positively *Minnesota* Department of Employment and Economic Development

Minnesota Adult Workforce Development Competitive Grant Pilot Program

Report to the Legislature
As required by Laws of Minnesota, 2011 Special Session 1,
Chapter 4, Section 3, Subdivision 3(m)

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Adult Workforce Development Competitive Grant Pilot Program
Minnesota Department of Employment and Economic Development

Background

In July of 2011, the Minnesota Legislature authorized nearly $2.6M from the General and Workforce Development funds for the Adult Workforce Development Competitive Grant Pilot program. As outlined in session law[1], DEED's Commissioner, in consultation with the Governor's Workforce Development Council (GWDC), developed and implemented a competitive grant program. The overarching goal:

Participating individuals obtain, retain, and advance in unsubsidized employment and/or complete training along an educational path, as demonstrated by:
- **Annual wage increases;**
- **Placement and retention in a job and/or education/training program; and**
- **Completion of training leading to an industry-recognized credential.**

To achieve this goal, grantees designed projects using strategies including but not limited to the following:

- provide job training and/or work experience and related activities to assist individuals in gaining skills and competencies that are necessary to obtain, retain, and/or advance employment;
- support individuals in obtaining or getting back on track to obtain industry-recognized credentials or degrees;
- provide *on-going support* to individuals who are already employed and/or who are engaged in an educational path;
- identify post-training career or education pathway and define a strategy to continue on that pathway;
- assist in job search techniques and activities where applicable;
- use recently validated labor market information and industry data to ensure that industry demand exists for the training offered via DEED's Occupations in Demand (OID) tool; and
- provide assessments to eligible program participants to better determine training to support a career and/or educational pathway.

The target populations outlined in legislation for this grant program include:
- people living with disabilities,
- people who are deaf or hard of hearing,
- people who are in transition to work from public assistance.

Additionally, the Governor mandated that participating service providers in this program serve
- veterans,
- older workers, and
- individuals who identify with minority ethnic or racial groups.

With the available $2,598,250 ($830,000 from the general fund and $1,905,000 from the workforce development fund), DEED selected twelve grantees throughout the state that launched the program on July 1, 2012. In accordance with session law, this report provides a detailed account of program launch, operations, and outcomes. [Note: The enabling legislation permitted DEED to retain five percent of the funds for administrative purposes, allowing $2,598,250 for grants.]

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[1] 2011 Session Laws, Chapter 4, Article 1, Section 3, Subdivision 3(m)

Six of the twelve grantees chose to extend their grants to September 30. As a result, we do not yet have complete retention rates for participants in half of the grantees' programs.

Program outcomes, statewide

- 1,633 individuals served over the course of July 1, 2012 – September 30, 2013;
- 63.7 percent of unemployed enrollees exited the program into employment;
- 70.5 percent of all exiters (including those who were employed) had jobs when they concluded program services;
- 81.7 percent *of trainees* were successful in obtained credentials;
- 38.8 percent of all program participants earned credentials;
- **91.8 percent of employed program exiters retained their employment for at least 90 days;**
- Those who were employed were earning, on average, $9,306 over six months, **an average increase of $5,298 from their earnings at time of program enrollment.**

Methodologies and processes for soliciting grant proposals

During design of the Request for Proposals, WDD staff consulted with staff members from the following programs within DEED:

- Vocational Rehabilitation Services to address programming for adults living with disabilities and who are deaf or hard of hearing;
- Minnesota Family Investment Programs to address those in transition to work from public assistance;
- Veterans Services;
- Senior Community Service and Employment Programs to address programming for older workers;
- Governor's Workforce Development Council; and
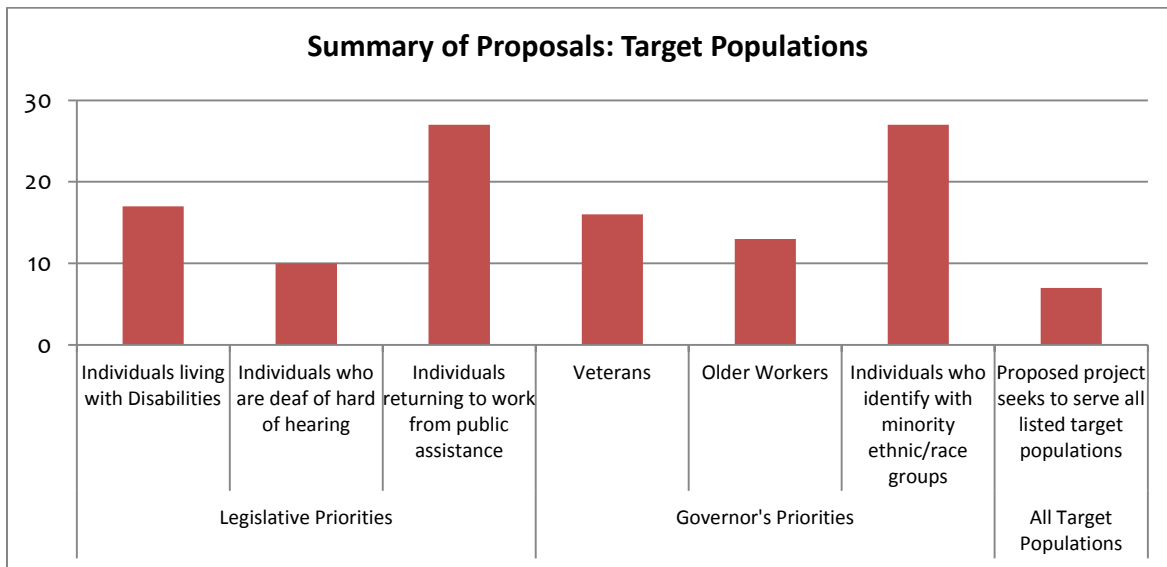- MN FastTRAC Adult Career Pathways program to ensure a focus on career pathways design.

State Register editors published a notice of the RFP on Monday, January 9, 2012. WDD staff sent a broadcast e-mail to all former and current grantees, and encouraged wide distribution. Finally, WDD staff published the RFP (Appendix A) on the Contract and Grant Opportunities section of DEED's website on January 9, 2012. In the RFP, WDD staff established the following timeline for the solicitation and evaluation of grant proposals:

RFP Release: *(published in the Minnesota State Register)*	Monday, January 9, 2012
Statement of Intent Due:	Friday, February 10, 2012
Proposals Due:	Friday, March 2, 2012 by 4:00 p.m.
	Minnesota Department of Employment and Economic Development
Review and Selection Period:	March 5, 2012 to April 13, 2012
Notification to Bidders:	Monday, April 16, 2012
Contract Start Date:	July 1, 2012
Contract End Date:	June 30, 2013

The RFP directed potential applicants to submit any questions following the release of the RFP in writing via e-mail to a specific WDD staff contact person. This contact person answered all questions submitted in writing and published them on the Contract Grant Opportunities page of DEED's website.

Synopsis of proposals received

- 55 applicant organizations submitted letters of intent on or before February 9, 2012;
- 45 organizations submitted full proposals totaling $12,592,233.71 on or before March 2, 2012;
- Demographic breakdown of full proposals (will exceed total of 45 proposals as most proposals sought to serve multiple target populations):

Summary of Proposals: Target Populations

A bar chart showing the number of proposals targeting each population:

Target Population	Count
Individuals living with Disabilities	17
Individuals who are deaf of hard of hearing	10
Individuals returning to work from public assistance	27
Veterans	16
Older Workers	13
Individuals who identify with minority ethnic/race groups	27
Proposed project seeks to serve all listed target populations	7

Legislative Priorities (Individuals living with Disabilities, Individuals who are deaf of hard of hearing, Individuals returning to work from public assistance); Governor's Priorities (Veterans, Older Workers, Individuals who identify with minority ethnic/race groups); All Target Populations (Proposed project seeks to serve all listed target populations)

- Geographic breakdown of full proposals:
  - Three proposals to serve residents throughout all of Minnesota;
  - Four proposals to serve residents within a part of the Twin Cities and a separate, additional part of Minnesota;
  - Seventeen proposals to serve residents of greater Minnesota; and
  - Twenty-one proposals to serve residents in some combination of counties within or directly surrounding the Minneapolis/St. Paul Metropolitan area.

Methodologies and processes for evaluating grant proposals and selecting grant recipients

As written in statute, this program contains an unusually wide scope of target populations. WDD staff undertook a rigorous evaluation process that ensured varied perspectives and fair application of those parameters that were clear in the legislation.

Consistent with the RFP development, the evaluation team consisted of twelve program experts representing the five different units involved in the RFP development. Every expert had documented experience with pass-through grant administration, competitive process, and/or program evaluation. Per M.S. 13.599, all reviewers maintained confidentiality during the review process.

