services must meet the following criteria:

#### A. WIOA Adult Program

- a. Be 18 years of age or older;
- b. Be a citizen or noncitizen authorized to work in the U.S; and
- c. Meet military Selective Service registration requirements (males only)

Recipients of public assistance, other low income individuals, individuals who are “basic skills deficient, and veterans and eligible spouses of veterans receive this priority. Priority must be implemented at all times, regardless of funding level.

Priority must be provided in the following order:

- a. Veterans and eligible spouses of veterans who are also recipients of public assistance, other low-income individuals, or are basic skills deficient.
- b. Individuals who are not veterans but who are also recipients of public assistance,
- c. Veterans or eligible spouses who are not recipients of public assistance, other lo-income individuals, or are basic skills deficient.
- d. Non-veterans who are not recipients of public assistance, other lo-income individuals, or are basic skills deficient.

#### B. WIOA Dislocated Worker Program

- a. Meet military Selective Service registration requirements (males only).
- b. Citizen or noncitizen authorized to work in the US; and
- c. The individual was determined to be terminated or laid off, or has received a notice of termination or layoff, from employment, and
  - is eligible for or has exhausted entitlement to unemployment compensation; or,
  - has been employed for a duration sufficient to demonstrate, to the appropriate entity at a one-stop center, attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that was not covered under a State unemployment compensation law; and
  - is unlikely to return to a previous industry or occupation.
- d. The individual has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise;
- e. The individual is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or for purposes of eligibility to receive services other than training services, individualized career services or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close.
- f. The individual was self-employed, but is unemployed as a result of general economic conditions.
- g. The individual is a displaced homemaker;



- h. The individual is the spouse of a member of the Armed Forces on active duty, and has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty;
- i. The individual is a separated service member with a discharge other than dishonorable, who has received a notice of separation from the Department of Defense and is unlikely to return to a previous industry or occupation.

## 2.4 PROGRAM SERVICES

### A. Customer Flow and Capacity Level

Program models are expected to offer WIOA Program services throughout the year. Employ Milwaukee will maintain control and administrative oversight of WIOA Training funds for both the WIOA Adult and Dislocated Worker program. It is expected that the contractor will work to leverage other funding resources by, at a minimum, establishing a method to advise and refer WIOA participants to other programs for services.

### B. Other Required Program Components

The following contains a list of program components that must be provided, regardless of the model. All respondent programs **MUST**:

- a) Conduct creative **outreach and recruitment** activities to identify participants for the program.
- b) Complete a thorough **intake interview** and collect **eligibility documentation** for enrollment into the program utilizing the EMI **common intake** and program supplemental forms.
- c) Conduct mandatory individual **Online Work Readiness Assessments (OWRA)** that are comprehensive in nature, and can accurately identify a plan to provide services that are necessary and appropriate for eligible participants to be successful in completing a training program that matches career interests in demand occupations.
- d) Develop **Individual Employability Plans (IEPs)** that address the needs identified through comprehensive assessment, in a manner that is appropriate to the individual and follows clear timelines in which to be completed.
- e) Provide or refer to **supportive services** as appropriate and identified in the IEP.
- f) **Define the terms of participant success** for each service delivered.
- g) Maintain contact and active engagement with participants to ensure there are no gaps in service.
- h) Maintain progress of participant activities using the Wisconsin Department of Workforce Development tracking system (ASSET) and Employ Milwaukee's Efforts to Outcome System (ETO).
- i) Utilize resources made available by Wisconsin WorkNet, the US Department of Labor, Employ Milwaukee, and the Wisconsin Department of Workforce Development to effectively deliver services to adults and dislocated workers.
- j) Provide **follow-up services** for a minimum of one year after exit.
- k) Comply with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements as delineated in 2 CFR Part: 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule. And 2 CFR Part 2900: DOL Exceptions to 2 CFR Part 200.

## 2.5 WIOA PERFORMANCE OUTCOMES

Proposals should be designed to address and achieve the measures listed fully in **Attachment D**. It is important to note that once an individual is registered into WIOA, the participant will also be counted in the federal WIOA performance measures. Selected respondents will be required to meet performance measures based on the new WIOA rates Employ Milwaukee negotiates with the Department of Workforce Development every year.

# III. CONTRACT & APPLICATION PROCESS DESCRIPTION

## 3.1 CONTRACT, AWARD DESCRIPTION & REQUIREMENTS

The contract (s) developed pursuant to this RFP will be negotiated to result in reasonable sub-recipient risk and provide the sub-recipient with the greatest incentive for efficient and economical performance. Cost reimbursement type contracts are anticipated, however, EMI reserves the right to negotiate the contracting arrangements to include such contract types as firm fixed price, fixed price incentive fee, and cost plus fixed fee. Thus, at any point during contract performance, the contract may consist of more than one type of arrangement, as mutually agreed upon by the parties.

Sub recipients must have financial resources or the ability to obtain financial resource sufficient to meet their cash flow needs for a minimum of an 8-week period.

**Respondents responding to this RFP should propose to minimally enroll 600 Adult and 600 Dislocated Workers per year (new cases, not carry over from any previous contract).**

**In keeping with EMI's commitment to continuous improvement, EMI anticipates awarding fewer contracts than in previous years in order to promote efficient and effective practices. Respondents have the option to provide all services as a single entity or may opt to establish sub-awards for programs and/or services. Any and all sub-award agreements must be identified and be accompanied by an MOU attached with the proposal.**

The award amount for the One Stop Operator shall be contingent upon cost-sharing agreements negotiated with One Stop Partner agencies. The total award amount for Workforces Services (OSO, Adult and Dislocated Worker Program services) shall be in the amount of **\$1,000,000. Obligations under this RFP are conditional upon the availability of funds.**

One-year contracts will be issued with option for EMI to choose up to two (2) additional one-year renewal options based on available funding and performance. (Thus, the entire potential contract scope is three years.) Offers to extend contracts are at the sole discretion of EMI based on satisfactory performance, compliance with contractual obligations, and other factors as determined by Employ Milwaukee. Employ Milwaukee reserves the right to terminate the contract annually or earlier based on contractor performance and compliance with contractual terms and conditions.

**It is anticipated that applicants will budget and plan for at least three full-time positions.** These are to consist of at least one full time Career Coach (a role formerly termed Case Manager) who is 100% assigned to this contract, and at least one other full-time staff person who is 100% dedicated to this contract (this could be a second full-time Career Coach, or a different role that you describe), and a One Stop Career Center Manager. Overall staffing plans can exceed this – these are minimum requirements.

Final contracts will be subject to any changes in the legislation or policies of the funding sources. Employ Milwaukee reserves the right to vary or change the terms of any contract, including funding levels, scope of work, performance standards, referral sources, and shortening or extending the contract period.

### 3.2 RFP TIMELINE, NOTICE OF INTENT TO RESPONSE & RELATED INFORMATION

Employ Milwaukee anticipates the following schedule but reserves the right to make changes as necessary.

Table 1. Schedule of RFP Submission, Review and Awards	
ACTIVITY	DATE
RFP Released	3-10-17
Notice of Intent to Respond Due	3-16-17 by 4:00 p.m.
Respondents' Conference	3-21-17; 10:00 a.m. - Noon
Respondents' Conference	3-23-17; 2:00 p.m. – 4:00 p.m.
Respondents' Questions Due to Employ Milwaukee	3-28-17 by 4:00 p.m.
Questions and Answers Posted	3-31-17
Proposal Due	4-17-17 by 4:00 p.m. <b>(no exceptions)</b>
Notice of Intent to Award	Week of May 8, 2017
Contract Finalized	Week of May 29, 2017
Transition Planning	6-5-17 through 6-23-17
Contract Period Begins	7-3-17

### 3.3 RFP ISSUANCE & RESPONSE DEADLINE

The RFP is issued by **Midnight on Friday, March 10, 2017**, and available to download from the Board's website: <http://employmilwaukee.org/>. If you are unable to download the RFP, please send an email to [rfp@employmilwaukee.org](mailto:rfp@employmilwaukee.org).

**This proposal must be officially received by Employ Milwaukee staff at 2342 North 27th Street Milwaukee, WI 53210, on or before April 17, 2017, by 4:00 p.m. CST. Proposals must be received in accordance with this RFP's instructions on Proposal Preparation and Submission. Late proposals or amendments will **NOT** be accepted.** Employ Milwaukee is not responsible for any errors of omission or otherwise on the part of the U.S. Postal Service or other carrier regarding proof of mailing. No fax or emailed of proposal will be accepted. Proposals should be addressed/externally labeled as follows:

Employ Milwaukee  
Workforce Services  
Attn: Grants Administration  
2342 North 27th Street  
Milwaukee, WI 53210

**NOTE: All Board members, officers, and staff are precluded from entertaining questions concerning a proposal or the procurement process outside the confines of the Respondents' Conference. Potential respondents are asked to respect these conditions by not making personal requests for assistance, except at the Respondents' Conference. Failure to comply may lead to disqualification.**

### 3.4 NOTICE OF INTENT TO RESPONSE

A Notice of Intent to Response is mandatory for all respondents planning to submit a proposal, enabling us to notify respondents of all communication during the procurement process. Respondents that fail to submit a Notice of Intent to Response will not be eligible to submit a proposal in response to the request. However, submitting a Notice of Intent to Response does not commit the respondent to submitting a proposal. All Notices

of Intent to Response are due no later than 4:00pm, CST, on Thursday, March 16, 2017 to Employ Milwaukee via e-mail to [rfp@employmilwaukee.org](mailto:rfp@employmilwaukee.org).

Please send a simple email with “Notice of Intent to Response” in the subject line. In the email, please state your organization name and a contact person (including email and phone number) who should receive information on the procurement process and any future addenda. No project summary is requested; this is not scored but is mandatory.

### **3.5 WITHDRAWAL OF PROPOSAL**

A submitted proposal may be withdrawn at any time prior to the scheduled due date by submitting a written request to Employ Milwaukee. A withdrawn proposal will not be considered for award but will become the property of Milwaukee.

### **3.6 OPEN RECORDS**

Proposals submitted in response to this RFP are subject to the Wisconsin Public Record law, Wis. Stat. §§ 19.31-19.39, and may be disclosed to the public upon request. No documents relating to this procurement will be presented or otherwise made available to any other person, agency, or organization until after the funding award. Any confidential, privileged or proprietary information contained within a proposal must be clearly identified by the proposer in the proposal itself (each applicable page labeled). The aforementioned information will be kept confidential by Employ Milwaukee to the extent permitted by State law.

### **3.7 ADDENDA TO THIS RFP**

At the discretion of Employ Milwaukee, if it becomes necessary to revise any part of this RFP, an addendum will be posted on the website. Respondents are responsible for checking the website frequently for any updates.

### **3.8 RIGHT TO CANCEL**

Employ Milwaukee reserves the right to delay, amend, reissue or cancel all or any part of this RFP at any time without prior notice. Employ Milwaukee also reserves the right to modify the RFP process and timeline as deemed necessary. This RFP does not commit Employ Milwaukee to accept any proposal, nor is Employ Milwaukee responsible for any costs incurred by respondents in the preparation of RFP responses. Employ Milwaukee reserves the right to reject any or all proposals, to accept or reject any or all items in the proposal, and to award the contracts in whole or in part as is deemed to be in the best interest of Employ Milwaukee.

## **IV. KEY ADMINISTRATIVE REQUIREMENTS**

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### **4.1 ADMINISTRATIVE REQUIREMENTS**

Proposals must contain all completed administrative forms. A complete list of required forms is identified in Section 7.1.A. **Preferred Provider List**

The provider(s) selected shall be added to a Preferred Provider List (PPL). These providers may be selected to complete efforts for additional grant work outside of this proposal (i.e. DOL-ETA grants). Proposals will be requested; however, full procurement per 2CFR 200.318 will not be required if below the Simplified Acquisition Threshold. PPLs will maintain this status for a term of three years under their WIOA contracts.



- **Sub recipient Quality Assurance Process**

The Sub-Recipient Quality Assurance (QA) process shall include, but is not limited to the following:

1. The Sub-recipient's staff shall collaborate with Employ Milwaukee staff;
2. The Sub-recipient shall ensure that staff is trained; implements concepts learned in training and from technical assistance; and conducts ongoing system and desk reviews to ensure policies and procedures are being followed and information systems and case files are properly updated and documented;
3. The Sub-recipient shall conduct quarterly quality assurance reviews of 10% or 25 cases (whichever is less) of all activities during the review period.
4. A review and analysis of customers' files based on a selected sample;
5. A review, examination, and assessment of qualitative and quantitative system customer data;
6. A comparison of the previous Employ Milwaukee monitoring report to determine the extent to which the concerns have been addressed;
7. A review of eligibility for program services;
8. A review of supporting documentation maintained in the case file;
9. A review, examination, and assessment of the quality and the quantity of the services provided;
10. A systematic approach/review of caseload per Case Manager; and
11. Monitoring and adherence to Equal Employment Opportunity (EEO) requirements.

