# REQUEST FOR PROPOSALS

**For**

## Workforce Innovation Opportunity Act (WIOA) Title 1 Out of School Youth Services for Milwaukee County

**Release Date: March 10, 2017**
**All proposals MUST be submitted by 4:00 p.m., CST, April 17, 2017**

**Submit Response to:**
**Employ Milwaukee, Inc.**
**Attn: Grants Administration**
**2342 N. 27th Street**
**Milwaukee, WI 53210**

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# I. EXECUTIVE SUMMARY

## 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 local businesses by collaborating with them to create a talent pipeline for a knowledge-based economy.

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

Applicants should expect to participate with Employ Milwaukee in an aligned systems approach to delivering business services, including working to ensure that WIOA participants are being trained to industry standards and addressing the needs of the industry sector. Successful applicants will be able to show 1) evidence of collaboration; 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 applicants **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).

### 1.3 Solicitation Overview

Employ Milwaukee, Inc., issues this Request for Proposals (RFP) to solicit agencies capable of successfully delivering **Out of School Youth\Young Adult Services (OSY)** in Milwaukee County in accordance to WIOA.

Employ Milwaukee seeks **innovative** proposals that reflect a clear, evidence-based approach to delivering a comprehensive system to disconnected youth and young adults ages 16 to 24. Proposals should be based on youth development principles and best practices that support, motivate and prepare youth for continuing educational achievements, successful transition into adulthood, and long-term success in employment.
The proposed service design and implementation strategies must be age appropriate, and provide a customized mix of services that address the goals and needs of disconnected youth. The services must lead to the attainment (and tracking) of goals and performance measures for youth.

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.

# II. WIOA OSY YOUTH\YOUNG ADULT SERVICES

### 2.1 WIOA Youth Services Overview

WIOA calls for customer-focused services based on the needs of the individual participant. This includes the creation of career pathways for youth as part of a youth's individual service strategy. Youth and young adults are closely involved in the proposed design and implementation of services to ensure their buy-in and ensure that needs are met. WIOA requires that a minimum of 20% of expenditures fund work experience, placing high priority on work experience as a favored strategy. WIOA also introduced five new program elements included in the text box on the next page.

### 2.2 Youth Services Department Response to new WIOA Program Elements

Two major elements in WIOA have influenced changing the name of Employ Milwaukee's Youth Services Department to its new name, **Office of Career Exploration**:

a) While WIA had a youth age range of 14 to 21, WIOA revises this upwards to span 16 to 24. Young adults who are age 24 have different needs than 16-year-olds, and they do not really fit the definition of "youth."
b) While most WIA services targeted in-school-youth, WIOA mandates that 75% of funds be expended on out-of-school youth (OSY).

As the age range has shifted under WIOA legislation to clients ages 16 to 24, the name "Youth Services" is no longer accurate for this Employ Milwaukee department, where the majority of clients are young adults. It is inappropriate for 24-year-olds to request services from the "youth department."

The new name, Office of Career Exploration, adopts a lens of career exploration rather than being a passive recipient of services. The Office of Career Exploration's **vision** leads us to envision a Milwaukee where youth and young adults have the support and opportunities they need to reach their full potential in educational and career paths.

In partnership with Milwaukee Succeeds, Employ Milwaukee's Office of Career Exploration is creating a new Opportunity Youth Council. This group of 10-15 young people, ages 16-24, will be comprised of current or former "opportunity youth" to bring youth voice to local work around opportunity youth. Contracted WIOA providers will be expected to inform their clients of voluntary opportunities to participate in the Opportunity Youth Council and to serve as a resource to council members when necessary.

**5 new WIOA Program Elements**

1. Financial literacy;
2. Entrepreneurial skills training;
3. Services that provide labor market and employment information about in-demand industry sectors or occupations available in the local areas;
4. Activities that help youth prepare for and transition to post-secondary education and training;
5. Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.

## 2.3 New Central Intake Model

While in previous contracts, each subcontracted agency recruited clients and then performed the intake process, for this contract we are introducing a Central Intake Model:

- Both Employ Milwaukee and the subcontracted agencies will recruit potential clients.
- Both recruited and walk-in clients will first be routed to Employ Milwaukee's Office of Career Exploration, where a trained employee will complete eligibility paperwork and intake assessments.
- The intake assessments will reveal needs, skills levels, and interests.
- The intake employee will analyze the available information and, if eligible, refer the individual to services that best match his or her needs and characteristics. This can include co-enrollment in more than one service or program when appropriate.

In most cases, we expect potential clients referred to Employ Milwaukee by subcontracted agencies for the Central Intake Model process will be referred back to the original subcontracted agency to become an official part of that agency's caseload. At times, Employ Milwaukee will refer clients to subcontracted agencies who were not originally recruited by the subcontracted agency.

All relevant assessment and eligibility information will be shared with the client's eventual case manager.

The Central Intake Model ensures that the incentive is to best address the needs, characteristics and interests of the client. It prevents any agency from rushing recruitment just to "meet their numbers." And the Central Intake Model approach empowers the client to see Employ Milwaukee as the root source of their services, and a place to return to for services if later needs arise.

## 2.4 WIOA Program Requirements

WIOA states that funds allocated to youth service providers shall be used for the program design described below (Sec. 129 (c)(1)).

1) Program design should include an objective assessment of the academic levels, skill levels, and service needs of each participant. The assessment shall include a review for each participant of:
   a. Basic skills;
   b. Occupational skills;
   c. Prior work experience;
   d. Employability;
   e. Interests;
   f. Aptitudes;
   g. Supportive service needs; and
   h. Development needs.

2) Program design should include developing service strategies for each participant that shall identify career pathways that include education and employment goals, appropriate achievement of objectives, and appropriate services for the participant taking into account the assessment conducted.

3) Programs should provide the following:
   a. Innovative and strategic activities that lead to the attainment of a secondary school diploma or its recognized equivalent or a recognized post-secondary credential;
   b. Preparation for post-secondary educational and training opportunities;
   c. Strong linkages between academic learning and occupational learning; preparation for unsubsidized employment opportunities;
   d. Effective connections to employers within the high growth/high demand industry sectors of Milwaukee County, and occupations of the local and regional labor markets.

Programs must at minimum provide the 14 WIOA required services, per Sec. 129 (c)(2). If a provider is bidding on all elements with additional partners delivering program elements, please include the Memorandum of Understanding (s), as appropriate using the attached template. The grantee will have the primary responsibility for ensuring that each participant has access to the full continuum of services. Please review Attachment C in detail, which provides specifics on the 14 WIOA required services. The 14 services are summarized here:

| **Table 2. WIOA 14 Required Services** | |
|---|---|
| 1. Tutoring, study skills training, and instruction. | 8. Follow-up services |
| 2. Alternative secondary school instruction or dropout recovery services. | 9. Comprehensive guidance and counseling activities |
| 3. Paid and unpaid work experiences. | 10. Education offered in workforce preparation context |
| 4. Occupational skills training. | 11. Financial literacy education |
| 5. Leadership development opportunities. | 12. Entrepreneurial skills training |
| 6. Supportive services. | 13. Providing labor market/employment information |
| 7. Adult mentoring. | 14. Assisting with transition to post-secondary education and training. |

## 2.5 WIOA Title 1 OSY Youth Participant Eligibility

Funds awarded through this RFP will be used for WIOA-eligible out-of-school youth/young adults ages 16-24 seeking workforce services. Individuals eligible for services must meet the following criteria:

1. **Meet the general WIOA eligibility criteria:**
   a. Authorized to work in the United States; and
   b. Registered for the Selective Service, if applicable

2. **An "out-of-school youth" shall be eligible to participate in these programs if such individual is:**
   a. Not attending school (as defined under State law); and
   b. Not younger than 16 or older than 24 at time of eligibility determination; and
   c. One or more of the following:
      i. A person who has dropped out of school;
      ii. A youth who is within the age of compulsory school attendance, but has not attended school for at least the most recent complete school year calendar quarter.
      iii. A recipient of a secondary school diploma or its recognized equivalent who is a low-income individual and is:
         - Basic Skills Deficient (the definition of deficient in basic literacy skills is an individual who computes or solves problems, reads, writes, or speaks English at or below a grade level of 8.9); or
         - An English language learner.
      iv. An individual who is subject to the juvenile or adult justice system;
      v. A homeless individual, a runaway, in foster care, or has aged out of the foster care system;
      vi. An individual who is pregnant or parenting;
      vii. A youth who is an individual with a disability;
      viii. A low-income individual who requires additional assistance to enter or complete an educational program or to secure or hold employment.