Every proposal received a reading and scoring of up to 100 points by at least five members of this team, using the criteria established in the RFP and translated into a standard evaluation form (Appendix B), broken down as follows:

- Effective Project Design (35 points)
- Organizational Capacity and Relevant Experience (25 points)
  - With a focus on target populations (required)
- Partnerships and Project Sustainability (20 points)
- Assessment and Evaluation (15 points)
- Budget (5 points)

To provide a robust average of proposal scores, WDD staff discarded the high and low score for each proposal. This resulted in a list of fifteen proposals with a clear advantage over the remainder; evaluators from each of the five represented programs could identify their top three choices within that set.

This "final fifteen" represented a strong pool for consideration, but was not focused enough to meet legislative intent. Policymakers had passed specific language on demographics; in addition, the budget was a result of statewide policy seeking maximum impact and a strong return on investment. Therefore, program coordinators ranked the final fifteen proposals using a relative scoring method that gave precedence to those proposals that either (a) reached specifically named target populations that no (or few) other proposals did; (b) reached areas of the state that no (or few) other proposals did; and/or (c) provided a clear plan for reaching scale – that is, large numbers of employed and/or retained workers.

Proposals that ranked highly on one or more of these criteria received the maximum award of $300,000.   Any such ranked proposals asking for less than $300,000 received very close to their full request.

Proposals that ranked moderately high on one or more of these criteria received the second-tier award of $200,000 (or very close to their full request if less than $200,000). Proposals that ranked lower received $100,000, or no funding. DEED's Commissioner made the final decision regarding who received grant funding and the granted amount.

Methods and procedures for monitoring the use of grant awards, including expenditures for administrative expenses by grant recipients

DEED requires grant recipients to adhere to standard DEED policies regarding the use of funds and reporting of expenditures on the grant. DEED policies require grantees to submit monthly Financial Status Reports (FSRs) in tandem with Cash Advance forms, or to submit funding reimbursement forms if the grantee is operating with that process. Grantees report all accrued expenditures and obligations during the grant period by way of these forms. Grantees may use no more than five percent of the grant funding for administrative costs, as stated in the RFP. DEED's grant managers review and approve FSRs and reimbursement forms each month. WDD staff monitor all fiscal expenditures, planned vs. actual, including administrative expenditures each month.

DEED monitored each grant on site during the grant period to ensure that program operators are using funds consistently with the approved plan and contract and the intent of the Adult Workforce Development Competitive Grant pilot program. WDD's monitoring team has adjusted the standard monitoring guide to accommodate this program (Appendix C). In addition to monitoring visits, grant and WDD staff visited with grantees to better develop working partnerships and learn about the program implementation process for as many grantees as possible.

All grantees are required to track their program participants using Workforce One (WF1) or Vocational Rehabilitation's (VR's) Provider Reporting System. Eleven of the twelve grantees used WF1, which presented some learning curves for those grantees who were new to the system. The program manager, grants staff, and monitors track expenditures and compare with data recorded in these systems. Cross-examining information from multiple sources ensures steady use of funds and timely data entry. The twelfth grantee, Minnesota Employment Center, is working with DEED's VR staff, who monitor monthly to check on grant expenditures and progress in relationship to plan.

Methods for measuring outcomes and accomplishments of grant recipients to date, including but not limited to the total number of job placements by each grant recipient and average wage of jobs in which clients are placed

As noted above, DEED requires all grant recipients to use a centralized case management and reporting system. WDD staff draw reports from these systems and are in consistent contact with grantees, monitoring program structure, progress, expenditures, and outcomes. See page 6 for detailed outcomes, broken down by grantee.

	Program Outcomes to Date: SFY 2013 Adult Workforce Development Grant Program											
	Enrolled	Entered Employment Rate	Employment Rate	Number of Participants in Training	Credential[4] Rate	Credential[4] Rate Among Trainees	Employment Retention Rate[5]	Average Six-Month Earnings[5]	Average Change in Six-Month Earnings[5]	Cost per Participant	Total Expenditures	Leveraged Funding
Definitions of Metric Calculations		*those unemployed at enrollment who were employed at exit/*	*those employed at exit/*		*those who earned a credential/*	*those who earned a credential/*	*those employed in the first and second quarter following exit/*	*total earnings among those who were employed in the first and second quarter following exit/*	*average six-month earnings following exit among those employed following exit LESS*	*total program expenditures/*		
numerator / denominator		*those unemployed at enrollment*	*all participants*		*all participants*	*those who were in training*	*those employed in the first quarter following exit*	*those who were employed in the first and second quarter following exit*	*average six-month earnings prior to enrollment among those employed following exit*	*program participants*		
Grants concluded 6/30/2013												
Arrowhead Economic Opportunity Agency	20	Non-disclosable[6]	61.1%	17	72.2%	76.5%	81.8%	$11,757	$2,467	$9,022	$180,432	$124,307
American Indian Opportunities and Industrialization Center	87	62.0%	74.4%	86	87.2%	87.2%	87.5%	$10,207	$2,451	$1,149	$100,000	$292,500
International Institute of Minnesota	217	70.0%	82.3%	120	74.0%	90.8%	97.2%	$11,104	$5,765	$713	$154,708	$433,196
Lifetrack	416	68.0%	73.0%	21	1.2%	23.8%	90.5%	$11,757	$7,211	$699	$290,697	$56,048
Minnesota Employment Center[1]	87	9.4%	76.5%	n/a	n/a	n/a	n/a	$5,887	n/a	$3,265	$284,018	$194,249
Twin Cities Rise[2]	341	63.3%	65.2%	33[2]	9.7%[2]	100.0%[2]	90.6%	$8,782	$5,756	$880	$300,000	$150,000
Grants concluded 9/30/2013												
Central Minnesota Jobs and Training Services[3]	89	43.8%	52.3%	58	48.8%	82.8%	100.0%	$6,665	$5,969	$2,956	$263,110	$110,041
Goodwill/Easterseals[3]	94	57.4%	62.8%	93	50.0%	71.0%	88.9%	$12,826	$7,729	$2,128	$200,000	$198,250
Project for Pride in Living[2, 3]	85	74.1%	79.0%	11[2]	12.9%[2]	100.0%[2]	Non-disclosable[6]	Non-disclosable[6]	Non-disclosable[6]	$1,176	$100,000	$454,000
Resource[3]	70	63.0%	69.2%	49	52.3%	89.8%	84.0%	$10,440	$2,734	$4,286	$300,000	$109,560
SOAR Career Solutions[3]	27	31.3%	40.0%	13	30.0%	58.3%	Non-disclosable[6]	Non-disclosable[6]	Non-disclosable[6]	$3,321	$89,660.96	$71,593
Southwest Minnesota Private Industry Council[3]	100	68.9%	73.7%	35	58.9%	100.0%	94.4%	$10,637	$4,147	$3,000	$300,000	$6,600
TOTAL	**1,633**	**63.7%**	**70.5%**	**536**	**38.8%**	**81.7%**	**91.8%**	**$9,306**	**$5,298**	**$1,569**	**$2,562,626**	**$2,200,344**

NOTES

1 MEC operates with a different model, providing on-going employment support to individuals living with disabilities, including people who are deaf and hard of hearing. Their grant did not offer training for credentials.

2 DEED allowed self-attestation on the credential measure for these grantees due to challenges with capturing credentials in the system. WDD staff will continued to improve this process in the second round of grants and with the release of a rewritten WF1 system.

3 Because of Wage Detail time lags, Employment Retention, Average 6-Month Earnings, and Average Change in 6-Month Earnings are calculated only based on participants who exited the program by 6/30/2013, which is before the end of the grant on 9/30/2013.

4 DEED uses the same definition of "credential" as that provided by the United States Department of Labor: An attestation of qualification or competence issued to an individual by a third party with the relevant authority or assumed competence to issue such a credential.

5 Outcomes for the third quarter after exit will not be available for most customers until late April 2014. When these wages become available, DEED staff will re-calculate these results using wages from the second and third quarter after exit.

6 Results are non-disclosable where they are based on 10 or fewer participants.

* For purposes of consistency, DEED excludes from program performance participants who exited the program due to reasons including health/medical, institutionalization, family care, reserve forces called to active duty, and death.