- **Liability of The Board**

This Request for Proposals is not in itself an offer of work nor does it commit the Board to fund any proposals submitted. The Board is not liable for any costs incurred in the preparation or research involved in the development of proposals.

- **Changes as Needed**

The specifications in this RFP may change based on issuance of State or Federal regulations or policy. WIOA regulations were issued in January of 2015 with Final Rules being published August 19, 2016. Employ Milwaukee will work with the successful respondent to implement any changes required by the State or Department of Labor. By submitting a proposal, the respondent agrees to work cooperatively with the Board to comply with subsequent changes.

- **Conflicts of Interest**

By submitting a proposal, the respondent certifies to his/her knowledge and belief that there is no conflict of interest (real or apparent) inherent in the response or in delivering the scope of work if the Board awards a contract. A conflict of interest would arise if any individual involved in the preparation of this RFP, proposal review and rating or award decisions has a financial or other interest in or represents the responding organization and would be likely to gain financially or personally from the award of a contract. The same would hold true for any member of the individual's family, partner, or an organization employing or about to employ any of the above as a direct result of the successful award of a contract under the RFP. The Board reserves the right to disqualify a response should a conflict of interest be discovered during the solicitation process.

- **Subcontracting**

Respondents may subcontract for all or part of the services to be provided, but the intentions to subcontract must clearly be stated in the response to the RFP. Any subcontracting not specifically specified in the proposal or in the contract must have EMI approval.

Respondents detailing the use of subcontracted services in order to fulfill the contract shall submit documentation proving compliance with Procurement Standards. Respondents should be aware that citing a partnership within the proposal is **not** a substitution for following Procurement Standards as set forth in 2 CFR 200.318 -320. All intended contracts, either entered or planned, greater than the Micro-Purchase threshold of \$3,500 will be required to supply procurement documentation sufficient to prove adequate competition. All intended contracts, either entered or planned, greater than the Simplified Acquisition Threshold of \$150,000 will be required to supply procurement documentation in compliance 2 CFR 200.320(d)- Procurement by Competitive Proposals.

Any intended/executed subcontract entered into by the respondent, with the intent to charge costs to the WIOA Adult/ Dislocated program, either prior or post, an award from EMI, will be subject to review of its procurement procedures. In the event that EMI finds respondent to be negligent of proper procurement procedures and documentation it reserves the right to either disqualify the respondent from the RFP process or find the respondent in breach of its contract; in the event a contract is awarded.

- **Profit**

Only commercial for-profit organizations may incorporate profit into their budget. Profit must be contained in a single line item in an Operator Overhead line within the Administrative Category and may not exceed 10% of the Total Direct Costs.

- **Risk Assessments**

Per 2 CFR 200.205 Employ Milwaukee completes risk assessments to gauge monitoring requirements for all subgrantees, for every new contract, based on the following guidelines:

1. Subgrantees that have not had or maintained a current relationship (within the last 12 months) with EMI.
2. Subgrantees that do not meet the minimum criteria for an annual audit.
3. Subgrantees that have known risk factors, per their annual audit, or any other information transmission (i.e. word of mouth).
4. Subgrantees that are applying to receive new contractual agreements.

The respondent will be provided the **Subgrantee Internal Control Questionnaire** and will complete and return with the proposal as Attachment I. The Subgrantee Internal Control Questionnaire will only be issued a maximum of once per year to each subgrantee.

The Contracts & Financial Compliance Manager will form a Risk Assessment Committee to review and score subgrantees utilizing the **Subgrantee Risk-Based Assessment Tool**. The committee will consist of both Program and Fiscal personnel familiar with the program and the subgrantee. The resulting score will determine the extent to which the subgrantee will require monitoring and/or its ability, or lack thereof, to perform the contract requirements.



#### 4.2 DATA REPORTING & MONITORING REQUIREMENTS

Additional administrative requirements are as follows (it is important that you also review and approve compliance with Attachments B).

- **Report data:** All data must be reported in the DWD authorized data system ASSET (Automated System Support for Employment and Training). In addition to ASSET, EMI also utilizes a data collect system, Efforts-to-Outcomes (ETO). The selected sub-recipient will be required to use ASSET & ETO to record and track all client activities and program services. Reports generated from ASSET and ETO will be utilized to monitor program performance and continuous improvement by the service provider, EMI and the Wisconsin Department of Workforce Development. Knowledge of both data systems, precision, and timely entry of information is critical. System training and support will be facilitated by the Wisconsin Department of Workforce Development and/or the EMI Data Department; however it is the selected sub-recipient's responsibility to ensure on-going staff expertise and cooperation. Additionally, the selected sub recipient may be required to provide documentation or information not accessible through ASSET or ETO to evaluate performance outcomes, as well as program strengths and weaknesses. Each sub-recipient will need to display how outcomes will be tracked and managed through their internal controls.
- **Participate in monitoring** - At any time the Department of Labor, the Wisconsin Department of Workforce Development, or EMI may monitor progress, and/or adherence to any and all grant regulations. The selected sub-recipient must open records and allow monitors to perform their oversight duties. Sub-recipient must adhere to all requirements within 2 CFR 200.328 with regards to monitoring and reporting program performance.

Employ Milwaukee adheres to a strict Monitoring Plan (MP) strategy in order to facilitate self-assessment and on-site reviews to ensure accuracy of data reported and collected. Participants files and data systems shall also be reviewed to: ensure data integrity and continuous improvement of system operations; reduce the error rate to three percent (3%) or less; and ensure compliance with federal, state and local laws, transmittals, directives, policies, procedures and regulations

- **Respond to requests for reports and/or data** - Financial and programmatic reports will be required monthly to EMI. The selected sub-recipient will be expected to adhere to other requests from Employ Milwaukee regarding performance, fiscal questions, or other matters relating to Employ Milwaukee business. Employ Milwaukee reserves the right to contact the person who is directly in charge of overseeing the day-to-day activities of the program regarding any request for information. Data reporting will be standardized and configured by the EMI Data Department to monitor goals and actual performance. Data analytics will be available for the sub-recipient to review their performance progress however they should still be tracking the information and data provided to Employ Milwaukee using their own internal controls.

## V. ASSURANCES & CERTIFICATIONS

This part of the RFP is a sample of the EMI's contract boilerplate; this, and/or other similar language will be used in all Contracts awarded under this procurement. All responses to this RFP must include the statement of concurrence (Certification of Respondent), which states that the respondent has read this section of the RFP and is prepared to sign a contract, should the proposal be selected for funding, which includes these assurances and certifications:

**A. System for Award Management and Universal Identifier Requirements**

**1. Requirement for System of Award Management**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

**2. Requirement for unique entity identifier**

If you are authorized to make subawards under this award, you:

- i. Must notify potential subrecipients that no entity (*see* definition in paragraph [3] of this award term) may receive a subaward from you unless the entity has provided its unique entity identifier to you.
- ii. May not make a subaward to an entity unless the entity has provided its unique entity identifier to you.

**3. Definitions**

For purposes of this award term:

*System of Award Management (SAM)* means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at <http://www.sam.gov>).

*Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.

*Entity*, as it is used in this award term, means all of the following, as defined at 2 CFR parts 25, subpart C:

- a. A Governmental organization, which is a State, local government, or Indian Tribe;
- b. A foreign public entity;
- c. A domestic or foreign nonprofit organization;
- d. A domestic or foreign for-profit organization; and
- e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

*Subaward*:

- a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200.330)
- c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

*Subrecipient* means an entity that:

- a. Receives a subaward from you under this award; and
- b. Is accountable to you for the use of the Federal funds provided by the subaward.

**B. Federal Funding and Accountability and Transparency Act**

**1. Reporting of first-tier subawards.**

- i. *Applicability.* Unless you are exempt as provided in paragraph [4.] of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph [5.] of this award term).
- ii. *Where and when to report.*
  - a. You must report each obligating action described in paragraph [1.i.] of this award term to EMPLOY MILWAUKEE.
  - b. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
- iii. *What to report.* You must report the information about each obligating action that the submission instructions posted at <http://www.fsrc.gov> specify.

**2. Reporting Total Compensation of Recipient Executives.**

- i. *Applicability and what to report.* You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if—
  - a. the total Federal funding authorized to date under this award is \$25,000 or more;
  - b. in the preceding fiscal year, you received—
    - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
  - c. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)
- ii. *Where and when to report.* You must report executive total compensation described in paragraph [2.i.] of this award term:
  - a. As part of your registration profile at <http://www.sam.gov>.
  - b. By the end of the month following the month in which this award is made, and annually thereafter.

**3. Reporting of Total Compensation of Subrecipient Executives.**

- i. *Applicability and what to report.* Unless you are exempt as provided in paragraph [4.] of this award term, for each first-tier subrecipient under this award, you shall report the names and

total compensation of each of the sub recipient's five most highly compensated executives for the sub recipient's preceding completed fiscal year, if—

- a. in the sub recipient's preceding fiscal year, the subrecipient received— (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
  - b. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- ii. *Where and when to report.* You must report subrecipient executive total compensation described in paragraph [3.i] of this award term:
- a. To the recipient.
  - b. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

#### 4. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

#### 5. Definitions

For purposes of this award term:

*Executive* means officers, managing partners, or any other employees in anagement positions.

*Total compensation* means the cash and noncash dollar value earned by the executive during the recipient's or sub recipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- a. *Salary and bonus.*
- b. *Awards of stock, stock options, and stock appreciation rights.* Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- c. *Earnings for services under non-equity incentive plans.* This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

- d. *Change in pension value.* This is the change in present value of defined benefit and actuarial pension plans.
- e. *Above-market earnings on deferred compensation which is not tax-qualified.*
- f. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

**C. Personally Identifiable Information**

Recipients must recognize and safeguard personally identifiable information (PII) except where disclosure is allowed by prior written approval of the Grant Officer or by court order. Recipients must meet the requirements in Training and Employment Guidance letter (TEGL 39-11, Guidance on the Handling and Protection of Personally Identifiable Information (PII)), (located at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=7872](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=7872)).

**D. Audits**

Organization-wide or program-specific audits shall be performed in accordance with the Single Audit Act Amendments of 1996. Recipients that expend \$750,000 or more in a year in Federal awards shall have an audit conducted for that year in accordance with the requirements contained in 2 CFR 200.501. The provisions of 2 CFR Subpart F, Audit Requirements, will apply to audits of non-Federal entity fiscal years beginning on or after December 26, 2014. The revised audit requirements are not applicable to fiscal years beginning prior to that date.

**E. Veteran's Priority Provisions**

38 U.S.C. 4215 requires recipients to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Recipients must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

**F. Drug-Free Workplace**

The Drug-Free Workplace Act of 1988, 41 U.S.C. 702 et seq., and 2 CFR 182 require that all organizations receiving grants from any Federal agency maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for suspension or debarment.

**G. Prohibition on Contracting with Corporations with Unpaid Tax Liabilities**

The recipient may not knowingly enter into a contract, Memorandum of Understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative



remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

**H. Clean Air Act and Federal Water Pollution Control Act**

For Agreements in excess of \$100,000, Subrecipients must comply with applicable standards of the Clean Air Act, 42 U.S.C. 7401 et seq., and the Federal Water Pollution Control Act, 33 U.S.C. 1251 et seq., as amended.

**I. Lobbying**

Subrecipients receiving funding in excess of \$100,000 are required to file a certification form regarding lobbying requirements with the Grantor. Use of federal funds for lobbying the executive or legislative branches of the federal government in connection with a specific contract or grant is prohibited. DOL Standard Form LLL (disclosure report) must be filed with the Grantor if the Subrecipient engages in lobbying activity utilizing other than federal funds. The Grantor will provide the "Certification Regarding Lobbying" form and Standard Form LLL to Subrecipient as needed. The appropriate form(s) must be filed with the Grantor before the contract can receive final approval.

A new certification and disclosure report (where applicable) must be filed with the Grantor at the beginning of each program year. When events occur which materially change the information originally provided on the disclosure report, an amended form must be filed.

**J. Affirmative Action Plan**

For federal contractors and subcontractors, affirmative action must be taken by covered employers to recruit and advance qualified minorities, women, persons with disabilities, and covered veterans. Affirmative actions include training programs, outreach efforts, and other positive steps. These procedures should be incorporated into the company's written personnel policies.

Per CFR 41 part 60-2.1 (Executive Order 11246, as amended) all non-construction contractors and subcontractors are required to have an updated Affirmative Action Plan, if it meets any one of the following;

- (i) Has a contract of \$50,000 or more; or
- (ii) Has Government bills of lading which in any 12-month period, total or can reasonably be expected to total \$50,000 or more; or
- (iii) Serves as a depository of Government funds in any amount; or
- (iv) Is a financial institution which is an issuing and paying agent for U.S. savings bonds and savings notes in any amount.

## VI. EVALUATION & AWARD PROCESS

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### 6.1 CONTRACTOR SELECTION PROCESS

Employ Milwaukee, Inc. will conduct a review of all proposals received by the deadline. Proposals will be evaluated first to determine if all information required by the RFP is complete. Incomplete proposals or those not satisfactorily addressing each requirement may be disqualified.