***Special Rule: The term "low-income," used with respect to an individual, also includes a youth living in a high-poverty area.***

## 2.6 WIOA Work-Based Learning

Paid and unpaid work experience must include academic and occupational education and may include work experiences such as summer employment, and other employment opportunities available throughout the year such as pre-apprenticeship programs, internships, job shadowing, and on-the-job training opportunities. Employ Milwaukee serves the needs of employers from demand industries along with employees. Employ Milwaukee has identified the following sectors as in-demand industries in Milwaukee County:

- Health Care
- Manufacturing
- Construction
- Retail/Hospitality
- Financial Services

- Emerging Sector: Information Technology

Employ Milwaukee expects the selected contractor(s) to present information on demand industries to the youth and young adults, in order to prepare them for in-demand careers. Employ Milwaukee expects that work experience, on-the-job training, job shadowing, internships or externships, and occupational skills training will be focused in these industries.

## 2.7 Program Services

**Customer Flow and Capacity Level**

Unless otherwise notes in the proposal, program models are assumed to operate on an open entry/open exit model throughout the year. Employ Milwaukee expects each funded program to establish and maintain a capacity level of open youth cases. As youth exit the program, contractors must be able to quickly enroll new eligible youth into the program. Successful respondents must strategize on how to manage customer flow to meet the needs of youth and young adults within their program model and achieve performance outcomes. Care should be given to considering how the new Central Intake Model will impact customer flow.

**Date By Which Full Enrollment Must Be Achieved**

During the contracting process, selected contractors will be informed of the deadline date by which full enrollment must be achieved. If a contractor does not achieve full enrollment by that date, their participant slots may be moved to another provider, thus impacting their contract amount. We wish to encourage significant and immediate attention to purposeful outreach and recruitment.

**Non-Traditional Service Times**

It is important that participants have access to services outside of traditional office hours. Employ Milwaukee will favor providers who can offer some form of 24-hour access (possibly via phone or web), as well as some specified non-traditional hours.

**Other Required Program Components**

The following contains a list of program components that **must** be provided, regardless of the model.

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.
c) Conduct **individual assessments** that are comprehensive in nature, and can accurately identify a plan to provide services that are necessary and appropriate for eligible youth to be successful in completing an academic program or entry into a career path; this includes mandatory use of Employ Milwaukee's Online Work Readiness Assessment (OWRA) tool.
d) Provide **academic skills remediation** for youth who test below $9^{th}$ grade in reading and/or math.
e) Conduct **career exploration activities** with structured opportunities to explore a range of career options in a particular industry, thereby developing work-readiness and industry-relevant competencies.
f) Develop **individual service strategies (ISS)** that address the needs identified through comprehensive assessment, in a manner that is appropriate to the individual, developmental needs of each youth, and follows clear timelines in which to be completed.
g) Provide or refer to **supportive services** as appropriate and identified in the youth ISS.
h) **Define the terms of participant success** for each service delivered.
i) **Work with employers** in the development and structure of work-experiences that match the skills and interests of participants, and address the needs of both the youth and employers.

j) Develop effective **community partnerships** that will support the service delivery needs of youth as identified in the comprehensive assessment.
k) Maintain contact and active engagement with participants to ensure there are no gaps in service.
l) Maintain progress of participant activities using the Wisconsin Department of Workforce Development tracking system (ASSET) and Employ Milwaukee's Efforts to Outcome System (ETO).
m) 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 youth.
n) Provide **follow-up services** for a minimum of one year after exit.
o) 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.

### 2.8 WIOA Performance Outcomes, Reporting & Tracking

WIOA establishes a comprehensive performance accountability system. Program proposals should be designed to address and achieve the measures listed fully in Attachment E. 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. Performance measures are comprised of 1) Youth placement in employment, education, or training; 2) Youth retention in employment, education or training; 3) Median earnings; 4) Credential attainment; 5) Skills gain (see Attachment E for more detail).

# 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.

Final contracts will also be subject to any changes in the legislation, regulations or policies promulgated by the funding sources. Employ Milwaukee reserves the right to vary or change the terms of any contract executed as a result of this RFP, including funding levels, the scope of work, performance standards, referral sources and shortening or extending the contract period, as it deems necessary in the interest of EMI and its programs, pending availability of funds.

Sub recipients must have financial resources or the ability to obtain financial resource sufficient to meet their cash flow needs for a minim of an 8-week period. Obligations under this RFP are conditional upon the availability of funds.

**Applicants responding to this RFP should propose to enroll 125 out-of-school youth per year (new cases, not carry over from any previous contract).**

**Employ Milwaukee anticipates awarding fewer contracts than past years (last round featured four contracts).** While we are unable to state a set award amount, we expect successful applicants to use a cost per participant of $3,700. This cost does not include wages and stipends.

One-year contracts (July 1, 2017 – June 30, 2018) will be issued with option for Employ Milwaukee 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 Employ Milwaukee, 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 a minimum requirement that each applicant budget and plan for at least two 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). Overall staffing plans can exceed this – these are minimum requirements.

Successful applicants will be expected to serve participants across all sectors. While targeting all sectors is ideal, it is a requirement that applicants **formally target at least three of the following six industry sectors**, demonstrating connections to employers and industry expertise:

1. Health Care
2. Manufacturing
3. Construction
4. Retail/Hospitality
5. Financial Services
6. Emerging Sector: Information Technology

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 Eligible Applicants

Eligible applicants include:

- Private and public institutions;
- Secondary and post-secondary education institutions;
- Faith-based organizations;
- For-profit agencies
- Not-for-profit agencies and community-based organizations.

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.

Applicants must demonstrate capacity to set direction, achieve outcomes, and manage overall operations, including staff oversight, customer services, continuous improvement and achievement of performance measures.

Applicants certify, 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. Applicants are responsible for being knowledgeable of WIOA regulations and applying them in developing the RFP responses.

### 3.3 RFP Timeline, Notice of Intent to Bid, & 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 Bid Due | 3-16-17 |
| Bidders' Conference | 3-20-17; 10:00 a.m. – Noon |
| Bidders' Conference | 3-22-17; 2:00 p.m. – 4:00 p.m. |
| Bidders' Questions Due to Employ Milwaukee | 3-28-17 by 4pm |
| Questions and Answers Posted | 3-31-17 |
| Proposal Due | 4-17-17 by 4pm no exceptions |
| 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 |

### 3.4 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.

**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**
**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 Bidders' Conference. Potential bidders are asked to respect these conditions by not making personal requests for assistance, except at the Bidders' Conference. Failure to comply may lead to disqualification.**

### 3.5 Notice of Intent to Bid

A Notice of Intent to Bid is mandatory for all bidders planning to submit a proposal, enabling us to notify applicants of all communication during the procurement process. Bidders that fail to submit a Notice of Intent to

Bid will not be eligible to submit a proposal in response to the request. However, submitting a Notice of Intent to Bid does not commit the respondent to submitting a proposal. All Notices of Intent to Bid are due no later than 4:00pm, CST, on Thursday, March 16, 2017 to Employ Milwaukee via e-mail to rfp@employmilwaukee.org.