Grantee	Employability Training (Soft Skills)	Life Skills Training (Personal Finance Management, etc.)	Career Counseling, Resume, Job Search and Interview Preparation Assistance	Computer Training	Adult Basic Education/GED Training	ESL	On-the-Job Training	Internship	Customized Training provided directly by Grantee	Training provided by educational institution	Support Services	Supported Employment
Arrowhead Economic Opportunity Agency		X	X		X		X			X	X	
American Indian Opportunities Industrialization Center	X		X	X	X				X		X	
International Institute of Minnesota	X		X			X			X		X	
Lifetrack			X	X		X			X			
Minnesota Employment Center, Rise, Inc.												X
Twin Cities RISE!	X	X	X	X	X		X	X	X	X	X	
Central Minnesota Jobs and Training Service	X	X	X	X	X				X	X	X	
Goodwill/Easter Seals of Minnesota	X	X	X						X	X	X	
Project for Pride in Living	X	X	X	X	X			X	X		X	
RESOURCE	X		X						X		X	
SOAR Career Solutions	X		X	X	X					X		
Southwest Minnesota Private Industry Council	X		X		X		X			X	X	

Specific job skills developed and measures of improved employability or employment opportunities by the clients of the grant recipients

DEED relies on grant work plans and correspondence with grantees to describe below the job skills developed and improved employability for program participants:

Arrowhead Economic Opportunity Agency (AEOA) - Lake County Workforce Development Program
Skill development:
- Welding processes in accordance with National Skills Standards:
  - Use of 6010 and 7018 electrodes in all four positions;
  - Experience in performing vertical, overhead, horizontal, and flat welding;
  - Experience with shielded metal arc welding, SMAW arc (stick) welding, as well as oxyfuel cutting and welding; and
  - Program (welding)-specific experience in critical thinking and math.
- Personal finance management;

- Other general Adult Basic Education skills; and
- Establishment of an independent educational career path.

Improved Employability:
- Awareness of access to adequate training resources;
- Resolution of legal troubles;
- Support in addiction recovery;
- Assistance with resume and cover letter design; and
- Strong, consistent career counseling.

American Indian Opportunities Industrialization Center (AIOIC) – Adult Training and Employment Program
Skill development:
- Certified CNA training;
- General Adult Basic Education skills;
- Computer training; and
- Business and Information/Technology coursework and certification.

Improved Employability:
- Soft skills improvement (timeliness, appearance, manner of addressing coworkers and supervisors);
- Enhanced interviewing skills;
- Resume and cover letter development;
- Advanced job search assistance; and
- Support services for child care and transportation needs.

Central Minnesota Jobs and Training Service (CMJTS) – REAL Deal Senior Project
Skill development:
- National Customer Service Training and Certification;
- PCA training;
- Basic computer training; and
- GED training.

Improved Employability:
- Advanced job search tips;
- Polished resume and cover letter;
- Increased skill level in area of interest;
- Self-awareness of job interest, abilities and values through assessments;
- Professional resume;
- Interviewing improvement through mock interviews;
- New methods of job searching; and
- Expanded computer skills.

Goodwill/Easter Seals – Business Career Pathways
Skill development:
- Banking, financial, call center, medical terminology;
- Customer service, sales, regulations, debits and credits;
- Interpreting and creating medical insurance documentation, scheduling appointments using medical office (and other) software; and
- Enhanced computer skills: MS Word, MS Excel, fundamental computer skills, building rapport, telephone etiquette, resume and interviewing skills and soft skills.

Improved Employability:

- Expanded confidence by arriving on-time for daily, un-paid training;
- Receive and incorporating on-going feedback about their soft skills;
- Compile all data related to their employment, volunteer, educational history and transform it into effective interview answers and top-notch resumes;
- Mock-interview with up to four recruiters in their industry;
- Network with guest speakers from the industry; and
- Build a working knowledge of core skills specific to their chosen industry.

International Institute of Minnesota (IIMN) – Medical Careers Pathway

Skill development:
- Nursing assistant certification (NAR);
- Registered nurse degree (RN);
- Licensed practical nurse degree (LPN);
- Home health aide certification;
- Improved English speaking ability (all IIMN clients are foreign-born);
- Comprehensive medical vocabulary;
- Key medical concepts;
- College readiness reading, writing, computer and math skills;
- Financial and loan management training; and
- General cultural competency.

Improved Employability:
- Networking ability with partnering nursing homes;
- Professional demeanor;
- Increased confidence;
- Enhanced resume and cover letter;
- Wrap-around support services to improve chances for success.

Lifetrack – Career Collaborative

Skill development:
- Bilingual computer training with collaboration of Broadband Access Program;
- Nursing Assistance training;
- Truck driving training; and
- Basic welding training.

Improved Employability:
- Partner employers proactively recruit job candidates;
- Clients receive one-on-one assistance creating resumes and writing cover letters; and
- Clients benefit from enhanced skills through mock interviews.

Minnesota Employment Center, Rise, Inc.

Staff with the Vocational Rehabilitation program oversee this program as it operates under a different model to provide on-going support for individuals living with disabilities and individuals who are deaf or hard of hearing.

Skill development:
- Specific job skill development varies depending on each individual's ability and situation;
- Approximately 20 percent of the individuals placed require long-term job coaching and intensive job supports;

- Eighty percent of program participants require long-term job follow up services to assist in maintaining their employment.
- Many of the individuals served have limited support from other service providers and the MEC staff often assist with activities such as providing resources for housing supports, budgeting and other services to assist in increasing independence for the individuals served in the MEC program.

Improved Employability:

All of the individuals served in the MEC program have obtained employment in the community.

Project for Pride in Living, Inc. – Advancing Long-Term Health Care Training

Skill development:

- Advancing LTHCT (Long-term Health Care Training): Participants in this program improve their skills in working with long-term care residents (communications, critical thinking, sensitivity & awareness, legal/ethical issues, safety & fall, respecting diversity, and behavior management for persons with dementia).
- Train To Work Healthcare:
  - Provides a refresher on medical terminology/electronic health records,
  - Enhances participants' customer service skills,
  - Increases computer knowledge,
  - Improves employment skills such as resume writing, interviewing skills, job search and workplace professionalism.

Improved Employability:

- Enhanced employment skills through classroom lessons and one-on-one employment coaching with a Placement Specialist: resume writing, interviewing skills, job search, workplace professionalism;
- Gained hands on experience through a two week clinical with a healthcare provider.

RESOURCE - Pathway to Advancement

Skill development:

- Enhanced work readiness and career advancement skills;
- Credentialed career skills training in core manufacturing,
- Health care technician skills training; and/or
- Business service and support specialist skills training.

Improved Employability:

- Articulate areas of strength and challenge through supervised assessments;
- Devoted short and long-term goal setting through individualized employment plan developed with their counselors;
- Enhanced job search ability through coaching with counselor;
- Targeted job skills development and placement, including job leads and connections to the project's business partners; and
- Upon employment, support with job retention and advancement.

SOAR Career Solutions – Duluth Manufacturing Pathways

Skill development:

- Enhanced computer, math and problem-solving skills;
- Familiarity with industrial settings including machinery and safety standards specific to each manufacturing competency area;
- Machine operation students develop technical skills in process controls, geometric dimensioning and tolerancing, precision measuring, turning and milling, engineering materials and processes, computer numerical control (CNC), Machine Tool Setup and Operations;

- Welding students develop technical skills in: personal safety and equipment use, blue-print reading, Oxy-Fuel processes, Shielded Metal Arc Welding (stick), Gas Metal Arc Welding, and Flux Cored Arc Welding (dual shield); and SMAW (stick) certification.

<u>Improved Employability:</u>
- Networking with instructors and other college staff helps students identify employers and identify workplaces that fit their needs.

Southwest Minnesota Private Industry Council (SW MN PIC) – Adult Transitions Grant
<u>Skill development:</u>
- Nursing Assistant certification;
- First Aid and CPR skills;
- Serv Safe;
- Infection control; and
- Medical terminology.

<u>Improved Employability:</u>
- Enhanced resume writing skills;
- Improved interviewing skills;
- Rehearsed application process;
- Enhanced soft skills training - including but not limited to: attitude, attendance, appearance, critical thinking, etc.

Twin Cities RISE! – Transformational Job Skills and Placement for Adults Living in Poverty
<u>Skill development:</u>
- Personal Empowerment Skills Training focusing on emotional intelligence and personal development; and
- Customized training in a high-demand occupation.

<u>Improved Employability:</u>
- Improved interviewing skills;
- Deepened network of employers;
- Soft skill development: importance of timeliness, professionalism, and work place etiquette.

Demographic characteristics of individuals served to date

An overwhelming majority (79 percent) of participants were living in poverty (at or below 100 percent of the 2012 federal poverty threshold) at the time of program enrollment. This data is based on self-reported annual income and family size. Many were also receiving public assistance. At the time of program enrollment, about 38.5 percent of participants were receiving SNAP benefits ("food stamps"), 16.7 percent were receiving MFIP/TANF, and 13.3 percent were receiving General Assistance (GA serves as Minnesota's primary safety net for single adults and childless couples). Although receipt of GA and MFIP are mutually exclusive, some GA and MFIP beneficiaries also receive SNAP assistance.