1. A consideration in selecting agencies or organizations to deliver services shall be the demonstrated performance of the agency or organization in delivering comparable or related services. Performance in



this or similar activities shall be considered when awarding points for demonstrated performance. Other performance with EMI will be considered in the evaluation of proposals received in response to this RFP.

2. Funds provided under this RFP **shall not be used to duplicate facilities or services available** in the area (with or without reimbursement) from the Federal, State or local sources, unless it is demonstrated that alternative services or facilities would be more effective or more likely to achieve the local workforce development area's performance goals.
3. The proposal review process will include: evaluation, rating, and ranking of proposals by professional staff or qualified outside evaluators using the general criteria specified below. The proposal review process will also include review, approval to negotiate and selection for award of contract by Employ Milwaukee Board of Directors.
4. The selection of all contractors shall be made on a competitive basis to the extent practicable, and shall include determination of the contractor's ability to provide WIOA Adult and Dislocated Worker services established by Employ Milwaukee.
5. Award of Contracts for provider organizations shall be made only to "Responsible Contractors" who have demonstrated competence and qualifications, including: a satisfactory record of past performance, contractor integrity and business ethics; fiscal accountability; financial, technical resources, established management and monitoring systems and the ability to meet requirements of this RFP, the laws and regulations of the specific funding source(s).
6. Providers not complying with Section 504 of the Rehabilitation Act of 1973, the Federal Drug-Free Workplace Act of 1988, and the Americans with Disabilities Act shall not be awarded a contract.
7. The successful contractor(s) will be required to maintain automated and/or paper records of customer activity, financial management, property, procurement, plans, policies, procedures, internal and external evaluations, and performance. In the event the contract is not renewed or is terminated, the current contractor agrees to provide any and/or all of the identified records to EMI.
8. The successful contractor agrees to use ASSET and ETO or any subsequently developed and required State system, to maintain all customer records required to be tracked and reported to the State of Wisconsin Department of Workforce Development in the manner and timeframe required by the Commission.
9. Contractor may be provided with inventory upon execution of contract and will assume complete responsibility for updating and maintaining during the contract period.

## **6.2 PROPOSAL EVALUATION PROCESS**

Responsive proposals submitted by the deadline will be evaluated using the objective criteria below. Employ Milwaukee assigns professional staff or qualified outside evaluators to read and evaluate each proposal. Parts of the scoring will be scored independently by each reader; the final scores for those parts will be the average of the independent scores of all readers. All references are validated and scores included in the evaluation process. In selecting proposals for award of contract, Employ Milwaukee reserves the right to depart from the strict ranking by evaluation scores, whenever it deems such departure will better serve the best interests of EMI and its constituents.

### 6.3 EVALUATION CRITERIA

Responsive proposals submitted by the deadline will be evaluated using the criteria below:

Points Possible Per Section	
<b>Organizational Capabilities &amp; Experience</b>	30 Points
<b>Statement of Need &amp; Target Population</b>	10 Points
<b>Program Design</b>	70 Points
<b>Staffing Plan</b>	10 Points
<b>Partnerships and Coordination</b>	10 Points
<b>Financial Management &amp; Organizational Stability</b>	20 Points
<b>Total Points</b>	150

- Organizational Capabilities & Experience** **30**

The respondent must demonstrate organizational capacity, effectiveness and competence in delivering comparable or related services in the prior three years. The reviewers will look closely at contractor capacity to deliver WIOA adult and dislocated worker services, as well as current/past programmatic and fiscal performance including status of performance measures, expenditure levels, and timely submittal of timesheets, invoices and close-outs. The Previous Experience Report (included as a proposal attachment) will be considered. Reviewers will consider the extent to which the organization's mission, experience, structure, facilities, and data entry capacity are appropriate for the proposed services.

- Statement of Need & Target Population** **10**

The respondent must demonstrate in-depth knowledge of the characteristics and needs of the target population and geographic area, based both on demographic data and experience. The reviewers will also consider the extent to which respondents identified program methods for addressing target population barriers, and the respondent's experience in this area.

- Program Design** **70**

The respondent must demonstrate a thorough understanding of the range of programs and services to be offered. The respondent must describe the overall innovative approach, design and strategies it will utilize to effectively deliver services and manage resources, provide quality customer services, collaborate with community partners, meet/exceed performance measures, and work to continuously improve performance and services. The respondent will indicate the WIOA strategies used to provide an innovative workforce system. The respondent will demonstrate industry sector and employer connections, refer to MOUs using the required template, describe effective outreach and recruitment methods, and overall service integration.

**Workforce Services – One Stop Operator, Adult & Dislocated Worker**

- **Staffing Plan** **10**  
 The respondent must present a clear and comprehensive staffing plan which is appropriate to the number and needs of the clients to be served, with adequate expertise, supervision, staff development and management, and quality assurance. Reviewers will also consider the approach to case management, referral to supplemental services, ETO/ASSET data documentation capabilities, and the approach to job development.
- **Partnerships and Collaboration** **10**  
 The respondent must have in place partnerships that address the requirements of this RFP. If partnerships are not currently in place, the respondent must demonstrate the ability to build such collaborative partnerships.
- **Financial Management and Organizational Stability** **20**  
 Budgets will be reviewed to determine that costs are reasonable, necessary, allocable and allowable. Other areas of review for this section include: the cost allocation methodology, competitive indirect costs/overhead costs, proposed schedule for incentives/profit and in-kind matching funds. All costs are significant competitive variables in this procurement.

**TOTAL POSSIBLE POINTS      150**

**6.4 RESPONDENT INQUIRY & APPEAL PROCESS**

All appeals for non-award must be made in writing and must fully identify any contested issues. Subjective interpretations by evaluators are not subject to protest or appeal. The written appeal must be based on one of the following factors:

- A conflict of interest on the part of one or more evaluators.
- Mathematical errors were made in the scoring of proposals.
- The evaluators did not adhere to the established rating criteria.
- Written appeals must be fully documented and must be postmarked and filed with:

Earl Buford, President and Chief Executive Officer  
 Employ Milwaukee  
 2342 North 27<sup>th</sup> Street  
 Milwaukee, WI 53210

Appeals must be received in the above office no later than five (5) business days after receiving a written notification of non-award. For purposes of this provision, email will suffice. Appeals must be emailed to [earl.buford@employmilwaukee.org](mailto:earl.buford@employmilwaukee.org). Those appealing must confirm timely receipt by calling (414) 270-1709. The Employ Milwaukee Chief Executive Officer shall review the appeal and shall render a decision on the appeal. For appeals denied by the CEO, the proposer shall have the right to appeal the decision to the Board Chair at:

Don Layden, Jr.  
 Baird Venture Partners  
 777 East Wisconsin Avenue  
 Milwaukee, WI 53202

The written appeal must be based on one (1) or more of the factors listed above and must fully explain the basis for appealing Employ Milwaukee's CEO denial. The written appeal to the board Chair must be received in that

office no later than five (5) days after the appeal is denied by the CEO. The board chair shall review the appeal and render a final decision on awarding of the contract.

**Public Record:** Respondents are advised that all documents obtained as part of this RFP process, and in the possession of Employ Milwaukee, are considered public records and subject to disclosure under the State of Wisconsin's Open Records Laws. There will be no public inspection of documents prior to the release of the intent to subcontract.

## VII. PROPOSAL FORMAT & NARRATIVE CONTENT

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### 7.1 INSTRUCTIONS FOR SUBMITTING A PROPOSAL

Proposals must be typed, single spaced, 12 font, one sided only, one column, and submitted on 8.5 x 11 inch paper. **Fancy or bulky binding, colored displays and promotional material are discouraged.** Emphasis must be placed on addressing all the requirements of this RFP in a clear and concise manner. Total narrative is thirty (30) pages maximum, excluding attachments, budget, and other required forms. The RFP with attachments will be available on our website: <http://www.employmilwaukee.org/>.

**NUMBER OF COPIES - One (1) complete original with original signatures and four (4) exact copies must be submitted as required.** The original includes all Items listed in the "Response Checklist" below. Copies include all materials, which will be used by readers in rating the proposal. Items listed under attachments with original signatures are required only with the original copy of the proposal. All documents submitted must be legible, complete and fully assembled. Any proprietary material should be clearly marked as "Confidential". Any proposal lacking sufficient copies to distribute to each reader may be ruled unresponsive.

**PROPOSAL LABELING AND SUBMISSION** - Proposals must be addressed, externally labeled, and submitted according to the instructions regarding the response deadline. **No faxed or emailed proposals will be accepted.**

**PROPOSAL COVER SHEET** -- All items on the Proposal Cover Sheet must be completed. Identify a liaison or primary contact person, as well as the Signatory Authority--a person with the legal authority to negotiate and sign a contract on behalf of the proposing organization. (This is also the person who must sign the various certification forms.)

**EXECUTIVE SUMMARY** – The Executive Summary provides a summary of proposed activities, collaborating partners, funding level requested, and outcomes to be achieved. This cost does not include cost of training services.

**TABLE OF CONTENTS** – The Table of Contents does not count against the narrative page limit. While you are required to list each proposal element included, it is not mandatory to add page numbers to each element such as the attached audit.

#### A. RESPONSE CHECKLIST AND ORDER OF SUBMISSION

The proposal must be submitted in order as Attachments:

- A. Proposal Cover Page (Form A)
- B. Executive Summary

- C. Proposal Narrative
- D. Subrecipient Budget Narrative (Form C)– See “Creating a Budget Memo”
- E. Subrecipient Staff Wage Detail (Form D)
- F. Subrecipient Contacts (Attachment 3B & 3B Page 2)
- G. Assurances (Form B)
- H. Certification Regarding Debarment
- I. Certification Regarding Drug-Free Workplace
- J. Certification Regarding Lobbying
- K. Certification Regarding Conflict of Interest
- L. Certification of Affirmative Action Plan
- M. Subgrantee Internal Control Questionnaire
- N. Proof of Incorporation or Agency Status
- O. Proof of bonding (if Applicable) and Certificates of Insurance
- P. Organization Chart
- Q. Job Descriptions and Resumes
- R. Letter(s) of Agreement with partners/MOU – must include documentation proving adequate competition as noted in section I (L) above.
- S. Submit one copy of your most recent audit report
- T. W-9
- U. Submit one copy of your workforce Program and Fiscal Monitoring Reports for the most recent two years
- V. List of References, including liaison or contracting officer of any listed contract or funding source

## 7.2 EXECUTIVE SUMMARY

Immediately following Form A – Cover Sheet (Agency Identification Form), please include an Executive Summary limited to 2 single sided, double spaced pages with a font no smaller than 11 point and 1 inch margins. At a minimum include in the Executive Summary the following:

- Applicant Name
- Applicant Address
- Lead Applicant City/State
- Funding Level Requested
- Summary of Applicant Experience
- Description of Proposed Project

## 7.3 PROPOSAL NARRATIVE

### A. Organization Capabilities & Experience

40 points

1. **Organization Description:** Provide a concise description of the lead organization including: primary location, type of organization (for-profit, nonprofit, etc.), size of the organization, years in operation, brief history, mission and vision, and any other relevant information that helps provide an overview of the organization.



2. **Previous Experience:** Provide a narrative summary of evidence of the organization’s ability to successfully perform the services described in this RFP, including descriptions of past projects completed with a similar scope of work and detail on your past performance outcomes. Describe the organization’s overall capacity to deliver the required program, including a description of the organization’s knowledge, expertise, and experience working with adults and dislocated workers facing challenges within the workforce development industry and/or nonprofit sector. **In addition to the in-narrative summary, respondents are required to include a Previous Experience Report as a proposal attachment, which does not count against narrative page limits. In the report, please list all adult and dislocated worker, workforce development or related activities, education, training and services provided by the respondent during the last three years prior to this RFP. Non-related activities and services that illustrate a respondent’s ability to successfully implement the program should also be included. If you have received a contract from Employ Milwaukee in the past two years, you score will be impacted by the following items; if you have not received a contract from Employ Milwaukee you must provide similar items for two relevant contracts as applicable**

For each contract or project, provide the following information, as applicable:

- a. Project budget and percent of the budget expended.
  - b. Planned versus Actual performance outcomes.
  - c. If performance stated above was less than contracted outcomes, explain the circumstances and the changes implemented and/or planned to improve performance.
  - d. State if the respondent was put on any corrective action plan.
3. **Organization and Management Structure:** Describe your proposed organizational structure responsible for the management and operation of the WIOA adult and dislocated worker program system. Include key management and qualifications. Refer to your attached organizational chart representing the entire organization.
4. **Facilities and Transportation:** Describe any proposed program facility(ies), including locations, space available, and accessibility with regard to bus lines and access for persons with disabilities, and arrangements for transportation to off-site trainings or other services.
5. **Database Usage:** Employ Milwaukee requires that all data be managed into two database systems, ASSET and ETO. What processes are in place to ensure timely data entry, data management and data integrity? Describe your qualifications and readiness regarding database usage for client data and outcomes monitoring.
6. Describe additional resources that will assist in effectively operating and managing a WIOA adult and dislocated worker system.