Please send a simple email with "Notice of Intent to Bid" 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.

### 3.6 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.

### 3.7 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.

### 3.8 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. Applicants are responsible for checking the website frequently for any updates.

### 3.9 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 applicants 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

## 4.1 Administrative Requirements

Proposals must complete all required administrative forms. A complete list of required forms is included in Section 6.1.

- **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 bidder to implement any changes required by the State or Department of Labor. By submitting a proposal, the bidder agrees to work cooperatively with the Board to comply with subsequent changes.

- **Conflicts of Interest**
  By submitting a proposal, the bidder certifies to his/her knowledge and belief that there is no conflict of interest (real or apparent) inherent in the bid 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 bidding 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 bid should a conflict of interest be discovered during the solicitation process.

- **Subcontracting**
  Bidders 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 Employ Milwaukee approval.

  Bidders detailing the use of subcontracted services in order to fulfill the contract shall submit documentation proving compliance with Procurement Standards. Bidders 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 bidder, with the intent to charge costs to the WIOA OSY program, either prior or post, an award from Employ Milwaukee, will be subject to review of its procurement procedures. In the event that Employ Milwaukee finds bidder to be negligent of proper procurement procedures and documentation it reserves the right to either disqualify the bidder from the RFP process or find the bidder 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 Employ Milwaukee.
  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 bidder will be provided the **Subgrantee Internal Control Questionnaire** and will complete and return with the proposal as an attachment. The Subgrantee Internal Control Questionnaire will only be issued a maximum of once per year to each subgrantee. Please find this form posted on the Employ Milwaukee website.

  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. (This is an internal document.)

### 4.2: Data Reporting & Monitoring Requirements

Additional administrative requirements are as follows (it is important that you also review and approve compliance with Attachment 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, Employ Milwaukee 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, Employ Milwaukee 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 Employ Milwaukee 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 Employ Milwaukee 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.

- **Employ Milwaukee Monitoring Plan Strategy**
  On a monthly basis, Employ Milwaukee will review via reports generated from ETO:
    a) Case Management Performance;
    b) Number of enrolled participants;
    c) Number of newly enrolled participants;
    d) Number of dismissed participants (for reasons other than employment);
    e) Number of dismissed participants due to found employment;
    f) Number of Educational/Training enrollments;
    g) Number of Educational/Training completions;
    h) Number of placements
    i) Average wage for placed participants;
    j) Number of credentials earned.

- **Respond to requests for reports and/or data** - Financial and programmatic reports will be required monthly to Employ Milwaukee. 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 Employ Milwaukee 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 Employ Milwaukee 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 Bidder), which states that the Bidder 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:
   i. *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*).
   ii. *Unique entity identifier* means the identifier required for SAM registration to uniquely identify business entities.
   iii. *Entity,* as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
      a. A Governmental organization, which is a State, local government, or Indian
   iv. *Tribe;*
      a. A foreign public entity;
      b. A domestic or foreign nonprofit organization;
      c. A domestic or foreign for-profit organization; and
      d. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
   v. *Subaward:* 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.
      a. 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)
      b. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
   vi. *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.fsrs.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/execomp.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 subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if—
      a. in the subrecipient'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:

i. *Entity* means all of the following, as defined in 2 CFR part 25:
   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;
   e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

ii. *Executive* means officers, managing partners, or any other employees in management positions. iii.

*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 or a subrecipient considers a contract.

iv. *Subrecipient* means an entity that:
   a. Receives a subaward from you (the recipient) under this award; and
   b. Is accountable to you for the use of the Federal funds provided by the subaward.

v. *Total* compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient'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).

**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.

**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

## 5.1 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 satisfactory 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 this Board 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 out-of-school youth 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 Employ Milwaukee.

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.

### 5.2 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 Employ Milwaukee and its constituents.

## 5.3 Evaluation Criteria

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

| Points Possible Per Section | |
|---|---|
| Organizational Capabilities & Experience | 40 Points |
| Statement of Need & Target Population | 10 Points |
| Program Design | 70 Points |
| Staffing Plan | 10 Points |
| Financial Management & Organizational Stability | 20 Points |
| Total Points | 150 |

- **Organizational Capabilities & Experience** **40**
  The bidder 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 youth 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 bidder 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 bidders identified program methods for addressing target population barriers, and the bidder's experience in this area.

- **Program Design** **70**
  The bidder must demonstrate a thorough understanding of the range of programs and services to be offered. The bidder 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 bidder will indicate the WIOA strategies used to provide an innovative youth system. The bidder will demonstrate industry sector and employer connections, refer to MOUs using the required template, describe effective outreach and recruitment methods, and overall service integration.

- **Staffing Plan** **10**
  The bidder must present a clear, well-thought-out 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.

- **Financial Management & Organizational Stability** **20**

The bidder must demonstrate its financial solvency and effective financial and administrative management systems, fiscal organizational structures, cash management system, financial resources, financial capacity, and knowledge in accordance with GAAP. Budgets will be reviewed to determine that costs are reasonable, necessary, allocable and allowable. All costs are significant competitive variables in this procurement.

**TOTAL POSSIBLE POINTS** **150**

## 5.4: 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 27th 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. 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:** Applicants 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.

# VI. PROPOSAL FORMAT & NARRATIVE CONTENT

## 6.1 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 not including Executive Summary, Table of Contents, or attachments is twenty-five (25) 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. Reasonable cost per participant is $3,700. This cost does not include wages and stipends. Costs will be compared on the basis of cost per participant.

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 Sheet (Form A)
b. Table of Contents
c. Executive Summary
d. Proposal Narrative
e. Form C - Sub-Recipient Budget Narrative (the form, plus your one-page budget narrative)
f. Form D - Sub-Recipient Staff Wage Detail
g. Federally Approved Indirect Cost Rate (if applicable)
h. Previous Experience Report
i. Subrecipients Contacts Form (Form 3B, two pages posted to website)
j. Certification Regarding Debarment

k. Certification Regarding Drug-Free Workplace
l. Certification Regarding Lobbying
m. Certification Regarding Conflict of Interest
n. Certification Regarding Affirmative Action Plan
o. Subgrantee Internal Control Questionnaire
p. Proof of Incorporation or Agency Status
q. Proof of Bonding (if applicable) and Certificates of Insurances
r. Organization Chart
s. Job Descriptions and Resumes
t. Memoranda of Understanding (MOUs)
u. Submit one copy of most recent audit report
v. W-9
w. Submit one copy of work workforce Program and Fiscal Monitoring Reports for the most recent two years
x. List of three references, including liaison or contracting officer of any listed contract or funding source.

## 6.2 Executive Summary

Immediate after 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

## 6.3 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 youth facing challenges within the workforce development industry and/or nonprofit sector. **In addition to the in-narrative summary, applicants 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 youth, workforce development or related activities, education, training and services provided by the bidder during the last three years prior to this RFP. Non-related activities and services that illustrate a bidder'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, your 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 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. **Organizational and Management Structure:** Describe your proposed organizational structure responsible for the management and operation of the WIOA youth 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 youth 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 have dropped out of school, individuals who are subject to the juvenile or adult justice system, homeless, pregnant or parenting, youth with a disability, foster youth, youth aging out of foster care, and low-income individuals.

Describe the target population's barriers in achieving self-sufficiency and in accessing employment and education 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., curriculum, program environment, facilities, etc., are designed specifically to address the challenges faced by this population?