Including the project designed to provide on-going support to individuals living with disabilities, 9.2 percent of program participants expressed that they have a disability creating a barrier to employment. Nineteen percent of program participants were 50 years of age or older at the time of enrollment. Only 1.7 percent of program participants were veterans.

Self-identified Race of Program Participants

- Black or African American
- American Indian or Alaska Native
- Asian
- White

45%, 31%, 21%, 3%

Forty-five percent of program participants identified as Black or African American, compared to 31 percent of participants identifying as White, 21 percent Asian, and three percent American Indian or Alaska Native.
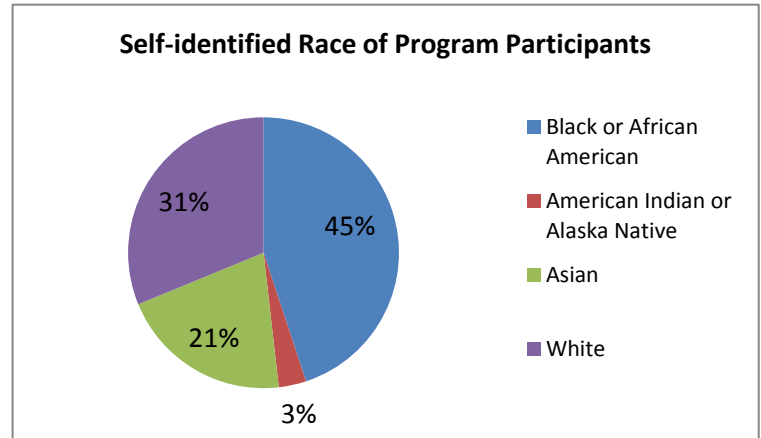
Amount of funds leveraged

Collectively, grantees have leveraged $2,200,344 in foundation opportunities, other grant funding, classroom space, education instructors, and support services. See page six for a breakdown by grantee.

Return on investment to the state

Due to the complexity of calculating actual Return on Investment (ROI), DEED staff plan to eventually employ the Governor's Workforce Development Council's ROI model. In the interim, DEED has calculated a cost-benefit ratio that should shed light on the cost efficiency of the program.

With a total $2,562,626 expended to serve 1,631 individuals, the Adult Workforce Development grant program spent **$1,569 per individual served.** With 1,047 individuals exiting into employment, this program currently spent $2,448 per employed individual. This program provided on-going employment supports for an additional 65 individuals, which is not included in the 1,047.

On-going solicitation and feedback from interested parties regarding improvement and enhancement to the competitive grant

DEED is currently developing a survey that will inform the competitive grant process moving forward. This survey will reach out to current and former grantees, former applicants, and DEED's wider provider network.

For the purposes of this specific grant, DEED sought input in 2012 following the grant application process; responses are synthesized below. DEED staff also met with grantees who previously received direct pass-throughs and providing feedback forms to organizations who requested them (Appendix D offers a template).

1. **How did you learn about the request for proposals (RFP) for the SFY 2013 Adult Workforce Development Competitive Grant Pilot Program?**
   - E-mail notification (this was the case for several organizations)
   - Regional Transitions Coordinator within organization

- United Front Newsletter (provided by United Way)
- Other state agencies (MDH or DHS)

2. **Twelve pages was a significant length for a program description narrative. Would six pages have worked? If not, please suggest a length that would work and explain.**
   - Yes; twelve pages were adequate (this was the case for several organizations).
   - Tighter page limits make the proposal very difficult to write. Questions in the RFP were repetitive and multiple sections asked for the same information. Questions should be changed from "describe your expertise or past projects" to "describe your proposed activities and outcomes".

3. **Did the RFP clearly explain what DEED was seeking in a grant proposal? If not, please explain.**
   - Yes. (This was the case for most respondents.)
   - We felt the RFP was clear, but when learning of the funded projects, we didn't always see a connection between the funded project and the stated goals of the RFP, and the RFP's targeted populations.

4. **Did your organization have enough time to pull together a high-quality proposal between the announcement (Monday, January 9th) and the due date (Friday, March 2nd)?**
   - Yes. (This was the case for most respondents.)
   - The timing was fine, but there was very little opportunity for technical assistance. I wouldn't change the dates. One change that might be helpful is for organizations to submit a draft proposal that is shorter, and then finalists could prepare the more detailed proposal.

5. **Did the process of designing a proposal encourage you to develop working partnerships with area businesses and/or other organizations? If so, how?**
   - We already had many partnerships in place. This grant opportunity encouraged us to seek out new partners.
   - Two months is not enough time to develop relationships with another organization if you don't have a relationship already.
   - Yes – we would reconnect if provided the opportunity.

6. **What about the proposal was difficult to pull together?**
   - Nothing out of the ordinary.
   - Establishing relationships with educational facilities is very difficult for smaller programs.
   - Required partnerships and related documentation were the most time consuming and therefore were the most difficult to pull together.

7. **What about the proposal incited questions for you and/or your team?**
   - Who was eligible to apply?
   - Whether or not to apply given the elaborate RFP and the work involved. DEED may want to consider a two-stage process so that fewer applicants put in the work of a complete proposal. The most significant task was developing and documenting collaborative partnerships.
   - "Our questions centered on the intent of the grant application, and an organization's ability to meet the project goals within a one-year timeframe. Because the project goals were so ambitious for a project that might only be funded for one year, we had many questions regarding the priorities of the grant opportunity. For example, was the main goal to assist individuals to obtain high-quality work credentials? Was it to serve the very underserved populations highlighted in the RFP (e.g., individuals living with disabilities, veterans, individuals who are deaf and hard of hearing)?

8. **If this grant opportunity is available in the future, what should we do differently?**
   - Be clear about who should or should NOT apply.
   - Nothing; the RFP was clear.
   - Consider new pilot initiatives.

- Allow more time for partnership building. Facilitate connections between organizations and training program to improve available training opportunities.
- Make the intent of the grant opportunity more clear.
- Examine what can realistically be accomplished by a typical participant in a year and adjust project goals for the funded organizations accordingly.

9. **If you have them, please include any other comments regarding the RFP process for the SFY 2013 Adult Workforce Development Competitive Grant Pilot Program.**
   - Thank you for requesting feedback! (All respondents shared this.)

Grantee program expenditures

Monthly financial status reports (FSRs) and coordinated invoices allowed DEED to carefully track program expenditures.

Collectively, grantees expended a total of $2,562,626 – 98.6 percent of the total award.

Department expenditures related to the administration and monitoring of this grant

As of June 30, 2013, DEED had fully expended the $136,750 available in administrative costs.

State Fiscal Year 2013
Minnesota Adult Workforce Development
Competitive Grant Pilot Program

Request for Proposals

Application Information and Materials

IMPORTANT DATES

RFP Release: *(published in the Minnesota State Register)*	**Monday, January 9, 2012**
Statement of Intent Due:	**Friday, February 10, 2012**
Proposals Due:	**Friday, March 2, 2012 by 4:00 p.m.** Minnesota Department of Employment and Economic Development Adult Program – Attn: Annie Welch First National Bank Building 332 Minnesota Street, Suite E200 Saint Paul, Minnesota 55101
Review and Selection Period:	**March 5, 2012 to April 13, 2012**
Notification to Applicants:	**Monday, April 16, 2012**
Contract Start Date:	**July 1, 2012**
Contract End Date:	**June 30, 2013**

ABSOLUTELY NO LATE APPLICATIONS WILL BE ACCEPTED.

TABLE OF CONTENTS

Introduction: Minnesota Adult Program Competitive Grant Pilot Program

Funds Available

DEED's Adult program announces the availability of $2,598,250 of funding authorized under Minnesota Session Laws of 2011, First Special Session, Chapter 4 for adult workforce development activities. The full text of the applicable session law is included on page 10 of this document.

Interested parties may apply for up to $400,000 in funding under this solicitation. DEED staff will take the average cost per participant into consideration relative to the stated outcomes of the project. Please indicate the average cost per participant and a justification of the proposed average cost per participant in your application. While there is no matching funds requirement, applicants are encouraged to use leveraged resources.

Project Goals

DEED, in consultation with the Governor's Workforce Development Council (GWDC), has identified the following overarching goal for all proposals:

Participating individuals obtain, retain, and advance in unsubsidized employment and/or complete training along an educational path, as demonstrated by:
- **Annual wage increases;**
- **Placement and retention in a job and/or education/training program; and**
- **Completion of training leading to an industry-recognized credential.**

To achieve this goal, grant applicants are encouraged to design a project using strategies including but not limited to the following:

- Provide job training and/or work experience and related activities to assist individuals in gaining skills and competencies that are necessary to obtain, retain, and/or advance employment;
- Support individuals in obtaining or getting back on track to obtain industry-recognized credentials or degrees;
- Provide *on-going support* to individuals who are already employed and/or who are engaged in an educational path;
- Identify post-training career or education pathway and define a strategy to continue on that pathway;
- Assist in job search techniques and activities where applicable;
- Use recently validated labor market information and industry data to ensure that industry demand exists for the training offered via DEED's OID tool[1]; and
- Provide assessments to eligible program participants to better determine training to support a career and/or educational pathway.