#### **B. Statement of Need & Target Population**

**10 points**

Please describe the characteristics and needs of the specific population(s) you intend to serve, assuming the reader is unfamiliar with the population. Include demographic data specific to the geographic area to be served (Milwaukee County).



Please consider that Employ Milwaukee views the following as priority populations for service: individuals who are unemployed, individuals who are under employed, individuals who may have criminal backgrounds, English Language Learners, homeless individuals, and individuals with disabilities and low-income individuals.

Describe the target population's barriers in achieving self-sufficiency and in accessing employment through workforce system services and career and training services. How will the proposed program address those barriers in terms of services and strategies? What direct experience has your organization had with members of this population and how did your organization accommodate their needs? Which aspects of your proposed program, e.g., essential skills development, program environment, facilities, etc., are designed specifically to address the challenges faced by this population?

### C. Program Design

70 points

#### C.1 One Stop Operator

Employ Milwaukee new vision for the One-Stop Delivery system is that it serves as a community resource for both job seekers and employers to increase the efficiency with which the right person is matched with the right job, and to offer an abundance of career exploration and job readiness resources in a user friendly, customer-focused, results-driven environment. This system is based on the following WIOA Principles:

- Demand driven focus
- Streamlining services
- Empowering individuals
- Universal access
- Increased accountability
- Strong leadership, oversight and management roles for local workforce boards and the private sector
- Local flexibility
- Improved youth programs and outcomes

In addition the WDB has established the following tenets that must be followed by the successful respondent (s) for one-stop operator in Milwaukee County:

- The one-stop office is in a visible physical location, meets all accessibility standards and presents a professional, well-maintained environment;
- The one top will provide quality service to all job seekers regardless of age and to all companies regardless of size or industry type, using data as well as customer input to drive both improvement and quality service;
- The one-stop operator will be run efficiently using lean and/or other system approaches ensuring efficient and effective investment of public funds and resulting in the attainment of WIOA and other grant funds;
- The one-stop office must partner with the WDB to bring in other resources beyond WIOA and must implement services provided through these resources in a seamless fashion to both companies and job seekers;
- The one-stop operator must full incorporate WIOA-mandated and other community partners in career center operations through integrated staff management and must also provide services at both the career center and the community, and;
- The one-stop operator's programs and services will be fully aligned with the WDB's local plan, providing consistent focus on the critical and emerging industries in the region;
- The one-stop operator shall respond to WDB initiated grants with timely responses as requested.

To this end, EMI is looking for proposals that represent the supportive elements of information management, marketing, and public relations, service integration and coordination, and facility coordination.

- a. **Population Served** – Describe the population to be served. Discuss the proposed philosophy, approach and implementation plan for outreach and recruitment of diverse target groups. Address how the Center will serve people with disabilities, Limited English Proficiency, and prioritized populations (i.e. veterans, recipients of public assistance, other low-income individuals, and individuals who are basic skills deficient)

Discuss how you would manage your assessment and referrals process. How would your agency supervise this function to ensure accuracy? How will you determine appropriateness to minimize the risk of public investment? Not all customers will be determined eligible or appropriate, but the program should still address their workforce needs. Describe the process for ensuring these individuals do not “fall through the cracks.”

Discuss varying orientation techniques for the career center and the system as a whole. How will you ensure that people who come to the career center will know about the services and program available? Discuss how these sessions may be coordinated with other partners in the one-stop. Propose the content of customer orientation.

Include where and how services will be delivered to meet the needs of the target population.

- b. **Required Elements** – The one-stop operator will be responsible for development and on-going functioning of the Milwaukee County One-Stop delivery system and center(s). The One-Stop system shall include but not be limited to:

- Provision of career services;
- Access to training services;
- Access to employment and training activities;
- Access to programs and activities carried out by all WIOA one-stop partners;
- Access to data, information, and analysis for the local labor market;
- Provision of job search, placement, recruitment, and employment activities.

Describe how required activities will be provided. Describe creative or innovative ideas you have for one-stop system services and how you would implement those ideas (demonstrate knowledge of best practices or evidence-based practices.)

- **For Information Management**, describe your experience in working with a customer transaction system such as ASSET or some other system. This may also include on-line tools that jobseekers and one-stop staff could utilize in their job search such as Job Center of Wisconsin or something similar.
- **For Marketing and Public Relations**, describe how you will develop an overall marketing plan that aligns with that of Employ Milwaukee.
- **For Service Integration and Coordination**, it is the expectation that the One-Stop Center staff of all programs will be organized by function, not by program and with a

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successful outcome in mind for both the employer and the job seeker. How will you develop and implement a functional approach to multi-partner office operations? Describe your experience with supervision within a multi-partner environment similar to a One-Stop. Describe the process by which operational procedures will be developed.

- For Workshops and Events, Describe the process to ensure that workshops will be relevant and beneficial to clients, as well as the process for determining frequency and timeliness of workshops/events/special programs.
- For Facility Responsibilities, Describe your experience in managing a property with multiple tenants. How will you provide management of facilities, property, and inventory for the One-Stop Center?

Describe how you will ensure facility compliance with the Americans with Disabilities Act that meets the intent, not just the letter of the law.

How will you develop a plan for assessing the best flow of traffic design (Provide an example of a customer flow chart that you have operated under in a one-stop environment and the principles behind the selected customer flow?)

Describe how facility needs and requirements will be identified. How will facilities be used to maximum potential (include usage of community rooms, leasing of office space, and generation of rental revenue.)

Describe the rationale, facilities, and any experience you have had with an office move. Prepare a time line for full operation of services, assuming full operation of a contract by July 1, 2017. At a minimum, include:

- Hiring of staff;
- Training of staff;
- Preparation of space: electronic access for all staff available, e-mail accounts assigned, moving time and readiness to begin functions; and
- Full operation in place; all services functional, all agreements in place.

- C. **Involvement of Local Employers, Business and Community Resources** - If the proposal is from two or more organizations, whether partners or subcontractors, explain how those organizations achieved the coordination necessary to submit the proposal and how that collaborative effort will be maintained throughout service delivery. Describe how services will be coordinated if the organization applying is partnering with another entity or entities (via subcontract) to provide the required elements.

The Operator will be responsible for working with all partners to create a One-Stop Business or Strategic Plan. Describe your experience in creating one-stop business/strategic plans and how partner staff will be involved.

Employ Milwaukee has requested that all partners support an integrated model of service delivery as much as possible to be able to provide seamless services to any person entering the One-Stop Center. Describe how you might integrate services and workflow in the One-Stop Center that will result in

seamless service delivery. What is your vision of how seamless service delivery will be accomplished in a collaborative atmosphere?

### C.2: Adult and Dislocated Worker Services

Employ Milwaukee has also established programmatic goals for PY17 under this Award. These are found in **Attachment D**.

1. Describe how the availability of services to adults and dislocated workers will be marketed in all communities within the Region. Also describe how recruitment of these populations will be conducted.
2. Describe any sector partnerships that play a key role currently in Region2 and suggest any additional sectors that could be explored based on the labor market in Region 2.
3. Describe the eligibility, assessment, case management, and counseling services that will be provided to adults and dislocated workers in an integrated system. Describe how co-enrollment between WIOA Adult, WIOA Dislocated Worker, TAA, VETs and Wagner-Peyser programs will be achieved.
4. Describe career services, training, and follow up services to be provided to these populations under WIOA.
5. Describe your understanding of the use of career pathways for adults and dislocated workers.
6. Describe all services that will result in direct client expenditures (i.e. supportive services, ITAs, OJT, work experience, etc.) For each type of service, describe how it will be decided which customers receive that particular type of service and how the amount of financial assistance will be determined for each customer in an integrated system.
7. Describe how rapid response services will be provided to customers in the event of a facility closure or large dislocation. Also describe how rapid response activities will be coordinated between business services staff and DWD Job Service staff.
8. Demonstrate knowledge of WIOA performance requirements for the adult and dislocated worker programs by describing how the programs will be managed in an integrated system to meet or exceed each of the applicable performance standards. In addition, please provide an assurance that services will also be designed to meet any additional quality standards established by the Department of Workforce Development or the Regional Workforce Board.
9. Describe how customer feedback will be collected and used to make continuous improvements to services.
10. Describe your understanding how seamless services should be provided between workforce programs including Adult, Dislocated Worker, Youth, Business Services, Wagner-Peyser, Trade Adjustment Assistance, Veterans Programs, TANF, Adult Education and Vocational Rehabilitation.
11. The successful respondent may be required to produce Standard Operating Procedures (SOPs) within 90 days of award. At a minimum these, SOPs should address intake and eligibility determination; assessment including priority of service determination; assessment as it related to eligibility determination for training services; monthly; quarterly and annual file monitoring and data validation; and, quality assurance and performance monitoring. Describe your experience in producing program specific SOPs and provide examples.

### C.3 Business Services

As the workforce development board for Milwaukee County, Employ Milwaukee serves as the centralized point-of-contact for employers to define specific workforce requirements for growth industries. In this model, the Business Services team convenes Industry Advisory Boards in the high growth industries of healthcare, manufacturing, construction, finance, hospitality/retail, and information technology.

Employ Milwaukee requires the successful respondent to compliment and integrate any business service activities with Employ Milwaukee so as to not duplicate services and provide said services in an efficient and cost-effective manner.

12. Describe how staff will work with Employ Milwaukee to connect employers to the workforce system, gather business intelligence and assist in the development of a Regional Workforce/Economic Development partnership by developing relationships with regional businesses.
13. Describe how staff will work with Employ Milwaukee to:
  - Increase employment levels regionally, including client placement services.
  - Market workforce services to the businesses in the region, in group or one-on-one settings.
  - Register clients in Job Center of Wisconsin when appropriate.
  - Promote the Employ Milwaukee/America’s Job Center brand.
  - Share business intelligence to better understand the needs of business for workforce development solutions.
  - Communicate, facilitate and coordinate services with local, state, regional entities.
14. Describe how staff compile and advise Employ Milwaukee of business intelligence for strategic planning.
15. Describe the process for providing information to employers to raise awareness about all WIOA and other workforce program services including but not limited to; American Job Center, Job Center of Wisconsin, WorkKeys profiling and assessments, on-the-job training programs, specialized recruitment and placement, screening services, etc.

**D. Staffing Plan**

**10 points**

**Staff Description:** Please describe each staff position involved in the project, including their role, any noteworthy experience or credentials, what position supervises them (i.e., who they report to), and the amount/percentage of their position which is devoted to work on the proposed contract. Make it clear who oversees the project in a managerial sense, as well as who works directly with the clients. If any positions are leveraged or in-kind, please note this (leveraged and in-kind positions are not a requirement). This may be expressed in sentences or in a table/chart of your own design.

**Staff Development:** Describe the approach for staff recruitment, training, staff development and support for all staff involved in the program. Include how the approach to staffing takes into account the varied needs of individuals served. How will you evaluate staff performance and accountability to ensure effectiveness?

**Case Management & Job Development:** Describe your approach to case management and include how the respondent will work with community partners to refer individuals to other appropriate services in order to maximize available resources and avoid duplication. What is the anticipated case load that each Career Coach funded by this project will have (specify percentages of FTE)? Indicate the approximate number of contacts with participants that your Career Coaches will make and how you will document the contacts. Explain the process to maintain up-to-date participant files including data entry into ETO and ASSET.

**4. Quality Assurance:** Describe which role(s) are responsible for quality assurance and how this is carried out. What does quality assurance consist of for the proposed program?

**E. Partnerships and Coordination**

**10 points**

Partnerships and coordination of services with other organizations are one of the keys to success in the delivery of WIOA services.



1. Describe past success in developing effective working relationships with partner organizations. Include at a minimum local DWD staff and programs, Adult Education Providers, Literacy programs, Offender programs, English as a Second Language Programs, Vocational Rehabilitation, Temporary Assistance to Needy Families, and Senior Community Service Employment Programs.
2. Describe past experience with an integrated service delivery model, functional supervision, information sharing, case management of co-enrolled clients, cross training of staff, Rapid Response activities, services to TAA clients, or other activities conducted in close coordination with local DWD staff.
3. Describe how key management staff will work in cooperation with EMPLOY MILWAUKEE and DWD.
4. Describe how service delivery staff will work with EMPLOY MILWAUKEE, DWD and partner staff to achieve an integrated system where customer service and performance are high priorities.
5. Include MOUs from key partners you plan to collaborate with. Respondents should only include key partners such as community based organizations or partner programs. Do not include supportive service vendors.
6. If your organization is not presently a service provider in Milwaukee County, describe how you will work with EMPLOY MILWAUKEE and the current service provider prior to June 30, 2017 to prepare for an efficient transition of files and customer caseloads. Please include a timeline that details the transition steps to be taken (i.e. staff hired, policies developed, etc.) and the anticipated completion date for each transitional activity.

#### **F. Financial Management Budget**

**20 points**

The respondent should complete PY17 budgets on the included as Attachments B1 and B2. Please do not deviate for the Budget format provided. Consistency will allow the reviewers to compare the proposed budgets.

We are planning to award approximately \$500,000 for the Adult program services and \$500,000 for the Dislocated Worker program services in Milwaukee County.