## C. PROGRAM DESIGN — 70 points

1. **WIOA Services & Strategies:** The applicant must demonstrate a thorough understanding of WIOA services to be offered. Describe what specific strategies you will use, in accordance with WIOA, to create a seamless youth/young adult services system that is appropriate to meet performance goals and will result in a career path, productive employment, high wages, and retention. State specific methods and strategies which may increase the number of successful program completions.

2. Provide a **Program Elements flowchart** that illustrates the sequence of all proposed activities and services, making it clear where "tracks" or services differ for clients who are Basic Skills Deficient Graduates versus clients who are primarily seeking GED help. Include Employ Milwaukee's new roles as being responsible for centralized intake/assessment, and the number you propose to enroll. Include your partners, and make it clear which services will be provided by partners. If you would prefer to include this as an attachment, it will not count against your page limit.

3. **Benchmarking & Monitoring Performance:** Describe the process and sources for benchmarking performance and expenditure results and explain how the benchmarking process will ensure performance and expenditures standards/levels that exceed measures. Describe your strategy for understanding, monitoring and measuring client performance measures and outcomes. Describe your process for ensuring quality, compliance and proper documentation for all client files.

4. **Industry Sectors & Employer Connections:** Name the industry sectors you are targeting out of the six sector options (must choose at least three; all six is ideal). Describe why these were selected and employer connections you have related to these sectors which may benefit the clients. We encourage unique partnerships with employers that include internships, credential attainment, and employment opportunities upon completion of training. Projects that include training tailored to employer needs that result in a credential are encouraged. Describe what role these employers will play in your program, and specify whether the relationship is new or previously established. Describe how you will identify, develop and maintain relationships with employers, job centers, and other relevant partners. Include specific names of employers whenever possible. Include Memorandums of Understanding (MOUs) as an attachment detailing specific employers' commitments, roles and responsibilities and any leveraged additional funding/in-kind. Make it clear whether the partnership includes subcontracting. Use the MOU template included as an attachment as a guide in developing your MOUs.

When relevant to projects with employer partnerships, describe curriculum and credentials. Describe the number of individuals to be trained, number of credentials that will be obtained, and specific outcomes resulting from training.

5. **Outreach & Recruitment:** With the 75% expenditure requirement for out-of-school youth (OSY), please describe outreach, engagement, and recruitment strategies for OSY populations and disconnected youth. Describe use of technology/social media to outreach to youth. How will you outreach to school drop-outs, individuals who are subject to the juvenile or adult justice system, homeless, pregnant or parenting, youth with a disability, foster youth, youth aging out of foster care, and low-income individuals? While agencies are often most connected with the neighborhoods directly surrounding their location, please describe how you will outreach successfully to ALL parts and sides of the Milwaukee. Please be specific and provide letters or MOUs to support partnerships for outreach.

**6. Intake & Eligibility Determination:** Indicate how you will facilitate youth understanding the WIOA eligibility process, documenting eligibility determination, and conducting intake assessments and career planning. Indicate how you will avoid creating unnecessary delays to program enrollment.

**7. Non-Traditional Service Hour Options:** Employ Milwaukee will favor providers who can offer some form of 24-hour access (possibly via phone or web), as well as some specified non-traditional. Please describe your hours of service and/or accessibility.

8. **Individualized Service Strategy (ISS) Development (also known as Individualized Employment Plan or IEP):** Describe how the assessment results shared by Employ Milwaukee after intake will be analyzed to, in partnership with the client, develop the ISS and include the provision of support services to meet client needs. How often will

the ISS be revisited and updated? Include specific steps describing how the ISS updates will take place. details of the population proposed for services; include the number of participants to be served, include the significant segment of demographics, their age(s), grade level, basic skills functioning levels, their barriers to completing education or training and placement in a high growth/high demand occupation; and the competencies they will attain, etc.

9. **Long-Term vs. Short Term Pathways:** Describe how your program will help participants build sustainable career pathways that focus on long-term career goals, family-supporting wages, and upward mobility and not just short-term employment needs.

10. **The WIOA Program Elements Description and Chart:** Describe how the bidder will provide the proposed program element(s) described previously in this RFP, in accordance with WIOA. Provide a description of proposed activities, strategies, and expected outcomes including the number of youth served. Provide details on any partnerships in delivering elements.

Applicants must include the **WIOA Program Elements Chart found in Attachment D**, showing how the core WIOA activities will be provided and by whom. Please use the more complete descriptive wording of Attachment C as a reference in creating your response. It is acceptable to adapt and alter the chart format as long as it includes all required information. It is acceptable to use a size 10 font for the chart. It is NOT acceptable to include the chart as an attachment (please keep it in your narrative).

**11. Job Readiness:** Describe the bidder's methods for orientation and Job Readiness Training. Will this take place in a group or individually? Who will plan it, who will facilitate it, and what are their credentials? What topics are covered, and what is the goal? How many hours of instruction/participation, and what instruction techniques? How will financial literacy and entrepreneurship training be addressed? What are the standards for completion?

**12. Educational Services**: Describe how you will assist clients in completing secondary school resulting in the attainment of a high school diploma or its equivalent. Describe the following in your answer: Use of proven dropout recovery strategies, tutoring, study skills training, GED vs. HSED, and whether services are off-site or on-site. How will you ensure that clients continue to progress when they face barriers to completing GED or HSED? Describe how your approach will lead to jobs with livable wages.

**13. Career Pathways & Training:** For the industry sectors you are targeting, describe how you will help clients become aware of the career pathways in these sectors and industries. Describe the types of training you anticipate clients needing specific to the industries. Describe how you will connect clients to education/training that leads to post-secondary degrees and/or industry recognized credentials.

**14. Work Experience**: Describe how you will provide youth with work-based learning opportunities (internships, work experience, pre-apprenticeships/apprenticeship, job shadows, etc.). How will you identify which participants are appropriate for these activities?

**15. Youth Development & Supportive Services:** Explain how you will build and strengthen partnerships with community organizations to effectively recruit, engage, and sustain out-of-school activities. Describe why your program is something that youth want and will assist them in achieving their goals towards self-sufficient employment. Describe bidder's established linkages and coordination activities with service providers and other community resources, and specify whether each will be a new relationship or will build on a previously established relationship. Identify each agency involved and a brief description of the services that may support successful youth program and attach an MOU using the required attached template. Describe leadership development opportunities and adult mentoring opportunities.

**16. Exit Strategy & Follow-up:** Describe your exit strategy to ensure participants will achieve required performance measures. Discuss your follow-up services for a minimum of 12 months after the participants exit from the program. Discuss how you will ensure that participants remain on their targeted career path after exiting from the program.

## D. STAFFING PLAN 10 points

**1. 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 positons 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. Include job descriptions and resumes for key personnel as an attachment.

**2. 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 youth served. How will you evaluate staff performance and accountability to ensure effectiveness?

**3. Case Management & Job Development:** Describe your approach to case management/career coaching and include how the bidder will work with community partners to refer youth 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. Describe if the Career Coach also develops the job leads, or if job development is a separate role. If applicable, describe the role of the job developer.

**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. FINANCIAL MANAGEMENT AND ORGANIZATIONAL STABILITY 10 points

The respondent should complete PY17 budgets on the Excel document posted to the website. Please do not deviate for the Budget format provided. Consistency will allow the reviewers to compare the proposed budgets.

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?
3. Describe how the bidder will meet the requirement for having sufficient financial resources to cover an 8-week period before being reimbursed.

## 6.4: Instructions for Completing the Budget Forms

Mandatory budget forms include:

- **Employ Milwaukee Sub-Recipient Budget Narrative, and**
- **Sub-Recipient – Staff Wage Detail**
- **(Also attach a one-page budget narrative using your own format)**

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 bidder with respect to minimizing overhead costs while maximizing client expenditures. The budget narrative should be used to clarify and annotate the budget.