Proposal evaluators will give preference to applications that demonstrate broad collaboration and sustainability of employer engagement and/or leadership with partners.

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[1] DEED's OID tool is available here: http://www.positivelyminnesota.com/Data_Publications/Data/All_Data_Tools/index.aspx

Target Population

This Request for Proposal (RFP) is intended to fund projects that will serve adults who traditionally face barriers to successful employment *including but not limited to*:

- individuals living with disabilities;
- individuals who are deaf or hard of hearing;
- individuals who are returning to work after receiving public assistance;
- veterans;
- older workers; *and/or*
- individuals who identify with minority ethnic/race groups.

We have included general definitions of these groups of individuals on page 12 of this document.

Eligible Applicants

All funding decisions will be made by the Commissioner of DEED. All applicants must have demonstrated effectiveness in administering workforce programs for adult program participants. Eligible applicants must be adult-serving organizations with significant capacity, demonstrable adult development experience and outcomes to operate an adult workforce development project during the contract period.

Applicants will be organizations with proven capacity to deliver activities and services that are comprehensive and grounded in effective practices including, but not limited to:

- supporting individuals who have obtained work or who are pursuing an established educational path;
- partnering with educational and support service agencies to maximize resources;
- designing and delivering an attainable career pathway;
- selecting and funding job training;
- supporting job search;
- supporting job placement;
- supporting job retention;
- supporting credential attainment to support job placement and retention; and
- supporting development of pre-employment and job readiness skills.

Statement of Intent

DEED requests interested applicants to submit a Statement of Intent to apply for these funds no later than Friday, February 10, 2012, which should include all of the following elements:

- Name and address of Agency/Organization (and website link, if applicable);
- Name, phone number and e-mail address of Project Director;
- Project Title/Geographic Area Served;
- Anticipated amount of funds being requested; and,
- Anticipated number of individuals served.

The statement of intent can be sent via USPS to the mailing address shown on page 8 of this document or submitted via e-mail *as a message or attachment in Microsoft Word format* to Annie.Welch@state.mn.us. If submitted via e-mail, the subject line should read: "SFY 2013 Adult Workforce Development Competitive Grant Pilot Program Statement of Intent."

The Statement of Intent is due Friday, February 10, 2012.

Period of Performance/Duration of Funding

Proposals funded under this pilot program are intended to cover a 12-month period. Contracts will begin on July 1, 2012, and will end on June 30, 2013. Since June 30, 2013 will mark the end of the biennium for the State of Minnesota, all funds must be fully expended by that date.

Application Narrative and Proposal Components

The submitted narrative must address all sections and meet the following specifications:
- Formatted using one inch margins and a minimum font size of 12 points;
- Cannot exceed 12 single-sided, double-spaced pages;

Each week, DEED staff will post responses to frequently asked questions on DEED's website at the following address: http://www.positivelyminnesota.com/About_Us/Notices_Announcements/Contract-Grant_Opportunities/MN_Adult_Workforce_Development_Competitive_Grant_Pilot_Program.aspx.

Please be sure that representatives with DEED receive an original and two (2) copies of the application, including all attachments and copies of Letters of Commitment, **no later than 4:00 p.m. on Friday, March 2, 2012.**

> Minnesota Department of Employment and Economic Development
> Adult Program, attn. Annie Welch
> First National Bank Building
> 332 Minnesota Street, Suite E-200
> St. Paul, MN 55101

Faxed or e-mailed applications WILL NOT be accepted under any circumstances.

Proposal Components: 100 points available	
	Executive Summary: One page, single-spaced, one inch margins, minimum 12 point font. [**Note:** The Executive Summary does NOT count towards the 12 page maximum.]
35 points	**Effective Project Design** - How will your proposed project provide job training and or work experience to assist individuals in gaining skills and competencies to retain and/or advance employment? - How will your proposed project support individuals in obtaining industry-recognized credentials or degrees to retain and/or advance employment? - How will your proposed project provide on-going support to individuals who are already employed and/or who are engaged in an educational path? - How will your proposed project identify post-training career or education pathways and define a strategy to continue on that pathway? - How will service providers with your organization use labor market information and industry data to ensure that industry demand exists for the training that program participants access? - How will you reach out to potential program participants? - How will you administer assessments to eligible program participants? What types of assessments will you use?
25 Points	**Organizational Capacity and Relevant Experience** - How will your agency's past experience benefit this target population? - List any initiatives you currently operate that impact this groups of individuals. - Discuss your ability to focus on these groups in program services through outreach and customer tracking. - What experience does your organization have in operating workforce development programs? - What capacity does your organization have to serve the proposed number of individuals? - What specific outcomes has your organization demonstrated from adult workforce development programs over the last five years? - Specifically, address the following performance measures: - What percentage of your program's exiters obtained unsubsidized employment? - What percentage of your program's exiters retained that employment for at least two quarters following the quarter during which they exited? - Of those who were employed at the time of entering the program, what was the average increase in semiannual earnings? Of those who were not employed, how did earnings compare to the most recently held job? - What percentage of program exiters obtained an industry-recognized credential(s) or certificate(s)? - What percentage of program participants achieved educational gains as determined by standardized assessments? - What is the staffing plan for this project? Include a synopsis of each staff position, the responsibilities associated with that position, and explain how this project fits within the overarching structure of the organization.

Because this is required, no points are available.	**Focus on Target Populations**
	• Who is the project's target population? How many adults do you plan to serve?
	• Of the groups listed below, which individuals will be able to participate in your agency's project?
	    ○ individuals living with disabilities;
	    ○ individuals who are deaf or hard of hearing;
	    ○ individuals who are returning to work after receiving public assistance;
	    ○ veterans;
	    ○ older workers; *and/or*
	    ○ individuals who identify with minority ethnic/race groups.

20 Points	**Partnerships and Project Sustainability** • Who are the key partners in your proposed project? • What are the roles, responsibilities, and commitments of each partner? • List any additional funders (public or private) who are supporting this project or you have applied to for support. • Upon implementing this project, how do you foresee this effort continuing into the future? • How does this project demonstrate broad collaboration and sustainability of employer engagement and/or leadership with partners? *To achieve the full 20 points, applicants must demonstrate strong collaborative effort and development of partnerships. Describe how this project is sustainable.* [**Note:** The Partnership Chart (Form 3) does NOT count towards the 12 page maximum.]
15 Points	**Assessment and Evaluation** • How do you plan to evaluate the effectiveness of the project? • Who in your agency is responsible for data collection and reporting? • Does this individual/group of individuals have experience using Workforce One and/or the Provider Reporting System as used by state Vocational Rehabilitation Service staff? If not, is this individuals prepared to learn these systems?
5 Points	**Budget: The total budget request may not exceed $400,000. A maximum of five percent may be used for administrative costs.** DEED staff will take the average cost per participant into consideration relative to the stated outcomes of the project. Please indicate the average cost per participant and a justification of the proposed average cost per participant in your application. While there is no matching funds requirement, applicants are encouraged to use leveraged resources. The *Budget Information Summary* (see Form 4) is a summary for use in the proposal process and must be included in the application. In addition, attach a concise budget backup narrative that describes additional leveraged funds and/or resources from other public or private sources. [**Note:** The Budget Information Summary and budget backup narrative does NOT count towards the 12 page maximum number of pages.]
	Letters of Commitment: Letters of Commitment from partners are required. Each Letter of Commitment must clearly state what they are committing to the program and to the overall partnership. [**Note:** Letters of Commitment do NOT count towards the 12 page maximum.]

Award Notification

All applicants will be notified of final funding decisions no later than Monday, April 16, 2012.

Grant Requirements

All grant agreements entered into with DEED require both state and federal tax identification numbers and a valid DUNS number issued by Dun & Bradstreet. Applicants must also comply with all state and federal requirements including worker's compensation, affirmative action, data privacy, and the Americans with Disabilities Act (ADA), among other requirements. Applicants must be prepared to comply with state data collection, reporting and project evaluation requirements.

Reporting Requirements

Chapter 4, Article I, Section 3, Subdivision (m) includes reporting requirements. The enabling legislation requires grantees to report on appropriate outcomes which include (but may not be limited to):

- the total number of participants in each grant recipient's program;
- the total number of job placements by each grant recipient;
- the total number of jobs retained for at least three quarters following program exit by each grant recipient;
- the average wage of jobs in which clients served by grant recipients are placed;
- the specific job skills developed;
- measures of improved employability or employment opportunities by the clients of the grant recipients;
- the amount of private funds leveraged;
- the return on investment to the state; and
- feedback from interested parties regarding ongoing improvement and enhancement to the competitive grant program.