For the purpose of this response, Employ Milwaukee is interested in the planned amounts for management of service provider staff, overhead is a higher percentage of costs planned for WIOA clients will result in a higher score on this section of the proposal. Respondents should plan on providing services through offices located in Milwaukee County.

A one-page budget narrative should be attached that describes the allocation of funds amongst overhead, management and direct client expenditures and the philosophy of the respondent with respect to minimizing overhead costs while maximizing client expenditures. The budget narrative should be used to clarify and annotate the budget.

Respondents must maintain a financial management system that is auditable and in compliance with Generally Accepted Accounting Principles. Financial records must be available for audit and monitoring purposes. Respondents should provide a brief description of the accountability of the organization in this section and provide one copy of their most recent audit report with the response package. The audit is not part of your proposal.

Please attach fiscal monitoring reports for the past two years and include resolution letters.

1. Describe the bidder's fiscal management system, fiscal organizational structure, cash management, financial capacity and knowledge in accordance with General Accepted Accounting Principles (GAAP).
2. Describe how any disallowed costs will be covered as a result of audit or monitoring, does your organization have the capability to repay these funds? From what source?



#### 7.4 Instructions for Completing Budget Forms

Mandatory budget forms include:

- **Employ Milwaukee Sub-Recipient Budget Narrative, and**
- **Sub-Recipient – Staff Wage**

All costs must be necessary, reasonable and allowable under a federal or state award and meet the general allow ability criteria established by the Office of Management and Budget and or the Uniform Grant Management Standards, as applicable. All costs listed on the line items on the Budget Narrative **MUST** be explained in the calculation and description sections. If successful, the Proposed Sub-Recipient Budget Narrative will serve as a basis for contract negotiation. The proposed budget should include only the cost of those management and operations activities requested in this proposal. Once final contracts are awarded, Employ Milwaukee will be responsible for designating costs categories and the allocation of funding streams.

**Proposed Sub-Recipient Budget Narrative Form C**, should be completed and submitted with proposal. The budget submitted should represent a **ONE-YEAR projection of expenses**.

As per the standard set by the Department of Labor; the following guidelines will set forth the requirements for budget creation and submission for approval. Note that all budgets submitted for application to contracts must meet all the below requirements. Budgets submitted that lack the qualifications will be returned for corrections and may hold up implementation of contracts and the start of program operations.

##### Project Budget

In preparing the Budget Narrative, you must provide a concise narrative explanation to support each line item requested, explained in detail below.

**Budget Narrative:** The budget narrative must provide a description of costs associated with each line item. It should also include a description, including the source and amount, of leveraged resources provided (as applicable) to support grant activities.

Use the following guidance for preparing the budget narrative:

Personnel – List all staff positions by title (both current and proposed). Give the annual salary of each position, the percentage of each position’s time devoted to the project, the amount of each position’s salary funded by the grant, and the total personnel cost for the period of performance. **It is a minimum requirement that each applicant budget includes at least three positions.** These are to consist of at least one full-time Career Coach (a role formerly termed Case Manager) who is 100% assigned to this contract, at least one other full-time staff person who is 100% dedicated to this contract (this could be a second full-time Career Coach, or a different role that you describe), and a One Stop Operator Manager. Overall staffing plans can exceed this – these are minimum requirements.

Note: This will be detailed on page 2 of the Budget Narrative (SCHEDULE A: Subcontract - Staff Wage Detail).

Fringe Benefits – Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

Travel – Specify the purpose, mileage, per diem, estimated number of in-state and out-of- state trips, and other costs for each type of travel.

Equipment – Is not an allowable expense on this contract.

Supplies – Supplies include all tangible personal property other than “equipment” (see 2 CFR 200.94 for the definition of Supplies). The detailed budget should identify categories of supplies (e.g. office supplies). List the quantity and unit cost per item.

Contractual – Identify each proposed contract and specify its purpose and estimated cost. If applicable, identify any subrecipient agreements, including purpose and estimated costs.

Other – List each item in sufficient detail for us to determine whether the costs are reasonable or allowable. List any item, such as stipends or incentives, not covered elsewhere here.

Indirect Costs – If indirect costs are included in the budget, then include either, a) the approved indirect cost rate with a copy of the Negotiated Indirect Cost Rate Agreement (NICRA), a description of the base used to calculate indirect costs along with the amount of the base, and the total indirect costs requested, or b) if you meet the requirements to use the 10 percent de minimis rate as described in 2 CFR 200.414(f), then include a description of the modified total direct costs base (see 2 CFR 200.68 for definition) used in the calculation along with the amount of the base, and the total indirect costs requested based on the 10 percent de minimis rate.

Additionally, the following link contains information regarding the negotiation of Indirect Cost Rates at DOL: <http://www.dol.gov/oasam/boc/dcd/index.htm>.

\* Leveraged resources should also be described in the budget narrative – if applicable

## VIII. ATTACHMENTS

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- A. Definition of Key Terms
- B. Administrative Requirements/Expectations
- C. Addendum Regarding Administration of this RFP
- D. WIOA Performance Measures
- E. Proposal Checklist
- F. Form A – Cover Sheet
- G. Form B – Assurances
- H. Form C – Sub-Recipient Budget Narrative
- I. Form D – Sub-Recipient Staff Wage Detail
- J. Memorandum of Understanding Template

## ATTACHMENT A

### DEFINITIONS OF KEY TERMS

1. APPLICANT means any individual who applies to Employ Milwaukee or its subcontractors for available workforce services. For specifically funded programs, applicant remains an applicant until the provisions for "customer" have been met.
2. BASIC SKILLS DEFICIENT – The individual computes or solves problems, reads, writes, or speaks English at or below the eighth grade level or is unable to compute or solve problems, read, write, or speak English at a level necessary to function on the job, in the individual's family, or in society. In addition, states and grantees have the option of establishing their own definition, which must include the above language. In cases where states or grantees establish such a definition, that definition will be used for basic skills determination.
3. BASIC SKILLS GOAL – A measurable increase in basic education skills including reading comprehension, math computation, writing, speaking, listening, problem solving, reasoning, and the capacity to use these skills.
4. RESPONDENT/PROPOSER denotes the interested party, the audience for this RFP document, and the probable respondent to the solicitation.
5. RESPONDENTS' CONFERENCE is a conference scheduled in conjunction with the RFP process to offer technical assistance to explain or clarify the RFP document and to answer questions. This conference is the only opportunity afforded potential respondents/respondents to obtain guidance on the scope and nature of the work required or asks other technical questions concerning a solicitation. All questions on such matters will be asked and answered in written form. Attendance at the Respondents' Conference is not mandatory, but is strongly encouraged. NOTE: All Employ Milwaukee Board members, officers, and staff are precluded from entertaining questions concerning a proposal or the procurement process outside the confines of the Respondents' Conference. Potential respondents are asked to respect these conditions by not making personal requests for assistance, except at the Respondents' Conference.
6. CERTIFICATE/CREDENTIAL– A nationally recognized degree or certificate or state/locally recognized credential. Credentials include, but are not limited to, a high school diploma, GED, or other recognized equivalents, post-secondary degrees/certificates, recognized skill standards, and licensure or industry recognized certificates. A certificate is awarded in recognition of an individual's attainment of measurable technical or occupational skills necessary to gain employment or advance within an occupation. These technical or occupational skills are based on standards developed or endorsed by employers. Work readiness certificates are not included in this definition. A certificate is awarded in recognition of an individual's attainment of technical or occupation skills by:
  - A state educational agency or a state agency responsible for administering vocation and technical education within a state.
  - An institution of higher education described in Section 102 of the Higher Education Act (20 USC 1002) that is qualified to participate in the student financial assistance programs authorized by Title IV of that Act. This includes community colleges, proprietary schools, and all other institutions of higher education that are eligible to participate in federal student financial aid programs.
  - A professional, industry, or employer organization (e.g., National Institute for Automotive Service Excellence certification, National Institute for Metalworking Skills, Inc., Machining Level I credential) or a product manufacturer or developer (e.g., Microsoft Certified Database Administrator, Certified Novell Engineer, Sun Certified Java Programmer) using a valid and reliable assessment of an individual's knowledge, skills, and abilities.
  - A registered apprenticeship program.
  - A public regulatory agency, upon an individual's fulfillment of educational, work experience, or skill requirements that are legally necessary for an individual to use experience, or skill requirements that are legally necessary for an individual to use an occupational or professional title or to practice an occupation or profession (e.g., FAA aviation mechanic certification, state certified asbestos inspector).

- A program that has been approved by the Department of Veterans Affairs to offer education benefits to veterans and other eligible persons.
  - Job Corps centers that issue certificates.
  - Institutions of higher education, which is formally controlled, or has been formally sanctioned, or chartered, by the governing body of an Indian tribe or tribes.
7. COMMON MEASURES Performance measures for all job seekers served through the workforce system including: Staff Guided Entered Employment; At Risk Employment Retention; Total Job Seekers Educational Achievement; Placement in Employment, Education, or Training; Retention in Employment, Education, or Training; Earnings after entry into unsubsidized employment; Credential Rate; and In-Program Skills Gain.
8. CONTRACTOR refers to an entity, which receives financial assistance from Employ Milwaukee for the purpose of administering Board programs, projects, or parts thereof. A contract establishes a legal obligation to perform the services specified for agreed upon costs.
9. COST PRINCIPLES refers to fact that all costs reimbursed via WIOA funds must be reasonable, necessary, allowable and allocable. These principles are defined as follows:
- REASONABLE/NECESSARY COST: A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. Consideration shall be given to: (a) whether the cost is a type generally recognized as ordinary and necessary for the operation of the organization or the performance of the award; (b) the restraints or requirements imposed by such factors as generally accepted sound business practices, arm's length bargaining, Federal and State laws and regulations, and terms and conditions of the award; (c) whether the individuals concerned act with prudence, considering their responsibilities to their organization, employees, customers, the public at large, and the Government; (d) whether costs are consistent with established practices of the organization and do not unjustifiably increase the costs. Reasonableness of costs may be established by comparison with other proposals (best price – same product), historical data, comparison with prior in-house costs, and/or comparison with similar labor market costs.
  - ALLOWABLE COSTS: "To be allowable, a cost must be necessary and reasonable for proper and efficient administration of the program, be allocable thereto under these principles, and except as provided herein, not be a general expense required to carry out the general (i.e. non-Board funded) business of the sub-recipient. Costs charged to the program shall be consistent with those normally allowed in like circumstances in non-federally sponsored activities and with applicable state and local law, rules, and regulations..."
10. CUSTOMER an Employer or Job Seeker that has requested assistance, or determined to be eligible for a Board sponsored program. Job Seeker customers in specifically funded programs may have to be verified as being certified eligible to continue to receive services e.g. (Case Management, Training etc.)
11. DATE OF EXIT – Represents the last day on which the individual received a service funded by the program or a partner program (see definition of "exit").
12. DATE OF PARTICIPATION – Represents the first day, following a determination of eligibility (if required), that the individual begins receiving a service funded by the program (see definition of participant).
13. DIPLOMA – The term diploma means any credential that the state education agency accepts as equivalent to a high school diploma. The term diploma also includes post-secondary degrees including Associate (AA and AS) and Bachelor Degrees (BA and BS).
14. DISLOCATED WORKER means an individual as referenced under WIOA.