Bidders 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.

All costs must be necessary, reasonable and allowable under a federal or state award and meet the general allowability 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. <u>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.</u>

**Proposed Sub-Recipient Budget Narrative Form** 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.

**<u>Project Budget</u>**

In preparing the Budget Narrative, you must provide a concise narrative explanation to support each line item requested, explained in detail below. 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. Note: This will be detailed on page 2 of the Budget Narrative (Staff Wage Detail). **It is a minimum requirement that each applicant budget and plan for at least two 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). Overall staffing plans can exceed this – these are minimum requirements.

**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** – 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 sub-recipient 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

# VII. ATTACHMENTS

A. Definition of Key Terms
B. Administrative Requirements/Expectations
C. 14 WIOA Required Services
D. WIOA Program Elements Chart for Use in Proposal Narrative
E. WIOA Performance Measures
F. Proposal Checklist
G. Form A – Cover Sheet
H. Form B – Assurances
I. Form C – Sub-Recipient Budget Narrative
J. Form D – Sub-Recipient Staff Wage Detail
K. Memorandum of Understanding Template
L. Certification Regarding Debarment Form
M. Certification Regarding Drug-Free Workplace
N. Certification Regarding Lobbying
O. Certification Regarding Conflict of Interest
P. Subgrantee Internal Control Questionnaire

**NOTE: Please find the following attachments posted on the Employ Milwaukee website for separate download:**

- Form C-- Sub-Recipient Budget Narrative (posted as an Excel file)
- Form D – Sub-Recipient Staff Wages Detail (posted as part of the same Excel file as Form C)
- Subrecipient Contacts – Form 3B (two pages)
- Subgrantee Internal Control Questionnaire

# ATTACHMENT A

## DEFINITIONS OF KEY TERMS

1. ACT means the Workforce Innovation and Opportunity Act, Public Law113-128, enacted July 22, 2014.

2. 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.

3. BASIC SKILLS DEFICIENT – The individual computes or solves problems, reads, writes, or speaks English at our 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.

4. 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.

5. BIDDER/PROPOSER denotes the interested party, the audience for this RFP document, and the probable respondent to the solicitation.

6. BIDDERS' 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 bidders/bidders 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 Bidders' 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 Bidders' Conference. Potential bidders are asked to respect these conditions by not making personal requests for assistance, except at the Bidders' Conference.

7. 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 charted, by the governing body of an Indian tribe or tribes.

8. CHILD CARE SERVICES SYSTEM is the term used to describe the system of management and childcare programs to ensure that appropriate childcare is available to eligible low-income families, under several different programs. The system includes fiscal management; determination of eligibility and authorization of child care for customers; vendor recruitment, training, oversight, and payment via the Child Care Services automated system; and promotion of resources and training to improve the availability and quality of child care in the community. (Not solicited in this RFP).

9. 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.

10. 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.

11. 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..."

12. 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.)

13. 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").

14. 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).

15. 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).

16. DISLOCATED WORKER means an individual as referenced under WIOA.

17. 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).

18. 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.

19. 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.

20. 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.

21. 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.

22. GRANT means funds awarded from a specific funding source by the State Department of Workforce Development, an agency of the State of Wisconsin.

23. 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.

24. PARTICIPANT means an individual who: is determined eligible to participate in MAWIB 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.

25. 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.

26. 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.

27. PROPOSER/BIDDER denotes the proposing entity or interested party, the audience for this RFP document, and the probable respondent to the solicitation.

28. RAPID RESPONSE provides early intervention assistance designed to transition workers to their next employment as soon as possible.

29. 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.

30. CC.SARBANES-OXLEY ACT (SOX) This 2002 Act contains significant protections for corporate whistleblowers.

31. 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.

32. STATE means the Wisconsin State Department of Workforce Development and/or the Governor of the State of Wisconsin.

33. 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.

34. 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 Person Responsibility and Work Opportunity Reconciliation Act of 1996 (also called the Welfare Reform).

35. 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.

36. 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.

37. 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

38. WORKFORCE INVESTMENT ACT (WIA) services mean the Workforce Investment Act of 1998, Public Law 105-220. This Act provided workforce activities through statewide and local workforce systems that will increase the employment, retention, and earnings of customers, and as a result, improve the quality of the workforce, reduce welfare dependency, and enhance the productivity and competitiveness of the nation. WIA was replaced by the Workforce Investment & Opportunities Act.

39. EFFORTs TO OUTCOMES (ETO) is the Employ Milwaukee contractor data management system.

40. 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.

41. Workforce Innovation and 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.

# 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. Bidders unable to meet these standard requirements will not qualify.

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 applicants that have been determined eligible but <u>not</u> served and to applicants 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
    - o 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
    - o Document all requests for and approvals of budget revisions
    - o Establish policies and procedures to ensure compliance with sub grant provisions
    - o Document and report on compliance as specified by the grantee
    - o Develop and maintain a current, complete, and accurate asset inventory list and a depreciation schedule that lists purchases of equipment by funding source
    - o Make the list and schedule available to the grantee upon request
    - o Ensure that budgets and expenses conform to federal cost principles
    - o Ensure fiscal staff familiarity with applicable federal regulations and GAAP
    - o Make available to the grantee very detailed information on the allocation and costing of expenses for services provided
    - o 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
    - o Have in place systems that can provide expenses and client utilization data in sufficient detail to determine reasonableness of unit costs
    - o 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.

<u>Employ Milwaukee Expectations</u>

- 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 Youth 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 3B
Milwaukee Area Workforce Investment Board
**Subrecipient Contacts**

| **Subrecipient Place of Performance** | | | | |
|---|---|---|---|---|
| Name: | Address: | | City: | State: |
| Zip Code +4: | EIN No: | | Institution Type: | |
| Is Subrecipient currently registered in SAM? | | | ☐Yes | ☐No |
| Is Subrecipient exempt from reporting compensation? (If No, please complete Attachment 3B page 2) | | | ☐Yes | ☐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:

Subaward Number

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

## 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.

**Officer 1**

Name:
Compensation:

**Officer 2**

Name:
Compensation:

**Officer 3**

Name:
Compensation:

**Officer 4**

Name:
Compensation:

**Officer 5**

Name:
Compensation:

## ATTACHMENT C

| WIOA 14 Required Services |
|---|
| 1. **Tutoring, study skills training, and instruction and evidence-based dropout and recovery strategies** – that lead to completion of the requirements for a secondary school diploma. |
| 2. **Alternative secondary school instruction or dropout recovery services.** |
| 3. **Paid and unpaid work experiences** that have an academic component and occupational education which may include summer employment opportunities, pre-apprenticeship programs, internships and job shadowing, and on-the-job training. |
| 4. **Occupational skills training, which include priority consideration for training programs that lead to recognized postsecondary credentials that are aligned with in-demand industry sectors or occupations.** |
| 5. **Leadership development opportunities** that encourage responsibility, employability, and pre-employment training. Other positive social behaviors are citizenship skills, which according to WIOA includes a variety of activities designed to guide youth toward becoming mature adults, good neighbors and conscientious citizens. |
| 6. **Supportive services**, such as transportation assistance, childcare, work attire/related tools, and eyewear, etc. |
| 7. **Adult mentoring** for duration of at least 12 months that may occur both during and after program participation. |
| 8. **Follow-up services** for not less than 12 months after the youth are exited from the program, as appropriate. Follow-up services must include more than only a contact attempted or made for securing documentation in order to report a performance outcome. Follow-up services are critical services provided following a youth's exit from the program to help ensure the youth is successful in employment and/or post-secondary education and training. **Follow up services may include:**<br>➢ The leadership development and supportive service activities listed in NPRM Sec. 681.520 and 681.570;<br>➢ Regular contact with a youth participant's employer, including assistance in addressing work-related problems that arise;<br>➢ Assistance in securing better paying jobs, career pathway development, and further education or training;<br>➢ Work-related peer support groups;<br>➢ Adult mentoring; and/or<br>➢ Services necessary to ensure the success of youth participants in employment and/or post-secondary education. |
| 9. **Comprehensive guidance and counseling activities** to assist youth in making sound decisions regarding their education and professional plans and goals. **Counseling and guidance activities related to life choices may include assisting youth to:**<br>➢ Deal with the pressures of life;<br>➢ Resolve interpersonal conflicts with others;<br>➢ Avoid and/or resist peer pressure;<br>➢ Understand how educational/vocational choices impact their future lifestyle; |

- Life skills training (budgeting, time management, etc.);
- Drug and alcohol abuse counseling.