In alignment with supporting those on an educational path, grantees need to be able to track:
- the total number of participants who obtain a certificate(s) and
- the degree to which participants achieve educational gains as determined by standardized assessments.

Depending on the types of proposals chosen for funding, DEED will work with all grantees to identify data collection requirements and measurable outcomes for reporting. Grantees must use Workforce One, Minnesota's client data tracking system or the Vocational Rehabilitation Services (VRS) Provider Reporting System. If they do not already use Workforce One or the VRS Provider Reporting System, grantees must learn and commit to using the applicable system. Grantees should be prepared to submit *quarterly* progress reports including the outcomes listed above.

Financial Reporting Requirements

Each month, grantees must prepare and submit financial status reports (FSRs) to a grant administrator within DEED. FSRs must accurately reflect expenditures and obligations consistent with rates of participation which grant administrators will be able to track in Workforce One.

Proposal Timeline

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Contract Start Date:	**July 1, 2012**
Contract End Date:	**June 30, 2013**

Alternative Format

Upon request, these materials will be made available in alternative formats. For TDD, contact Minnesota Relay at 711 or 800/627-3529.

Technical Assistance

Technical Assistance in interpreting the instructions or preparing the application is available.

Contact:
Annie Welch
Minnesota Department of Employment and Economic Development
First National Bank Building
332 Minnesota Street, Suite E200
St. Paul, Minnesota 55101

E-Mail: Annie.Welch@state.mn.us
Phone: 651.259.7525

(m) $830,000 the second year is from the general fund and $1,905,000 the second year is from the workforce development fund for the adult workforce development competitive grant pilot program. [NOTE: The enabling legislation also permits DEED to retain five percent of these funds for administrative purposes, making the amount available $2,598,250.]

(1) The commissioner in consultation with the Governor's Workforce Development Council shall develop and implement a competitive grant program for adult workforce development activities including, but not limited to: job training, job search, job placement, pre-employment and job readiness skills, progressive development and employment opportunities for people with disabilities, employment services targeted to people who are deaf or hard of hearing, and transition to work from public assistance. Of this amount, up to five percent is for administration and monitoring of the adult workforce development competitive grant pilot program.

(2) The commissioner must report to the legislative committees having jurisdiction over economic development issues by January 10 each year on the following: methodologies and processes for soliciting and evaluating grant proposals; criteria and methodology for selecting grant recipients; methods and procedures for monitoring the use of grant awards including expenditures for administrative expenses by grant recipients; and methods for measuring outcomes and accomplishments of grant recipients including but not limited to the total number of job placements by each grant recipient, average wage of jobs in which clients served by grant recipients are placed, specific job skills developed and measures of improved employability or employment opportunities by the clients of the grant recipients, amount of private funds leveraged, return on investment to the state, and ongoing solicitation and feedback from interested parties regarding ongoing improvement and enhancement to the competitive grant program. The commissioner must also report on department expenditures related to the administration and monitoring of grants under this subdivision.

State Fiscal Year 2013
Minnesota Adult Workforce Development
Competitive Grant Pilot Program

APPLICATION CONTENT AND INSTRUCTIONS

Application Cover Sheet (Form 1)
Complete the name and address of the applicant agency and/or fiscal agent as well as the name and address of the contact person for the program. Include both federal and state Tax ID numbers. Indicate the level of funding requested for each allowable activity. Be sure to include an authorized signature and date on the application.

Executive Summary
Provide a one page overview of the proposed project. The Executive Summary should be single spaced, with one inch margins and a minimum font size of 12 points. The Executive Summary does NOT count towards the 12 page maximum.

Application Narrative
The Application Narrative may not exceed 12 pages in length, one inch margins, double-spaced and a minimum font size of 12 points. Specific components to be included in the Project Narrative are discussed beginning on page 5.

Work Plan (Form 2)
Describe the goals for the twelve-month funding period. The plan MUST include measurable outcomes. Complete the attached *Work Plan* (Form 2) using as many pages as necessary to describe all planned project activities. The Work Plan does NOT count towards the 12 page maximum.

Partnership Chart (Form 3)
List all partner organizations which are contributing resources, staff and/or time and other entities who are partnering with your organization. Additional pages may be added if needed. The Partnership Chart does NOT count towards the 12 page maximum.

Letters of Commitment
Attach Letters of Commitment from those entities listed in the Partnership Chart as collaborating or cooperating with the project. Please note that these are Letters of Commitment and should be able to spell out what the entity is providing towards the project you are proposing to have funded by the GWDC. Letters of Commitment do NOT count towards the 12 page maximum.

Budget (Form 4)
Complete the attached *Budget Information Summary* (Form 4). A maximum of 5 percent of funding may be used for Administrative Costs. Interested parties may apply for up to $400,000 in funding under this solicitation. DEED staff will take the average cost per participant into consideration relative to the stated outcomes of the project. Please indicate the average cost per participant and a justification of the proposed average cost per participant in your application. While there is no matching funds requirement, applicants are encouraged to use leveraged resources. The Budget form does not count towards the 12 page maximum.

Fiscal Capacity Checklist (Form 5)
The Fiscal Capacity Checklist is a standardized form that is used to determine the basic financial capacity of grant applicants. This information meets state grants management requirements as established in Minnesota Statutes 16B.97 and 16B.98.

TARGET POPULATIONS DEFINITIONS

Adult – An individual aged at least 18 years.

Individual living with a disability – According to the Americans with Disabilities Act of 1990 and included in the Americans with Disabilities Act Amendments of 2008, the term "disability" means, with respect to an individual:

 a. a physical or mental impairment that substantially limits one or more major life activities of such individual;
 b. a record of such an impairment; or
 c. being regarded as having such an impairment.

Individual who is deaf – Individual living with a hearing impairment of such severity that the individual must depend primarily upon visual communication such as writing, lip reading, manual communication, and gestures. (MN § 237.50 Subd. 4a).

Individual who is hard of hearing – Individual living with a hearing impairment resulting in a functional loss, but not to the extent that the individual must depend primarily upon visual communication (MN § 237.50 Subd. 6a).

Individual who is returning to work after receiving public assistance – Individual who received benefits from public programs designed to assist individuals who received an income, or is a member of a family that received a total family income that, in relation to family size, does not exceed the higher of:

 - the official poverty level, for an equivalent period; or
 - 70 percent of the lower living standard income level.
 Federal Poverty Level Guidelines: http://aspe.hhs.gov/poverty/11poverty.shtml
 Lower Living Standard Income Guidelines: http://www.doleta.gov/llsil/2011/

Veteran – A citizen of the United States or resident alien who has been separated under honorable conditions from any branch of the armed forces of the United States after having served on active duty for 181 consecutive days or by reason of disability incurred while serving on active duty, or who has met the minimum active duty requirement as defined by Code of Federal Regulations, title 38, section 3.12a, or who has active military service certified under section 401, Public Law 95-202. The active military service must be certified by the United States secretary of defense as active military service and a discharge under honorable conditions must be issued by the secretary (MN § 197.447).

Older worker – Employee or job seeker who is at least 50 years of age.

Individual who identifies with minority racial and ethnic groups – Minority racial and ethnic groups are as identified by United States Census data; any group that does not fall within the majority racial and ethnic group. In Minnesota, this includes individuals who identify as Hispanic or Latino, Black, African, African American, Asian, Native Hawaiian or Pacific Islander, or American Indian and Alaska Native.

PROGRAM, SERVICE, AND ACTIVITY DEFINITIONS

Assessments (within the context of FastTRAC programming) – Standardized academic assessments that meet the Minnesota Department of Education (MDE) – ABE Office and Minnesota State College and University (MnSCU) System guidelines. MDE – ABE has approved the use of the Comprehensive Adult Student Assessment System (CASAS) for ESL and ABE students and the Test of Adult Basic Education (TABE) for ABE students. MDE-ABE will approve the use of the National Career Readiness Certificate (NCRC) on a case-by-case basis. MnSCU has approved the use of the Accuplacer and the ESL Accuplacer for course placement.

Career Pathways Model – "Series of connected education and training programs and support services that enable individuals to secure employment within a specific industry or occupational sector, and to advance over time to successively higher levels of education and employment in that sector. Each step on a career pathway is designed explicitly to prepare the participant for the next level of employment and education."
(Davis Jenkins, "Career Pathways: Aligning Public Resources to Support Individual and Regional Economic Advancement in the Knowledge Economy" (Workforce Strategy Center, 2006), available at http://www.workforcestrategy.org/publications.html.)