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15. **EDUCATIONAL GAIN** – At post-test, participant completes or advances one or more educational functioning levels from the starting level measured on entry into the program (pre-test).
16. **ELIGIBLE APPLICANT** means an individual who has made application to Employ Milwaukee/program and who has been determined to be eligible and verified as meeting established eligibility criteria under one of the specific funding sources available to Employ Milwaukee.
17. **EMPLOYED AT DATE OF PARTICIPATION** – An individual employed at the date of participation is one who:
  - Did any work at all as a paid employee on the date participation occurs
  - (except the individual is not considered employed if: a) he/she has received a notice of termination of employment or the employer has issued a Worker Adjustment and Retraining Notification (WARN) or other notice that the facility or enterprise will close, or b) he/she is a transitioning service member;
  - Did any work at all in his/her own business, profession or farm;
  - Worked 15 hours or more as an unpaid worker in an enterprise operated by a member of the family; or
  - Was not working, but has a job or business from which he/she was temporarily absent because of illness, bad weather, vacation, labor-management dispute, or personal reasons, regardless of whether paid by the employer for time off, and regardless of whether seeking another job.
18. **EMPLOYERS** refers to all establishments of any size, organized as sole proprietorships, partnerships or corporations engaged in legal commerce who hire employees for money wages under conditions conforming to State and Federal labor laws.
19. **EMPLOYMENT** as defined in DWD and Employ Milwaukee policies means full-time (no less than 30 hours per week) work in the job trained for, or in a training-related occupation, at or above wages, which meet Employ Milwaukee standards; preferably benefits are included, with exception of summer work experience.
20. **GRANT** means funds awarded from a specific funding source by the State Department of Workforce Development, an agency of the State of Wisconsin.
21. **HISTORICALLY UNDERUTILIZED BUSINESS (HUB)** is a business at least fifty percent owned and operated by minority group members, as defined by State law. Federal regulations define Disadvantaged Business Enterprises (DBE) and Minority or Woman Owned Business enterprises (MWBE) as a publicly traded or privately owned business, at least fifty-one percent of which is owned by minority group members determined to be disadvantaged. Minority members include Blacks, Puerto-Ricans, Spanish-speaking Americans, American Indians, Eskimos, and Aleuts, Asian Pacific Americans, and Asian Indians. Female owners or female owned businesses are also considered to qualify as minority business enterprises. Such businesses will be offered maximum opportunities to compete for Employ Milwaukee contracts.
22. **PARTICIPANT** means an individual who: is determined eligible to participate in Employ Milwaukee funded Program; and receives a service funded by the program in either a physical location (one-stop career center of affiliate site) or remotely through electronic technologies.
23. **PERSONAL RESPONSIBILITY AND WORK OPPORTUNITY RECONCILIATION ACT OF 1996** is the act which initiated major reforms in welfare (also called Welfare Reform) by replacing the former Aid for Dependent Children (AFDC) and Job Opportunities and Basic Skills (JOBS) programs, and amending JTPA, the Supplemental Security Income (SSI) program, Child Protection and Child Care laws, and the Food Stamp program to facilitate moving welfare customers into paid employment.
24. **PROGRAM INCOME** means income received by Contractor directly generated by a grant or sub grant supported activity, or earned only as a result of the grant or sub grant (Reference: 20 CFR, 627.450). Such earnings include, but may not be limited to, income from fees for services, rental of property, or sale of commodities; interest earned on advances; and in the case of public or private non-profit agencies, revenues earned from a contract in excess of actual costs incurred in providing the contracted services. Regulations

permit fee-for-service arrangements; however, any resulting income must be tracked and accounted for separately from other program funds. Program Income earned under Employ Milwaukee funded programs must be reported to Employ Milwaukee, and must be used only for Employ Milwaukee purposes and for the program in which it was earned.

25. PROPOSER/RESPONDENT denotes the proposing entity or interested party, the audience for this RFP document, and the probable respondent to the solicitation.
26. RAPID RESPONSE provides early intervention assistance designed to transition workers to their next employment as soon as possible.
27. REGS OR REGULATIONS means those rules, regulations, and their amendments, promulgated by the United States Department of Labor (DOL), Health and Human Services Commission (HHSC), U.S Department of Agriculture (USDA) and/or the Wisconsin State Department of Workforce Development and other specific funding sources made available to Employ Milwaukee through DWD.
28. CC.SARBANES-OXLEY ACT (SOX) This 2002 Act contains significant protections for corporate whistleblowers.
29. SCHOOL DROP OUT In WIOA, the term "school dropout" means an individual who is no longer attending any school and who has not received a secondary school diploma or its recognized equivalent.
30. STATE means the Wisconsin State Department of Workforce Development and/or the Governor of the State of Wisconsin.
31. SUPPORTIVE SERVICES refers to services following an individual's assessment which are determined to be necessary to enable an individual eligible for program services under WIOA, but who cannot afford to pay for such services. Supportive services may include transportation, child care, counseling, and other reasonable expenses required for participation.
32. SUPPLEMENTAL NUTRITIONAL ASSISTANCE PROGRAM (SNAP) is a program to assist food stamp recipients to enter employment and training activities which promote long-term self-sufficiency, authorized under the Food Stamp Act of 1997, as amended by the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (also called the Welfare Reform).
33. TEMPORARY ASSISTANCE TO NEEDY FAMILIES (TANF) a program provided through the Department of Children and Families Department to persons meeting certain residency, income and resource criteria as provided for under the Personal Responsibility and Work Opportunity Reconciliation Act and the Temporary Assistance for Needy Families block grant.
34. TERMINATION means (a) any cessation of a contract with Employ Milwaukee; and (b) for customers in WIOA or other specifically funded programs, termination means official completion from all Contractor program activities and services with no further services to be provided.
35. WISCONSIN STATE DEPARTMENT OF WORKFORCE DEVELOPMENT is the state agency that operates an integrated workforce development system through the consolidation of job training, employment and employment related education programs
36. EFFORTs TO OUTCOMES (ETO) is the Employ Milwaukee contractor data management system.
37. WORK READINESS means measurable increase in work readiness skills including world-of-work awareness, labor market knowledge, occupational information, values, clarification, and personal understanding, career planning and decision making, and job search techniques (resumes, interviews, applications, and follow-up letters.) They also encompass survival/daily living skills such as using the phone, telling time, shopping, renting an apartment, opening a bank account, and using public transportation. They also include positive work habits,

attitudes, and behaviors such as punctuality, regular attendance, presenting a neat appearance, getting along and working well with others, exhibiting good conduct, following instructions and completing tasks, accepting constructive criticism from supervisors and co-workers, showing initiative and reliability, and assuming the responsibilities involved in maintaining a job. This category also entails developing motivation and adaptability, obtaining effective coping and problem solving skills, and acquiring an improved self-image. Please note: this term applies to the current WIOA statutory youth measures only; it does not apply to the common measures.

38. WORKFORCE INNOVATION OPPORTUNITY ACT (WIOA) signed into law on July 22, 2014. WIOA is landmark legislation designed to strengthen and improve our nation's public workforce system and help put Americans, especially youth and those with significant barriers to employment, back to work. WIOA supports innovative strategies to keep pace with changing economic conditions and seeks to improve coordination between the core WIOA and other Federal programs that support employment services, workforce development, adult education and literacy, and vocational rehabilitation activities. Complete Act may be found at: [www.doleta.gov](http://www.doleta.gov).

## ATTACHMENT B

### ADMINISTRATIVE REQUIREMENT/EXPECTATIONS

This section is a listing of General Administrative Requirements that will be required to be adhered to throughout the term of the grant. Employ Milwaukee is largely funded by federal dollars through the Department of Labor and therefore follows the *Uniform Administrative Requirements, Cost Principles, and Audit Requirements: 2 CFR Part 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements; Final Rule; 2 CFR Part 2900: DOL Exceptions to 2 CFR Part 200; 48 CFR Part 31; and with additional restrictions imposed based on the individual grant source. Respondents unable to meet these standard requirements will not qualify.*

Proposals must contain a response to this Administrative Requirements section by completing all required Administrative Forms. Failure to respond to a requirement may be cause for rejection of the Respondent's proposal.

- **Proposers** must submit the following documentation:
  - 1) Annual Balance Sheet and a Profit/Loss Statement
  - 2) Copy of Annual Audit Report
  - 3) W-9
  - 4) Current Certificate of Liability
  - 5) Sub-recipient Budget Narrative
  - 6) Schedule A: Sub-recipient – Staff Wage Detail
  - 7) Subgrantee Internal Control Questionnaire
  - 8) Subrecipient Contacts (Attachment 3B, Page 1 and 2)

Additional administrative requirements are as follows.

- **Adhere to Policies:** At any time, the US Department of Labor or the State of Wisconsin Department of Workforce Development may issue Training and Employment Guidance Letters (TEGL) or other policy. Additionally, Employ Milwaukee may change policies in its plan at any time. These policies may or may not result in changes to fiscal or operational procedures but must be followed. Employ Milwaukee will receive and disseminate all policies directly to the service provider.
- **File Maintenance/ Record Keeping:** Files must be maintained for each participant in manner consistent with federal, state and local regulations and procedures, and with the WDB File Retention Policy found in the WIOA Plan.
- **Confidentiality and Security:** The Grantor and the sub-recipient will both engage in measures to protect the confidentiality and to protect against unauthorized access or disclosure of workforce information (including, but not limited to):
  - 1) Limit paper documentation (reports, screen prints, etc.) containing workforce information of a confidential or personal identifiable nature.
  - 2) Store paper information in a place physically secure from access by unauthorized persons.
  - 3) Store and process the data in an electronic format in a way that is secure from access by unauthorized persons.
  - 4) Take precautions to ensure that only authorized personnel have access to the computer systems in which the data is stored.

5) Make the data accessible only to staff who require it in the official performance of their job duties; all data will be kept in the strictest confidence.

- **Source Documents:** The sub-recipient is responsible to comply with regulations which include the collection and storage of customer source documents and have written policies in place for instruction regarding these requirements within its own organization. All customer source documentation shall be kept in an orderly fashion in the customer file.
- **Records Retention:** Participant files shall be maintained for seven (7) years after the last date of service including follow-up. This requirement also pertains to respondents that have been determined eligible but not served and to respondents determined ineligible, refused certification or otherwise not served. All records pertinent to complaints/grievances/appeals and resolutions must also be retained for seven (7) years.

In addition; the selected sub recipient shall ensure compliance with all the established requirements in the Code of Federal Regulations (CFR); 2CRF200, and

- **Provide Employ Milwaukee personnel access to:**
  - Accounting systems, electronic spreadsheets, general ledger, balance sheets, income and expense reports and all other financial activity reports of the sub recipient.
  - All financial policies and procedures, including billing and collection policies and purchasing and procurement policies
  - Accounts payable systems and policies
- **Ensure adequacy of agency fiscal systems to generate needed budgets and expenditure reports, including:**
  - Accounting policies and procedures
  - Budgets
  - Accounting system and reports
    - Submit a line-item budget with sufficient detail to permit review and assessment of proposed use of funds for the management and delivery of the proposed services
    - Document all requests for and approvals of budget revisions
    - Establish policies and procedures to ensure compliance with sub grant provisions
    - Document and report on compliance as specified by the grantee
    - Develop and maintain a current, complete, and accurate asset inventory list and a depreciation schedule that lists purchases of equipment by funding source
    - Make the list and schedule available to the grantee upon request
    - Ensure that budgets and expenses conform to federal cost principles
    - Ensure fiscal staff familiarity with applicable federal regulations and GAAP
    - Make available to the grantee very detailed information on the allocation and costing of expenses for services provided
    - Have in place policies and procedures to determine allowable and reasonable costs
  - Have in place reasonable methodologies for allocating costs among different funding sources and Employ Milwaukee categories
  - Make available policies, procedures, and calculations to the grantee on request
    - Have in place systems that can provide expenses and client utilization data in sufficient detail to determine reasonableness of unit costs



- Maintain payroll records for specified employees
- Establish and consistently use allocation methodology for employee expenditures where employees are engaged in activities supported by several funding sources.
- Make payroll records and allocation methodology available to grantee upon request.
- **Transparency** – Employ Milwaukee operates under open meeting laws. The selected proposer must be aware of and adhere to open records for all program matters and open meetings where the program is being discussed. Employ Milwaukee considers all records and program plans funded with federal dollars as open records which must be made available to anyone requesting such information.
- **Data and Customer Tracking Systems**  
ASSET is the current web-based, state-managed database system that supports workforce systems in Wisconsin. ETO is the current web-based, Employ Milwaukee-managed database that supports workforce systems in Milwaukee County. The successful applicant will be required to use ASSET and ETO to record and track all participant activities, including services rendered and outcomes achieved.
- **Accessibility and Equal Opportunity**  
Employ Milwaukee is committed to equal access for all customers to all services. All proposers must ensure equal opportunity to all individuals. No individual shall be excluded from participation in, denied the benefits of, or subjected to discrimination under any federally funded program or activity because of race, color, religion, sex, national origin, age, disability, English proficiency, sexual orientation, political affiliation or belief. All proposers are expected to demonstrate full compliance with the Americans with Disabilities Act Amendments Act of 2008 (ADAAA) and all other equal opportunity laws. This involves ensuring that staff receives accessibility training, and may involve developing accessibility plans. All respondents must ensure all written materials and communications include the statement: “Reasonable accommodations and auxiliary equipment

#### Employ Milwaukee Expectations

- Proposer who can provide additional hours of services, including evening and weekends.
- **Community Collaboration**  
Employ Milwaukee promotes collaboration and non-duplication of services in the community. The selected WIOA contractors are expected to work with providers of other workforce development and economic development agencies in the area to ensure that WIOA Title 1 Adult and Dislocated Worker Services are not duplicative of those offered in the county.
- **Innovation and Evidenced Based Practices**  
Innovation occurs when evidence-based practices are enhanced or applied in a new way. The selected contractor (s) is expected to provide services that are innovative and evidenced-informed and to back-up the model with data that demonstrate such.