10. **Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.** This model requires that education and training are integrated, and that they occur concurrently and contextually with workforce preparation activities and workforce training. Workforce preparations activities, basic academic skills, and hands-on occupational skills training are to be taught within the same time frame and connected to training in a specific occupation, occupational cluster, or career pathway.

11. **Financial literacy education**, which entails supporting the ability of participants to create household budgets, initiate savings plans, and make informed financial decisions about education, retirement, home ownership, wealth building or other savings goals. Please review NPRM Sec. 681.500 for additional information.

12. **Entrepreneurial skills training** including, but not limited to, knowledge of start-up business models, writing business plans, financial management, basic accounting and financial principles, legal and risk management marketing needs and planning, customer service and time management, HR issues, record keeping, and taxes.

13. **Services that provide labor market and employment information** about the targeted industry sectors or occupations available within the local area – career awareness, career counseling, and career exploration.

14. **Activities that help youth prepare for and transition to post-secondary education and training.**

## ATTACHMENT D

**WIOA Program Elements Chart for use within proposal narrative**

| WIOA 14 Required Services | | |
|---|---|---|
| **SERVICE** | **BRIEF DESCRIPTION** – How will this be provided? Indicate whether every client will receive this, or whether it is only appropriate for some. *(Answer can be just a phrase – not more than 3 sentences in length)* | **PROVIDER** – Will this be provided by your staff (indicate their title), or by a partner? At your location, or the partner's location? Describe partner roles and attach an MOU for each partner. *(Answer can be just a phrase – not more than 3 sentences in length)* |
| **1) Tutoring, study skills training, and instruction and evidence-based dropout and recovery strategies** | | |
| **2) Alternative secondary school instruction or dropout recovery services.** | | |
| **3) Paid and unpaid work experiences** | | |
| **4) Occupational skills training** | | |
| **5) Leadership development opportunities** | | |
| **6) Supportive services** | | |
| **7) Adult mentoring for duration of at least 12 months that may occur both during and after program participation.** | | |
| **8) Follow-up services** | | |
| **9) Comprehensive guidance and counseling activities** | | |
| **10) Education offered concurrently with and in the same context as workforce preparation activities and training for a specific occupation or occupational cluster.** | | |
| **11) Financial literacy** | | |

| | | |
|---|---|---|
| **education** | | |
| **12) Entrepreneurial skills training** | | |
| **13) Services that provide labor market and employment information** | | |
| **14) Activities that help youth prepare for and transition to post-secondary education and training.** | | |

## ATTACHMENT E

# WIOA Performance Measures

| WIOA Performance Measure | Definition | PY17 Goal |
|---|---|---|
| **Youth Placement in Employment, Education, or Training** | The percentage of program participants who are in education/training activities or in unsubsidized employment during the 2nd quarter after exit from the program. | 60% |
| **Youth Retention in Employment, Education, or Training** | The percentage of program participants who are in education/training activities or in unsubsidized employment during the 4th quarter after exit from the program. | 63% |
| **Median Earnings** | The median earnings of program participants who are in unsubsidized employment during the 2nd quarter after exit from the program. | TBD |
| **Credential Attainment** | The percentage of those program participants enrolled in an education or training program who attain a recognized post-secondary credential or a secondary school diploma or its recognized equivalent during participation or within 1 year after exit from the program.* | 60% |
| **Skills Gain** | The percentage of program participants who, during a program year are in education or training programs that lead to a recognized post-secondary credential or employment and who are achieving measureable skill gains, defined as documented academic, technical, occupational, or other forms of progress, towards such a credential or employment. | TBD |

*A participant who has attained a secondary school diploma or its recognized equivalent is included in the percentage of participants who have attained a secondary school diploma or its recognized equivalent only if the participant is also employed or is enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit from the program.

## ATTACHMENT F -- PROPOSAL CHECKLIST

| | Included/Done |
|---|---|
| **PRELIMINARY** | |
| Submit Notice of Intent to Apply by 3-16-17 | |
| Submit questions to be answered at proposer's conference questions by 3-28-17 | |
| **RFP FORMAT** | |
| 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 25-page limit for the narrative. | |
| Correct number of copies are included. | |

| PROPOSAL NARRATIVE | |
|---|---|
| 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 | |

| FORMS & ATTACHMENTS | |
|---|---|
| Form A - Cover Sheet | |
| Table of Contents | |
| *(In order, please insert the Executive Summary and Proposal Narrative here)* | |
| Form B - Agency Assurances | |
| Form C – Sub-Recipient Budget Narrative (Note: attach this form with one extra page, the budget narrative in the format of your choice) | |
| Form D – Sub-Recipient Staff Wage Detail | |
| Previous Experience Report | |
| Certification of Regarding Debarment | |
| Certification Regarding Drug Free Workplace | |
| Certification Regarding Lobbying | |
| Certification Regarding Conflict of Interest | |
| Certification Regarding Affirmative Action Plan | |
| Subgrantee Internal Control Questionnaire | |
| Subgrantee Contacts – Form 3b – 2 pages – PDF posted to website | |
| Proof of Incorporation Status or Agency Status | |
| Proof of Bonding (if applicable) and Certificates of Insurances | |
| Organization Chart | |
| Job Descriptions/Resumes | |
| Memoranda of Understanding (MOUs) | |
| One copy of most recent audit | |
| W-9 | |
| List of references, including liaison or contracting officer on any listed contract or funding source | |
| If applicable, include an indirect cost rate approval letter | |
| Current Certificate of Liability Insurance | |

**EMPLOY MILWAUKEE**
**PROPOSAL FOR PY17 TITLE 1 OUT-OF-SCHOOL YOUTH SERVICES**

## FORM A - COVER SHEETS

### Agency Identification Form

**PROPOSER AGENCY INFORMATION**

| Agency Name | Contract Period<br><br>**July 1, 2017 – June 30, 2020** |
|---|---|
| Agency Address | FEIN<br><br>Agency Fiscal Year<br>☐ Calendar<br>☐ Other (If Other)<br>_______________to |

Agency Type (Check all that Apply)

☐ Government
☐ Tribe
☐ Private, For Profit
☐ Consortium – Specify Lead Agency and type)
☐ Private, Not for Profit
☐ Corporation
☐ County
☐ Other (Specify)

**CONTINUED ON NEXT PAGE**

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

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

## ATTACHMENT H

### FORM B – CERTIFICATIONS OF BIDDERS (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.**

______________________________________________________________________

**Name** **Title** **Date**

**FORM C – Sub-Recipient Budget Narrative – ATTACHMENT I**

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

## SUBRECIPIENT BUDGET NARRATIVE

| | |
|---|---|
| **Organization Name:** | **Contract Number:** |
| **Fiscal Contact Person:** | **Contract Period:** |
| **Mailing Address:** | Employ Milwaukee: Earl Buford, Chief Executive Officer — Date |
| **Fiscal Contact Phone:** | Subrecipient: — Date |
| **Fiscal Contact Fax:** | |
| **Fiscal Contact E-Mail:** | |