Credential – a verification of qualification or competence issued to an individual by a third party with the relevant authority or jurisdiction to issue such credentials, such as an accredited educational institution, an industry-recognized association, or an occupational association or professional society).
      The range of different types of credentials includes:
        1. Educational diplomas, certificates and degrees;
        2. Registered apprenticeship certificates;
        3. Occupational licenses (typically awarded by State government agencies);
        4. Personnel certifications from industry or professional associations; and
        5. Other skill certificates for specific skill sets or competencies within one or more industries or occupations (e.g. writing, leadership, etc.).
            (TEGL 15-10, released by the United States Department of Labor on December 15, 2010)

BUDGET CATEGORY DEFINITIONS

Administration – Costs are defined by WIA Final Rules and Regulations (20 CFR, Section §667.220) and are generally associated with the expenditures related to the overall operation of the employment and training system. Administrative costs are associated with functions not related to the direct provision of services to program participants. These costs can be both personnel and non-personnel and both direct and indirect.

Specifically, the project defines the following costs as administration:

- Accounting, budgeting, financial, and cash management functions;
- Procurement and purchasing functions;
- Property management functions;
- Personnel management functions;
- Payroll functions;
- Audit functions;
- Incident reports response functions;
- General legal service functions;
- Costs of goods and services required for the administrative functions of the program including such items as rental/purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space;
- Systems and procedures required to carry out the above administrative functions including necessary monitoring and oversight; and,
- Travel costs incurred for official business related to the above administrative functions.

Direct Services – Costs associated with providing direct services.

Support Services – Items that are necessary for an adult to participate in the program, such as transportation, clothing, tools, child care, housing/rental assistance, school-related expenses, etc. These expenses may be paid directly to the adult or to a third-party vendor.

Minnesota Adult Workforce Development
Competitive Grant Pilot Program

FORM 1 - COVER SHEET

Applicant Agency: Please use the legal name and full address. This is the fiscal agent with whom the grant agreement will be executed.		Project Contact Name and Address: (If different from the APPLICANT AGENCY)	
Project Name:		**Contact Name:**	
Director Name:		**Address:**	
Telephone:		**Telephone:**	
Fax:		**Fax:**	
Email:		**Email:**	
Address:		**Address:**	
Federal Tax ID: (required)		**Minnesota Tax ID:** (required)	
DUNS Number: (required)			
Required Information:			
Project Name:			
Geographic Area Served:			
Number of Adults Served:			
Project Start Date:			
Project End Date:			
Total Amount of Funding Requested:			

I certify that the information contained herein is true and accurate to the best of my knowledge and that I am authorized to submit this application on behalf of the applicant.

Authorized Signature	Title	Date

FORM 2 – WORK PLAN

Make additional copies of this form as needed.

AGENCY:	Contact:
PROJECT GOAL:	

STRATEGIES (activities, steps, tasks to achieve above goal):	EXPECTED MEASURABLE OUTCOMES	NUMBER SERVED	START DATE	END DATE

FORM 3 - PARTNERSHIP CHART

The information contained in this chart should support the Work Plan as explained in the narrative. Only those organizations which have already committed resources, staff and time (or are prepared to do so) should be listed.

A Letter of Commitment MUST be included in the application from each person or organization listed below.

Type of Organization	Name and Address of Organization	Type of Commitment: (time, staff, resources, space, referrals, etc.)	Key Contact Person and Telephone Number	Letter Enclosed

FORM 4 – BUDGET INFORMATION SUMMARY
Please attach a concise budget backup listing additional public/private funders and/or resources.

Applicant Agency / Contact Person	Address	Telephone/E-Mail Address

Cost Category	TOTAL FUNDS REQUESTED	Cumulative Quarterly Expenditures For SFY 2013			
		Quarter 1: 07/01/2012 to 09/30/2012	Quarter 2: 10/01/2012 to 12/31/2012	Quarter 3: 01/01/2013 to 03/31/2013	Quarter 4: 04/01/2013 to 06/30/2013
Administration Costs: *(Cannot exceed 5% of the total amount requested)*					
Direct Services:					
Support Services:					
Other (describe):					
TOTAL:					

FORM 5: FISCAL CAPACITY CHECKLIST

This form is to be used in order to determine the financial capacity of grant applicants. The creation and implementation of this form is in response to the best practices stated in the Office of Legislative Auditor's report "State Grants to Nonprofit Organizations," January 2007.

SECTION A: APPLICANT INFORMATION		
1. Organization Name and Address	2. Employer Identification Number:	3. Number of Employees: Full Time: Part Time:
	4. If applicable, when did the applicant receive 501(c) status? (MM/DD/YYYY)	
5a. Is the applicant affiliated with or managed by any other organizations (e.g. regional or national offices)? [ ] Yes [ ] No If yes, provide details: 5b. Does the applicant receive management or financial assistance from any other organizations? [ ] Yes [ ] No If yes, provide details:	6a. Total revenue in most recent accounting period (12 months): 6b. How many different funding sources does the total revenue come from?	

7. Does the applicant have written policies and procedures for the following business processes?
 	
   a.   Accounting   [   ] Yes [   ] No [   ] Not Sure   If yes, please attach a copy of the table of contents.
   b.   Purchasing   [   ] Yes [   ] No [   ] Not Sure   If yes, please attach a copy of the table of contents.
   c. Payroll [ ] Yes [ ] No [ ] Not Sure If yes, please attach a copy of the table of contents.		

SECTION B: ACCOUNTING SYSTEM		
1. Has a federal or state agency issued an official opinion regarding the adequacy of the applicant's accounting system for the collection, identification, and allocation of costs for grants? [ ] Yes [ ] No		
a. If yes, provide the name and address of the reviewing agency:	b. Attach a copy of the latest governmental review and any subsequent documents.	
2. Which of the following best describes the accounting system? [ ] Manual [ ] Automated [ ] Combination		
3. Does the accounting system identify the deposits and expenditures of program funds for each and every grant separately? [ ] Yes [ ] No [ ] Not Sure		
4. If the applicant has multiple programs within a grant, does the accounting system record the expenditures for each and every program separately by budget line items? [ ] Yes [ ] No [ ] Not Sure [ ] Not Applicable		
5. Are times studies conducted for an employee(s) who receives funding from multiple sources? [ ] Yes [ ] No [ ] Not Sure [ ] No, Multiple Sources		
6. Does the accounting system have a way to identify over-spending of grant funds? [ ] Yes [ ] No [ ] Not Sure		

SECTION C: FUND CONTROL	
1. Is a separate bank account maintained for grant funds? [ ] Yes [ ] No [ ] Not Sure	
2. If grant funds are mixed with other funds, can the grant expenses be easily identified? [ ] Yes [ ] No [ ] Not Sure [ ] Not Applicable	
3. Are the officials of the organization bonded? [ ] Yes [ ] No [ ] Not Sure	
SECTION D: FINANCIAL STATEMENTS	

1. Did an independent certified public accountant (CPA) ever examine the organization's financial statements?
    If yes, attach a copy of the management letter from the most recent audit.
    [ ] Yes [ ] No [ ] Not Sure	

SECTION E: CERTIFICATION	
I certify that the above information is complete and correct to the best of my knowledge.	
1. Authorized Signature:	2. Date:
3. Title:	

This form was adapted from an Accounting System and Financial Capability Report Form used by the Minnesota Office of Higher Education, August 2011.

SFY 2013 MINNESOTA ADULT WORKFORCE DEVELOPMENT GRANT PILOT PROGRAM
PROPOSAL EVALUATION FORM

PROPOSAL NUMBER:	AMOUNT REQUESTED:	TOTAL SCORE: _____ (MAXIMUM: 100)
APPLICANT ORGANIZATION:	PROJECT TITLE:	
REVIEWER'S ID NUMBER:		

Recommendation: (Check one)

Highly Recommended: (   )   Recommended: (   )   Not Recommended: (   )

FOCUS ON TARGET POPULATIONS: Because this was required, no points are available. However, as an evaluator, keep this in mind as you proceed.

How specific and realistic is the applicant's approach to serving the outlined target populations?

- Who is the project's target population?
- How many adults do you plan to serve?