## ATTACHMENT C

### WIOA Performance Measures

Common Measure	Goal
Adult Q2 Unsubsidized Employment	65%
Adult Q4 Unsubsidized Employment	62%
Adult Median Earnings	\$4,000
Adult Credential Attainment Rate	60%

Table 1 – Adult Performance Targets PY17

Common Measure	Goal
Dislocated Worker Q2 Unsubsidized Employment	70%
Dislocated Worker Q4 Unsubsidized Employment	70%
Dislocated Worker Median Earnings	\$6,100
Dislocated Worker Credential Attainment Rate	50%

Table 2 – Dislocated Worker Performance Targets PY17

### Employ Milwaukee – PY17 Program Goals

PY17 Adult Program Goals				
Program Goals - Agency performance will be measured on program goals.	Description	ETO	ASSET	Goal
Enrollments	Number of participants who enroll during contract term	X	X	600
Training & Education Enrollments	Number of participants who enroll into a training and/or educational service	X	X	300
Training & Education Completions	Number of participants who complete a training and/or educational service	X	X	240
Credentials Earned	Number of participants who earn a credential	X	X	240
Placements	Number of participants placed into employment	X	X	468

Table 3 – Employ Milwaukee Adult Program Goals PY17

\* All Goals above are unduplicated counts

<b>PY17 Dislocated Worker Program Goals</b>				
Program Goals - Agency performance will be measured on program goals.	Description	ETO	ASSET	Goal
Enrollments	Number of participants who enroll during contract term	X	X	600
Training & Education Enrollments	Number of participants who enroll into a training and/or educational service	X	X	350
Training & Education Completions	Number of participants who complete a training and/or educational service	X	X	280
Credentials Earned	Number of participants who earn a credential	X	X	280
Placements	Number of participants placed into employment	X	X	581

*Table 4 – Employ Milwaukee Dislocated Worker Program Goals PY17*

\* All Goals above are unduplicated counts

## ATTACHMENT D

### PROPOSAL CHECKLIST

	Included/Done
<b>PRELIMINARY</b>	
Submit Notice of Intent to Apply by 3-16-17 by 4:00 p.m.	
Submit questions to be answered at proposer's conference questions by 3-28-17	
<b>RFP FORMAT</b>	
Document meets required format.	
Table of Contents is included	
Document follows outlined sections and each section is clearly labeled; Page numbers are included.	
Document meets required page limit.	
Correct numbers of copies are included in packet.	
<b>PROPOSAL NARRATIVE</b>	
1. Organizational Capabilities & Experience	
2. Statement of Need & Target Population	
3. Program Design	
4. Staffing Plan	
5. Financial Management & Organizational Stability	
6. Price/Cost Analysis & Value	
<b>FORMS &amp; ATTACHMENTS</b>	
Form A - Cover Sheet	
Form B - Agency Assurances	
Form C - Budget Forms	
Form D – Sub-Recipient Staff Wage Detail	
Certification of Regarding Debarment	
Certification Regarding Drug Free Workplace	
Certification Regarding Lobbying	
Certification Regarding Conflict of Interest	
Certification of Affirmative Action Plan	
Subgrantee Internal Control Questionnaire	
Proof of Incorporation Status or Agency Status	
Proof of Bonding (if applicable) and Certificates of Insurances	
Organizational Chart	
Job Descriptions and Resumes	
Coordination Agreements/MOUs	
Copy of most recent audit report	
W-9	
Copy of last two years of workforce program monitoring reports	
List of References	



**FORM A - COVER**

**Agency Identification Form**

**PROPOSER AGENCY INFORMATION**

Agency Name	Contract Period <b>July 1, 2017 – June 30, 2020</b>										
Agency Address	FEIN  Agency Fiscal Year <input type="checkbox"/> Calendar <input type="checkbox"/> Other (If Other) _____ to										
Agency Type (Check all that Apply) <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;"><input type="checkbox"/> Government</td> <td style="width: 50%;"><input type="checkbox"/> Tribe</td> </tr> <tr> <td><input type="checkbox"/> Private, For Profit</td> <td><input type="checkbox"/> Consortium – Specify Lead Agency and type)</td> </tr> <tr> <td><input type="checkbox"/> Private, Not for Profit</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Corporation</td> <td></td> </tr> <tr> <td><input type="checkbox"/> County</td> <td><input type="checkbox"/> Other (Specify)</td> </tr> </table>		<input type="checkbox"/> Government	<input type="checkbox"/> Tribe	<input type="checkbox"/> Private, For Profit	<input type="checkbox"/> Consortium – Specify Lead Agency and type)	<input type="checkbox"/> Private, Not for Profit		<input type="checkbox"/> Corporation		<input type="checkbox"/> County	<input type="checkbox"/> Other (Specify)
<input type="checkbox"/> Government	<input type="checkbox"/> Tribe										
<input type="checkbox"/> Private, For Profit	<input type="checkbox"/> Consortium – Specify Lead Agency and type)										
<input type="checkbox"/> Private, Not for Profit											
<input type="checkbox"/> Corporation											
<input type="checkbox"/> County	<input type="checkbox"/> Other (Specify)										

**CONTINUED ON NEXT PAGE**



**FORM A – CONTINUED - PROPOSER AGENCY PERSONNEL**

<b>Executive Director's Name</b>	Title	Telephone Number
Mailing Address		Fax Number
		Email Address
<b>Person Responsible for Day to Day Operations</b>	Title	Telephone Number
Mailing Address		Fax Number
		Email Address
<b>Chief Financial Officer</b>	Title	Telephone Number
Mailing Address		Fax Number
		Email Address
<b>Person Responsible for Equal Rights/Civil Rights Compliance, Limited English Proficiency</b>	Title	Telephone Number
Mailing Address		Fax Number
		Email Address
<b>RFP Direct Contact</b>	Title	Telephone Number
Mailing Address		Fax Number
		Email Address

**FORM B – CERTIFICATIONS OF RESPONDENTS ASSURANCES**

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

1. I am authorized by my Board of Directors, Trustees, other legally qualified officer, or as the owner of this agency or business to submit this proposal.
2. My organization is not currently on any federal, State of Wisconsin, or local debarment List.
3. My organization will provide records to show that we are fiscally solvent and will provide any other information and/or accept and appointment for interview, if needed.
4. We have, or will have, all of the fiscal control and accounting procedures needed to ensure that WIOA funds will be used as required by law and contract.
5. I have read Section V Assurances & Certifications and our organization is prepared to sign a contract with these requirements.

**We will meet all applicable Federal, State, and local compliance requirements.** These include, but are not limited to:

- Maintaining records that accurately reflect actual performance.
- Maintaining record confidentiality, as required.
- Reporting financial, participant, and performance data, as required.
- Complying with Federal and State non-discrimination provisions.
- Meeting requirements of Section 504 of the *Rehabilitation Act of 1973*.
- Meeting all applicable labor law, including Child Labor Law standards.
- Adhering to the Employ Milwaukee marketing guidelines and committing to using the required funding statements on all materials, including those for outreach.
- Accepting funding for and working within the guidelines of other funding opportunities provided by Employ Milwaukee.

**We will not:**

- Place a WIOA participant in a position that will displace a current employee.
- Use WIOA money to assist, promote, or deter union organizing.
- Use funds to employ or train of persons in sectarian activities.
- Use WIOA funds in the construction, operation, or maintenance of any part of a facility to be used for sectarian instruction or religious worship.
- Use WIOA funds for lobbying.

**I hereby assure that all of the above are true.**

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Name	Title	Date
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**FORM C – Sub-Recipient Budget Narrative**

Please access this form in a Microsoft Excel document posted on the Employ Milwaukee website.

<b>SUBRECIPIENT BUDGET NARRATIVE</b>			
<b>Organization Name:</b>		<b>Contract Number:</b>	
<b>Fiscal Contact Person:</b>		<b>Contract Period:</b>	
<b>Mailing Address:</b>		Employ Milwaukee: Earl Buford, Chief Executive Officer	Date
<b>Fiscal Contact Phone:</b>		Subrecipient:	Date
<b>Fiscal Contact Fax:</b>			
<b>Fiscal Contact E-Mail:</b>			
Subrecipient is aware of the requirement that these funds may not be used to supplant other federal, state, or local funds (specifically TANF, WIA, FSET & Other Programs) and that funds received by the subrecipient through this grant will be used only for the purposes stated.			
COST CATEGORY	CALCULATION	DESCRIPTION	BUDGET
<b>Personnel</b>	Detail on Schedule A	Detail on Schedule A	\$ -
<b>Fringe Benefits</b>	% of Wages	Example : Includes Health, Dental, Life, Unemployment, Workers Comp and Retirement Benefits	\$ -
<b>Travel</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	Example: # of direct staff to _____ conference, travel costs to local centers for training, etc.	\$ -
<b>Staff Training</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	List types of training, # of staff, etc.	\$ -
<b>Supplies</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	List types of supplies, purpose, etc.	\$ -
<b>Support Services - Transportation</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	Example: Bus Tickets & Van Service, etc.	\$ -
<b>Support Services - Other</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	Example: Childcare, exam fees, uniforms, ....	\$ -
<b>OTHER</b>			
<b>Occupancy</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	Example: Rent, Depreciation, etc.	\$ -
<b>Utilities</b>	Estimated Costs - Requires breakdown ( how are estimated costs determined?)	Example: Telephone, Electric, etc.	
<b>Total Direct Charges</b>			\$ -
<b>Admin Overhead</b>	Maximum 10% of Direct Charges	Example: Costs will be allocated based upon organizations cost allocation policy. Includes Fiscal, Human Resources, Information Technology and CEO offices	\$ -
<b>TOTAL BUDGET</b>			\$ -

Workforce Services – One Stop Operator, Adult & Dislocated Worker

**FORM D – Sub-Recipient Staff Wage Detail**

Subrecipient - Staff Wage Detail

Organization Name:

Contract Number:

Staff Name	Job Title	Total Monthly Wage	Percentage Applied to Contract	Months Applied to Contract	Total Charged to Contract
			100.00%		\$ -
			100.00%		\$ -
			100.00%		\$ -
			100.00%		\$ -
			100.00%		\$ -
			100.00%		\$ -
			25.00%		\$ -
			100.00%		\$ -
					\$ -
<b>PROGRAM TOTALS</b>					<b>\$ -</b>
<b>ADMINISTRATIVE STAFF</b>					
<b>ADMINISTRATIVE TOTALS</b>					
<b>TOTALS</b>		<b>\$ -</b>			<b>\$ -</b>

## ATTACHMENT I – MEMORANDUM OF UNDERSTANDING TEMPLATE

### MEMORANDUM OF UNDERSTANDING

*All italicized sentences are considered instructions and should be deleted prior to the submission of the final MOU.*

This Memorandum of Understanding (MOU) document describes the agreed-upon responsibilities and expectations between \_\_\_\_\_ and \_\_\_\_\_ for the use of services and/or funds related to the Workforce Innovation and Opportunities Act One Stop Operator and Title 1 Adult and Dislocated Worker contract originating with Employ Milwaukee. The purpose of the overall contract is to better meet the needs of adults and dislocated workers in Milwaukee County.

**A. Purpose and Scope.** *State the purpose of the MOU, making clear how it relates to the overall project requesting funding through Employ Milwaukee. Briefly describe each of the agencies involved.*

**B. Roles and Responsibilities.** *Clearly describe and delineate the agreed upon roles and responsibilities each organization or agency will be providing to ensure project success. The roles and responsibilities should align with project goals, objectives and target outputs.*

**C. Funding.** *If applicable, describe any grant funds, the amount and category (personnel, office supplies, contracted services, etc.) that will be provided or exchanged. In addition, please specify any in-kind or leveraged contributions. If applicable, describe how the funds will be distributed (i.e., invoicing, cost reimbursement, one-time grant).*

**D. Timeframe.** *Clearly state the time period that this MOU will be in effect.*

This MOU will commence on \_\_\_\_\_ and will dissolve at the end of the Employ Milwaukee-funded sub-recipient's contract period, unless formally terminated prior to that time.

This Memorandum of Understanding is the complete agreement between \_\_\_\_\_ and \_\_\_\_\_ and may be amended only by written agreement signed by each of the parties involved.

*The MOU must be signed by all partners. Signatories must be officially authorized to sign on behalf of the agency and include title and agency name.*

**AGENCY A**

Authorized Official: \_\_\_\_\_

Signature

Printed Name and Title

Address: \_\_\_\_\_

Telephone(s): \_\_\_\_\_



E-Mail Address: \_\_\_\_\_

**AGENCY B**

Authorized Official: \_\_\_\_\_

Signature

Printed Name and Title

Address: \_\_\_\_\_

Telephone(s): \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

## CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The grantee certifies that it will 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 grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about—
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug 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 the grant 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 grant, the employee will—
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after each conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
  - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
  - (2) Requiring such employee to participate satisfactorily in a 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) and (f).