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 |
|---|---|---|---|
| | | | |
| **Personnel** | Detail on Schedule A | Detail on Schedule A | $ - |
| **Fringe Benefits** | *% of Wages* | *Example : Includes Health, Dental, Life, Unemployment, Workers Comp and Retirement Benefits* | $ - |
| **Travel** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *Example: # of direct staff to ___ conference, travel costs to local centers for training, etc.* | $ - |
| **Staff Training** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *List types of training, # of staff, etc.* | $ - |
| **Supplies** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *List types of supplies, purpose, etc.* | $ - |
| **Support Services - Transportation** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *Example: Bus Tickets & Van Service, etc.* | $ - |
| **Support Services - Other** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *Example: Childcare, exam fees, uniforms, ....* | $ - |
| | | | |
| **OTHER** | | | |
| **Occupancy** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *Example: Rent, Depreciation, etc.* | $ - |
| **Utilities** | *Estimated Costs - Requires breakdown ( how are estimated costs determined?)* | *Example: Telephone, Electric, etc.* | |
| | | | |
| **Total Direct Charges** | | | $ - |
| **Admin Overhead** | 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* | $ - |
| **TOTAL BUDGET** | | | $ - |

## FORM D – Sub-Recipient Staff Wage Detail – ATTACHMENT J

### 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% | | $ - |
| | | | | | $ - |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| PROGRAM TOTALS | | | | | $ - |
| | | | | | |
| | | | | | |
| ADMINISTRATIVE STAFF | | | | | |
| | | | | | |
| | | | | | |
| ADMINISTRATIVE TOTALS | | | | | |
| | | | | | |
| | | | | | |
| TOTALS | | $ - | | | $ - |

# ATTACHMENT K – 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 Out-of-School Youth contract originating with Employ Milwaukee. The purpose of the overall contract is to better meet the needs of out-of-school youth and young adults 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: ______________________

# ATTACHMENT L

## CERTIFICATE REGARDING

## DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

## LOWER TIER COVERED TRANSACTIONS

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension 23 CFR part 98, Section 98.510, participant's responsibilities. The regulations were published as part VII of the May 26, 1988 Federal Register (pages 19160 - 19211).

(BEFORE COMPLETING CERTIFICATION, READ ATTACHED INSTRUCTIONS

WHICH ARE AN INTEGRAL PART OF THE CERTIFICATION)

1. The prospective recipient of Federal assistance funds certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective recipient of Federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach explanation to this proposal.

______________________________________________

Name and Title of Authorized Representative (please print clearly)

______________________________________________

Signature                                                  Date

**INSTRUCTION TO COMPLETE THE ABOVE FORM.**

1. By signing and submitting this proposal, the prospective recipient of Federal assistance funds is providing the certification as set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. It is later determined that the prospective recipient of Federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies, including suspension and/or debarment.

3. The prospective of Federal assistance funds shall provide immediate written notice to the person to which this proposal is submitted if any time the prospective recipient of Federal assistance funds learns that it is certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarment," "suspended," "ineligible, "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposed," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage section of Rules Implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective recipient of Federal assistance funds agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspension, declared ineligibility, or voluntary excluded from participation in this covered transaction, unless authorized by DOL.

6. The prospective recipient of Federal assistance funds agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions" without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of prospective participant in a lower tier covered transaction that is not debarred,

suspended, ineligible, or voluntarily excluded from covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to check the list of parties excluded from procurement or non-procurement programs.

8. Nothing contained in the forgoing shall be constructed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and / or debarment.

## ATTACHMENT M

### 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).

________________________________________

Typed Name and Title of Certification Official

____________________________ ____________

Signature Date

## ATTACHMENT N

## CERTIFICATE REGARDING LOBBYING

**Certification For Contracts, Grants, Loans And Cooperative Agreements**

**THIS CERTIFICATE AND THE FOLLOWING STANDARD FORM LLL-A ARE REQUIRED TO BE SUBMITTED BY THE SUB GRANTEE OR ANY OF ITS SUBSUBRECIPIENTS ONLY IF THE CONTRACT OR SUBCONTRACT EXCEEDS $100,000.**

☐ **CHECK THIS BOX ONLY IF CONTRACT IS $100,000 OR LESS, skip #1 and #2 below, and sign at bottom of this page.**

**OTHERWISE continue by checking #1 or #2 below, whichever is applicable, and then sign at the bottom of the page.**

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

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a member of Congress, an officer or employee of Congress, or an employee or a member of Congress in connection with the awarding of any Federal contract, the making of any Federal contract, grant, loan, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

   ☐ **CHECK THIS BOX IF APPLICABLE, and sign below. DO NOT complete Standard Form LLL-A.**

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee or a member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL-A "Disclosure of Lobbying Activities," in accordance with its instructions.

   ☐ **CHECK THIS BOX IF APPLICABLE, sign below, AND complete Standard Form LLL-A.**

3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including Sub grantees, sub-grants and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352 Title 31, U.W. Code. Any person who fails to submit the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

______________________________________________________________________

Sub grantee Organization Program Title

______________________________________________________________________

Name and Title of Authorized Representative (please print clearly)

______________________________________________________________________

Signature Date

**STANDARD FORM LLL-A DISCLOSURE OF LOBBYING ACTIVITIES** **(Attachment N, cont.)**

| 1. Type of Federal Action: | 2. Status of Federal Action: | 3. Report Type: |
|---|---|---|
| [ ] a. Contract<br>[ ] b. Grant<br>[ ] c. Cooperative Agreement<br>[ ] d. Loan<br>[ ] e. Loan Guarantee<br>[ ] f. Loan Insurance | [ ] a. Bid / Offer / Application<br>[ ] b. Initial Award<br>[ ] c. Post-Award | [ ] a. Initial Filing<br>[ ] b. Material Change:<br>Year _____ Quarter _____<br>Date of Last Report:<br>____________________ |

| | |
|---|---|
| 4. Name & Address of Reporting Entity:<br>________________________<br>________________________<br>________________________<br>[ ] Prime [ ] Subawardee Tier:__________<br>Congressional District, if known:__________ | 5. If Reporting Entity in item 4 is Subawarded, enter Name and Address of Prime:<br>________________________<br>________________________<br>________________________<br>Congressional District, if known:__________ |
| 6. Federal Department / Agency:__________<br>________________________<br>________________________<br>________________________ | 7. Federal Program Name / Description:__________<br>________________________<br>________________________<br>CFDA Number, if known:__________ |
| 8. Federal Action Number, if known:<br>________________________ | 9. Award Amount, if known:<br>$________________ |
| 10a. Name and Address of Lobbying Entity:<br>(If Individual: Last Name, First Name, MI)<br>________________________<br>________________________<br>________________________ | 10b. Individuals Performing Services: (If different from 10a)<br>________________________<br>________________________<br>________________________<br>(Attach SF-LLL-A Continuation Sheet(s), if necessary) |

| 1. Type of Federal Action: | 2. Status of Federal Action: | 3. Report Type: |
|---|---|---|
| [ ] a. Contract<br>[ ] b. Grant<br>[ ] c. Cooperative Agreement<br>[ ] d. Loan<br>[ ] e. Loan Guarantee<br>[ ] f. Loan Insurance | [ ] a. Bid / Offer / Application<br>[ ] b. Initial Award<br>[ ] c. Post-Award | [ ] a. Initial Filing<br>[ ] b. Material Change:<br>Year _____ Quarter _____<br>Date of Last Report:<br>____________________ |

| 11. Amount of Payment: (check all that apply) | 12. Form of Payment: (check all that apply) |
|---|---|
| $ ________________<br>[ ] a. Actual<br>[ ] b. Planned | [ ] A. Cash<br>[ ] B. In-kind:<br>Specify Nature ____________<br>Value ____________________ |
| **13. Type of Payment: (check all that apply)**<br>[ ] a. Retainer<br>[ ] b. one-time Fee<br>[ ] c. Commission<br>[ ] d. Contingent Fee<br>[ ] e. Deferred<br>[ ] f. Other:<br>Specify ____________________________ | **14. Brief Description of Services Performed or To Be Performed and Date(s) of Service, including officer(s), employee(s), or member(s) Contracted for Payment.**<br>____________________________________________<br>____________________________________________<br>____________________________________________<br>____________________________________________<br>(Attach SF-LLL-A Continuation Sheet(s), if necessary) |

15. Standard Form LLL-A Continuation Sheet(s) attached: [ ] Yes [ ] No

Information required through this form is authorized by Title 31 U.S.C. Section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to Title 31 U.S.C. Section 1352 to be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

16. ________________________________________ ________________________________________

Signature Print Name

| 1. Type of Federal Action: | 2. Status of Federal Action: | 3. Report Type: |
|---|---|---|
| [ ] a. Contract<br>[ ] b. Grant<br>[ ] c. Cooperative Agreement<br>[ ] d. Loan<br>[ ] e. Loan Guarantee<br>[ ] f. Loan Insurance | [ ] a. Bid / Offer / Application<br>[ ] b. Initial Award<br>[ ] c. Post-Award | [ ] a. Initial Filing<br>[ ] b. Material Change:<br>Year _____ Quarter _____<br>Date of Last Report:<br>____________________ |

| ______________________ | ______________________ | ______________ |
|---|---|---|
| Title | Telephone | Date |

**STANDARD FORM LLL-A CONTINUATION SHEET** **(Attachment N, cont.)**

Reporting Entry: Page _________ of _________

Authorized for Local Reproduction of Standard Form LLL-A

Billing Codes:

3410-C; 6450-01-C; 6690-01-C;

8025-01-C; 7510-01-C; 3510-FE-C; 8120-01-C;

4710-24-C; 6116-01-C; 6151-01-C; 8230-01-C;

4810-25-C; 3801-01-C; 4000-01-C; 3820-01-C;

6560-50-C; 6820-61-C; 4310-RF-C; 5716-01-C;

4150-04-C; 7555-01-C; 7537-01-C; 7536-01-C;

4310RF-C; 5716-01-C; 6050-28-C; 4910-62-C.

**INSTRUCTIONS FOR COMPLETION OF** **(Attachment N, cont.)**

## SF-LLL-A DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity. Where subawardee or prime Federal recipient at the initiation or receipt of a covered Federal action, or material change to a previous filing, pursuant to Title 31 U.S.C. Section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or employee of a member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published.

1. Identify the type of covered Federal action for which lobbying activity is and / or has been secured to influence the outcome of covered Federal action.
2. Identify the status of a covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state, and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawards include but are not limited to sub-contracts, sub-grants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, state, and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action identified in Item 1, if known, enter the full Catalog of Federal Domestic Assistance (CFDA) Number of grants, cooperative agreements, loans, and loan commitments.
8. Enter the Federal action number of the Federal program name or description for the covered Federal action as identified in item 1 (e.g. Request For Proposal (RFP) number, Invitation For Bid (IFB) number, grand announcement number, the contract grant or loan award number, or the application/proposal control number assigned by the Federal agency). Include prefixes, e.g. "RFP-DE-90-001."
9. For the covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award / loan commitment for the prime entity identified in item 4 or 5.

10a. Enter the full name, address, city, state, and zip code of the lobbing entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

10b. Enter the full name, address, city, state, and zip code of the individuals performing services if different from 10a.

11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity as identified in item 4 to the lobbing entity. Indicate whether the payment has been made (actual) or will be made (planned). If this is a material change report, enter the cumulative amount of payment made or plan to be made. Check all boxes that apply.
12. Enter the form of payment. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment. Check all boxes that apply.
13. Enter the type of payment. Check all boxes that apply. If other, specify name.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s), officer(s), employee(s), or member(s) of Congress that were contracted for payment as indicated in item 11.
15. Indicate whether or not a Standard Form LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time to review instructions, search existing data sources, gather and maintain the data needed, and complete and review the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (03-48-0046), Washington D.C. 20503.

# ATTACHMENT O

**CONFLICT OF INTEREST AND DISCLOSURE STATEMENT**

Name:______________________________________________________________

Affiliation with Employ Milwaukee (Grantor): (check one)

[ ] Member
[ ] Employee
[ ] Grant Applicant
[ ] Sub grantee

Do you, or any member of your immediate family have any ownership interest in, investment in, employment with, contractual relationship with, fiduciary or professional relationship with any organization or entity which receives or may seek to receive funds from, or which does business or may seek to do business with the Grantor?

[ ] a. Yes [ ] b. No

If yes, please explain, giving the name of every such organization and the nature of your association with it.

______________________________________________________________

______________________________________________________________

______________________________________________________________

Questions 1 and 2 refer to the individuals of the grant applicant's and Sub grantee's board of directors, officers, employees, or any of their immediate family members.

1. Are you a member of the Grantor?

[ ] a. Yes [ ] b. No

2. Do you have a business or employment relationship with any member of the Grantor Board or Staff?

[ ] a. Yes [ ] b. No

If yes, please explain:

______________________________________________________________

______________________________________________________________

______________________________________________________________

______________________________________________________________

3. Does any member of the Grantor Board or Staff serve on your organization's Board of Directors?

[ ] a. Yes [ ] b. No

If yes, please provide the name(s) of any such member(s):

______________________________________________________________

______________________________________________________________

______________________________________________________________

______________________________________ ______________________
Signature Date

## ATTACHMENT P

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:<br>Name of Grantor and Type, i.e.<br>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:

________________________________________________________

________________________________________________________

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

**VENDOR PAYMENTS**

| | | Yes | NO |
|---|---|---|---|
| 1. | Is approval received for payment of invoices prior to payment actually being made? | ☐ | ☐ |
| 2. | Are invoices cancelled when paid? | ☐ | ☐ |
| 3. | Are expenditures made within the time restraints of the grant and charged to the correct accounting period? | ☐ | ☐ |

**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 where they written or revised? Click here to enter text.
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 _Click here to enter text.____________________
2. Journal Entries Click here to enter text.____________________
3. Personnel Actions Click here to enter text.____________________
4. Replenish Petty Cash Fund Click here to enter text.____________________
5. Sign Checks _Click here to enter text.____________________
6. Sign Purchase Orders Click here to enter text.____________________
7. Review Employee Timesheets for Accuracy Click here to enter text.____________________
8. Sign Employee Timesheets/Verify Authenticity of Payee Click here to enter text.____________________
9. Handle Accounts Receivable Documents_Click here to enter text.____________________
10. Procurement Card Approval Click here to enter text.____________________
11. Procurement Card Holders Click here to enter text.____________________
12. Capital Expenditures Click here to enter text.____________________
13. Distribute Payroll Checks _Click here to enter text.____________________
14. Prepare Trial Balance _Click here to enter text.____________________
15. Open Mail Click here to enter text.____________________
16. Open Bank Statements Click here to enter text.____________________
17. Prepare Daily Receipt Log Click here to enter text.____________________

**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.

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.

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.

**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)