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Typed Name and Title of Certification Official

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Signature

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Date

**Attachment 3B**  
**Milwaukee Area Workforce Investment Board**  
**Subrecipient Contacts**

<b>Subrecipient Place of Performance</b>			
Name:	Address:	City:	State:
Zip Code +4:	EIN No:	Institution Type:	
Is Subrecipient currently registered in SAM?		<input type="checkbox"/> Yes	<input type="checkbox"/> No
Is Subrecipient exempt from reporting compensation? <small>(If No, please complete Attachment 3B page 2)</small>		<input type="checkbox"/> Yes	<input type="checkbox"/> No
DUNS Number:		Parent DUNS Number:	

**Subrecipient Program Director Contact**

Name: Telephone:

Address: Fax:

City, State, Zip Code: Email:

**Suprecipient Program Director Contact**

Name Telephone:

Address Fax:

City, State, Zip Code: Email:

**Suprecipient Authorized Official Contact**

Name: Telephone:

Address: Fax:

City, State, Zip Code: Email:

**Subrecipient Principal Investigator**

Name: Telephone:

Address: Fax:

City, State, Zip Code: Email:

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**Attachment 3B Page 2**  
**Subaward Agreement**  
**Highest Compensated Officers**

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Subaward Number

**Subrecipient**

Name:

PI:

PM:

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and

\$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

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**Officer 1**

Name:

Compensation:

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**Officer 2**

Name:

Compensation:

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**Officer 3**

Name:

Compensation:

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**Officer 4**

Name:

Compensation:

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**Officer 5**

Name:

Compensation:

Employ Milwaukee Subgrantee Evaluation  
for Internal Controls Questionnaire

**EMPLOY MILWAUKEE PROJECT INFORMATION:**

\_\_\_\_\_  
Employ Milwaukee Program Manager: Name, Address, Phone, Email

\_\_\_\_\_  
Employ Milwaukee Grant Fund #

\_\_\_\_\_  
Grantor

\_\_\_\_\_  
Grant Project Name

\_\_\_\_\_  
Project Period

**SUBGRANTEE INFORMATION:**

\_\_\_\_\_  
Subgrantee/Agency Name

\_\_\_\_\_  
Email Address

\_\_\_\_\_  
Agency's Telephone Number

\_\_\_\_\_  
Agency's Address

\_\_\_\_\_  
City, State, Zip

\_\_\_\_\_  
DUNS #

Executive Director: \_\_\_\_\_

Phone: \_\_\_\_\_

Fiscal Director/Accountant: \_\_\_\_\_

Phone: \_\_\_\_\_

List sources and estimated contract/grant budgets for all federal, state and other grant funds provided to your agency in the last fiscal year.

Grantor Agency: Name of Grantor and Type, i.e. Federal, State or Other	Name of Grant	Grant Amount

1. Number of years the agency has been in business? \_\_\_\_\_ years \_\_\_\_\_ months

2. How many grant programs are operated by this agency?  1-2  3-4  Over 4

3. Which OMB circulars, governing guidances, or legal agreements are applicable to this grant project?



**Internal Control Questionnaire**

SUBGRANTEE \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. What is the agency's fiscal year? (month – month): \_\_\_\_\_

5. Date of last independent audit: \_\_\_\_\_  
Attach a copy of the most recent completed audit.

6. The audit determined that the financial statements were:  Qualified  Unqualified

7. The auditor issued an:  Adverse opinion  Disclaimer  Neither

8. Were any audit findings identified?  YES  NO  
If yes, describe what and how they were resolved:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Does the agency have regular audits?  YES  NO

10. What is the frequency of the audits?  Quarterly  Annual  Bi-Annual  Other

11. Name of CPA firm or auditor: \_\_\_\_\_ Phone: \_\_\_\_\_

12. Has the agency undergone an audit by a Federal Agency within the past 5 years?  YES  NO

13. Were any audit findings or areas of concern identified?  YES  NO  
If yes, describe what and how they were resolved:

\_\_\_\_\_  
\_\_\_\_\_

**ACCOUNTING:**

1. Which best describes the agency's accounting system?  Manual  Automated

2. What is the name of the agency's accounting software? \_\_\_\_\_

3. How many years has the accounting software been in use? \_\_\_\_\_ yrs. \_\_\_\_\_ mos.

\_\_\_\_\_

**Internal Control Questionnaire**

SUBGRANTEE \_\_\_\_\_

4. Financial reports are prepared on the following basis:  Cash  Accrual

5. Describe any significant changes in funding for the project or agency this fiscal year, e.g. changes that altered the cost allocation plan:

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	Yes	NO
6. Are there written accounting policies and procedures? What date were they written or last revised?	<input type="checkbox"/>	<input type="checkbox"/>
7. Does the accounting system identify revenue and expenses separately?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the accounting system identify expenses by project and budget cost categories?	<input type="checkbox"/>	<input type="checkbox"/>
9. Does the accounting system separate direct and indirect expenses?	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the agency maintain a separate bank account for Federal or State grant/contract funded awards?	<input type="checkbox"/>	<input type="checkbox"/>
11. If funds are commingled, can this project's grant-related expenses be readily identified among other costs?	<input type="checkbox"/>	<input type="checkbox"/>
12. Does the agency maintain a general ledger?	<input type="checkbox"/>	<input type="checkbox"/>
13. Is there a cash receipts journal?	<input type="checkbox"/>	<input type="checkbox"/>
14. Is there a cash disbursement journal?	<input type="checkbox"/>	<input type="checkbox"/>
15. Attach an excerpt from the general ledger to demonstrate that this grant project's funds are being tracked in the system.	<input type="checkbox"/>	<input type="checkbox"/>
16. Is documentation adequate to provide an audit trail to/from original source documentation to the books of account?	<input type="checkbox"/>	<input type="checkbox"/>
17. Are vouchers, invoices and/or receipts maintained for all expenses?	<input type="checkbox"/>	<input type="checkbox"/>
18. Is the general ledger maintained in a manner that provides ease in the preparation of required reports?	<input type="checkbox"/>	<input type="checkbox"/>
19. Are revenues and expenditures classified in the books of account in the same categories that are included in the budget?	<input type="checkbox"/>	<input type="checkbox"/>
• If not, are reports linked to the books by worksheets?	<input type="checkbox"/>	<input type="checkbox"/>
20. Are bank accounts reconciled monthly?	<input type="checkbox"/>	<input type="checkbox"/>
21. Are internal control procedures documented?	<input type="checkbox"/>	<input type="checkbox"/>
• i.e. separation of duties, approvals, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
22. Is there a comparison of budget to actual expenditures?	<input type="checkbox"/>	<input type="checkbox"/>
23. Is there an approved cost allocation plan for allocating indirect costs to grant programs?	<input type="checkbox"/>	<input type="checkbox"/>
24. Which grantor agency approved the cost allocation plan or budget?	<input type="checkbox"/>	<input type="checkbox"/>
a. Attach a copy of the approved budget.	<input type="checkbox"/>	<input type="checkbox"/>
25. Are grant expenditures reconciled to the general ledger on a periodic basis?	<input type="checkbox"/>	<input type="checkbox"/>
• If yes, how often? <a href="#">Click here to enter text.</a>	<input type="checkbox"/>	<input type="checkbox"/>

**VENDOR PAYMENTS**

1. Is approval received for payment of invoices prior to payment actually being made?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are invoices cancelled when paid?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are expenditures made within the time restraints of the grant and charged to the correct accounting period?	<input type="checkbox"/>	<input type="checkbox"/>

## Internal Control Questionnaire

### SUBGRANTEE \_\_\_\_\_

4. Are all contract and subcontracts in wiring and on file?
- List your agency's subcontractors that have any affiliations with this grant project: [Click here to enter text.](#)
5. Are expenditures in compliance with applicable cost principles? What cost principles are being adhered to for this grant/ contract?
6. Are there written policies and procedures for processing vendor payments?
- What date were they written or last revised? [Click here to enter text.](#)

### PERSONNEL RECORDS

1. Are salaries/wages supported by time and attendance records?
2. Are all leave types addressed in the personnel policy?
3. Are timesheets that identify effort devoted to a particular objective maintained for all grant funded employees?
4. Are all fringe benefits, except those required by law, addressed in the personnel policies?
5. Does segregation of duties exist for individuals approving time and attendance records vs. the processing of payroll documentation for paychecks?
6. Is payroll processed internally or is it outsourced?
7. Are grant funded salaries documented in a letter or contract?

### TRAVEL

1. Are expenditures charged to travel supported by source documents?
2. Are requests for travel approved in advance and reviewed to ensure compliance with grantor?
3. What rate is used to reimburse mileage? [Click here to enter text.](#)
4. Are there written policies are procedure for travel expenses?
- When were they written or last revised? [Click here to enter text.](#)

### PROCUREMENT POLICIES

1. Are there written procurement policies?
- When were they written or last reviewed? [Click here to enter text.](#)
2. Does adherence to the procurement policies, in your judgement, result in obtaining the best quality of service or product at the best price?
3. Are purchase orders used?
- If yes, are expenditures supported by an approved purchase order?
4. Have purchasing authority levels been established?
- List the hierarchy: [Click here to enter text.](#)
5. Are bids required for certain purchases, contracts or capital improvements?

### MATCHING SHARE DOCUMENTATION

1. Is a match required?
- If so, which type? [Click here to enter text.](#)
- 1.1 Cash  
[Click here to enter text.](#)
- 1.2 In-kind  
[Click here to enter text.](#)
2. What is the source of the match? [Click here to enter text.](#)
3. Do accounting records adequately reflect that the required match is expended according to the same criteria as the grant/contract funds being matched?

**Internal Control Questionnaire**

**SUBGRANTEE** \_\_\_\_\_

- 4. Are there in-kind revenues and expenditures recorded in the accounting records?
- 4.1 If yes, is there adequate documentation to value:
  - 4.1.1 Services (times and attendance records, pay rate used, etc.)
  - 4.1.2 Goods (Basis of evaluation)
  - 4.1.3 Space (Rental comparisons, etc.)

**RECORD RETENTION POLICY**

- 1. Are there written policies and procedures for record retention?  
  - If so, when were they written or revised?
- 2. Are confidential records stored in a secure area?  
  - Are records stored on-site or off-site?    
On-site Off-site

**RESPONSIBLE PARTIES**

*List the name and title of person(s) responsible for performing the following duties:*

- 1. Approve Expenses
- 2. Journal Entries
- 3. Personnel Actions
- 4. Replenish Petty Cash Fund
- 5. Sign Checks
- 6. Sign Purchase Orders
- 7. Review Employee Timesheets for Accuracy
- 8. Sign Employee Timesheets/Verify Authenticity of Payee
- 9. Handle Accounts Receivable Documents
- 10. Procurement Card Approval
- 11. Procurement Card Holders
- 12. Capital Expenditures
- 13. Distribute Payroll Checks
- 14. Prepare Trial Balance
- 15. Open Mail
- 16. Open Bank Statements
- 17. Prepare Daily Receipt Log

**Internal Control Questionnaire**

SUBGRANTEE \_\_\_\_\_

18. Prepare Daily Bank Deposit [Click here to enter text.](#) \_\_\_\_\_

19. Conduct Bank Reconciliation [Click here to enter text.](#) \_\_\_\_\_

20. Make Bank Deposits [Click here to enter text.](#) \_\_\_\_\_

21. Coding of Leave Time to Employee Records [Click here to enter text.](#) \_\_\_\_\_

22. Transactions to Cash Receipts Journal [Click here to enter text.](#) \_\_\_\_\_

23. Transactions to Cash Disbursements Journal [Click here to enter text.](#) \_\_\_\_\_

24. Transactions to General Journal [Click here to enter text.](#) \_\_\_\_\_

25. Transactions to the General Ledger [Click here to enter text.](#) \_\_\_\_\_

26. Maintain Equipment Records [Click here to enter text.](#) \_\_\_\_\_

26a. Verify Equipment at Random [Click here to enter text.](#) \_\_\_\_\_

27. Supplies Inventory Records [Click here to enter text.](#) \_\_\_\_\_

27a. Verify Supplies at Random [Click here to enter text.](#) \_\_\_\_\_

28. Employee Personnel Files [Click here to enter text.](#) \_\_\_\_\_

29. Handle Petty Cash [Click here to enter text.](#) \_\_\_\_\_

29a. Verify Petty Cash at Random [Click here to enter text.](#) \_\_\_\_\_

**GENERAL:**

**YES NO**

1. Has there been any change in the structure/operation of the grant program?

If yes, describe.

[Click here to enter text.](#)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**YES NO**

2. Has there been staff turnover in key positions?

If yes, what are the affected positions and reasons for the turnover?

[Click here to enter text.](#)

\_\_\_\_\_  
\_\_\_\_\_

3. Do you have a written policies and procedure manual?

If yes, attach its table of contents and list of appendices.

[Click here to enter text.](#)

\_\_\_\_\_  
\_\_\_\_\_

4. What kinds of accommodations are made to better serve disabled clients?



**Internal Control Questionnaire**

SUBGRANTEE \_\_\_\_\_

[Click here to enter text.](#)

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5. Do you have a license to operate a business?

If yes, has there been any recent change in the license status?

List the business license number and any other government issued identifying number that is associated with your agency.

[Click here to enter text.](#)

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6. Are you accredited by any organization?

• If yes, has there been a recent change in the accreditation?

• Who is the accreditor? [Click here to enter text.](#)

7. Do you have property and liability insurance?

8. If yes, do you have a certificate of insurance on file?

• Who is the carrier? [Click here to enter text.](#)

9. Does your agency operate satellite sites or other branches?

10. Describe procedures for safeguarding confidential information.

[Click here to enter text.](#)

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**I hereby certify that all of the above information is true and correct to the best of my knowledge and belief.**

**NOTE: Return completed questionnaire with your proposal or to your assigned EMI Program Manager. Your delay in returning this form may interrupt the processing of subgrants, payments, or approval of Proposal.**

\_\_\_\_\_  
Signature of Executive Director or Other  
Authorized Agent

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Title

(Revised 05/2016)