Strengths:

Weaknesses:

EFFECTIVE PROJECT DESIGN: 35 points possible		SCORE: _____		
How well does the proposed project tackle the goals outlined in the RFP?		Excellent proposal.	Average approach.	Not clear.
Overarching goal for all proposals: **Participating individuals obtain, retain, and advance in unsubsidized employment and/or complete training along an educational path as demonstrated by:**		4	3 – 2 – 1	0
o Annual Wage Increases		5 – 4	3 – 2 – 1	0
o Placement in a job and/or education/training program		5 – 4	3 – 2 – 1	0
o Retention in a job and/or education/training program		5 – 4	3 – 2 – 1	0
o Completion of training leading to an industry-recognized credential		5 – 4	3 – 2 – 1	0
• How will service providers with your organization use labor market information and industry data to ensure that industry demand exists for the training that program participants access?		4	3 – 2 – 1	0
• How will you reach out to potential program participants?		4	3 – 2 – 1	0
• How will you administer assessments to eligible program participants? What types of assessments will you use?		3	2 – 1	0
Strengths:				
Weaknesses:				

ORGANIZATIONAL CAPACITY AND RELEVANT EXPERIENCE: 25 points possible	SCORE: _____		
How well-suited is the applicant's experience and capacity according to their responses to the following questions?	Excellent.	Average.	Not a good fit.
• How will your agency's past experience benefit this target population? - List any initiatives you currently operate that impact this group of individuals. - Discuss your ability to focus on these groups in program services through outreach and customer tracking.	5 – 4	3 – 2 – 1	0
• What experience does your organization have in operating workforce development programs?	5 – 4	3 – 2 – 1	0
• What capacity does your organization have to serve the proposed number of individuals?	5 – 4	3 – 2 – 1	0

• What specific outcomes has your organization demonstrated from adult workforce development programs over the last five years?
  • Specifically, address the following performance measures:
  - What percentage of your program's exiters obtained unsubsidized employment?
  - What percentage of your program's exiters retained that employment for at least two quarters following the quarter during which they exited?
  - Of those who were employed at the time of entering the program, what was the average increase in semiannual earnings? Of those who were not employed, how did earnings compare to the most recently held job?
  - What percentage of program exiters obtained an industry-recognized credential(s) or certificate(s)?
  - What percentage of program participants achieved educational gains as determined by standardized assessments?
	5 – 4	3 – 2 – 1	0

• What is the staffing plan for this project? Include a synopsis of each staff position, the responsibilities associated with that position, and explain how this project fits within the overarching structure of that organization.	5 – 4	3 – 2 – 1	0
Strengths:			
Weaknesses:			

PARTNERSHIPS AND PROJECT SUSTAINABILITY: 20 points possible *To achieve the full 20 points, applicants must demonstrate strong collaborative effort and development of partnerships. Describe how this project is sustainable.*	SCORE: _____		
Refer to Partnership Chart (Form 3) and any attached letters of commitment to better rate this question.			
Does the applicant demonstrate a strong collaborative effort and development of partnerships in responses to the following questions?	Excellent.	Average.	Not a good fit.
Who are the key partners in your proposed project?	4 – 3	2 – 1	0
• What are the roles, responsibilities, and commitments of each partner?	4 – 3	2 – 1	0
• List any additional funders (public or private) who are supporting this project or you have applied to for support.	4 – 3	2 – 1	0
• Upon implementing this project, how do you foresee this effort continuing into the future?	4 – 3	2 – 1	0
• How does this project demonstrate broad collaboration and sustainability of employer engagement and/or leadership with partners?	4 – 3	2 – 1	0

Strengths:

Weaknesses:

ASSESSMENT AND EVALUATION: 15 points possible		SCORE: _____		
Does the applicant demonstrate the ability to evaluate the project?	Excellent.	Average.	Not a good fit.
How do you plan to evaluate the effectiveness of the project?	7 – 6 – 5	4 – 3 – 2 – 1	0
• Who in your agency is responsible for data collection and reporting? *- Is there a central point of contact listed?*	2	1	0
• Does this individual/group of individuals have experience using Workforce One and/or the Provider Reporting System as used by the State Vocational Rehabilitation Service staff? If not, is this individual(s) prepared to learn these systems?	6 – 5	4 – 3 – 2 – 1	0

Strengths:

Weaknesses:

BUDGET: 5 points possible		SCORE: _____		
Refer to the Budget Information Summary (Form 4) and Budget Backup Narrative (attachment to Form 4) to better rate this question.				
How well does the applicant outline the total budget?	Crystal clear.	Average response.	Did not respond.

Budget costs are appropriate for the proposed project and activities:
  - Administrative costs do not exceed 5 percent of the budget;
  - Direct service costs seem realistic for proposed services;
  - Support services (if applicable) are adequately funded.
	5 – 4	3 – 2 – 1	0

Strengths:

Weaknesses:

LETTERS OF COMMITMENT
• The proposal includes Letters of Commitment from each partner listed on the Partnership Chart (Form 3).
• Each Letter of Commitment clearly states what the partner is committing to the project and to the overall partnership.
Strengths:
Weaknesses:

SUMMARY COMMENTS
Overall Project/Proposal Strengths
Overall Project/Proposal Weaknesses
If funding is recommended, are there conditions to be met prior to funding? If so, please describe.

ADULT WORKFORCE DEVELOPMENT GRANT MONITORING GUIDE

**Minnesota Department of
Employment and Economic Development**

Workforce Development Division
Workforce Coordination

July 24, 2012

Prepared by:

Department of Employment and Economic Development
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Table of Contents

Introduction

The purpose of this guide is to assist in determining whether the Grantee is conducting the Adult Workforce Grant in accordance with the approved work plan and State policies.

Since the administration and program approach of Grantees may vary widely, this review activity will be flexible. The Field Representative must ascertain the unique structures of each program prior to a more detailed analysis.

The Grantee visit will be preceded by a desk review of all project material available at the Grantor's offices. The office to be visited will be contacted and suitable arrangements will be made as to date, time of the visit, and appropriate staff involvement. Times for entrance and exit conferences will be set. Confirmation of these details will be made by letter which is sent via email.

The entrance conference will describe plans, products of the review, and will obtain basic overview information about the project. Points to be covered will include:

1. Scope of the visit
   - Subject Matter
   - Method of Review
2. Review of applicable sections of the law, regulations and State policies
3. Results
   - Exit Conference
   - Written Report

Using the discussion topics, the Field Representative will present all tentative findings. Any additional information the Grantee can provide should be incorporated at this point. Grantee requests for technical assistance should be noted and included in the monitoring report.

A final report and cover letter will be prepared with 45 days after completion of the onsite review.

General Information

Project Name

Grantee

Funding Level

Start/End Dates

Monitored by

Persons Interviewed

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.

Program Specialist's Concerns

Review the approved workplan and narratives. Meet with the Program Specialist prior to the onsite review for project specific concerns.

Project Overview

What are the objectives of this project?

_____

_____

_____

_____

Onsite Review

Accounting Systems and Internal Controls

Review the accounting manual, cost allocation plan(s), Chart of Accounts and any other written policies and procedures that pertain to financial systems and cost classification.

Obtain copies of or review the Chart of Accounts and other pertinent specific financial policies List the items reviewed:

☐ Accounting Manual ☐ _____

☐ Chart of Accounts ☐ _____

☐ Cost Allocation Plan ☐ _____

Does the Grantee use anything other than a modified accrual system?

_____ Yes _____ No

How often is a full accrual completed?

_____

_____

Does the Grantee maintain a petty cash system? _____ Yes _____ No

　　If yes, how much money is kept in petty cash? $ _____

How is petty cash safeguarded and do staff other than the "petty cash custodian" have direct access to the cash?

_____

_____

_____

What is petty cash used for?

_____

_____

Can staff or participants borrow from petty cash?   ＿＿＿ Yes ＿＿＿ No

How often is petty cash reconciled and replenished?
☐ Weekly   ☐ Monthly   ☐ Yearly

Who does the reconciliation?

＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

How often are audits of petty cash done?

＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿＿

Does the Grantee maintain a cash receipt and disbursement system which provides for the following?

Are checks pre-numbered?   ＿＿＿ Yes ＿＿＿ No

Are monthly cash reconciliations made to bank statements?   ＿＿＿ Yes ＿＿＿ No

Are monthly bank reconciliations made by an employee not responsible for cash receipts and disbursements?   ＿＿＿ Yes ＿＿＿ No

Do bank reconciliation procedures provide for:
Accounting for check numbers used?   ＿＿＿ Yes ＿＿＿ No

Comparing checks, including voided ones, with the check register to verify date, number, amount, and payee?   ＿＿＿ Yes ＿＿＿ No

Inspecting a sample of signatures and endorsements?   ＿＿＿ Yes ＿＿＿ No

Investigating checks outstanding for long periods (over 90 days)?   ＿＿＿ Yes ＿＿＿ No

Itemizing outstanding checks?   ＿＿＿ Yes ＿＿＿ No

Are outstanding checks periodically voided?   ＿＿＿ Yes ＿＿＿ No

Are voided checks controlled through a General Ledger Payable account?   ＿＿＿ Yes ＿＿＿ No

Is all information concerning voided checks maintained for future claims?   ＿＿＿ Yes ＿＿＿ No

Does the agency report unclaimed or uncashed checks according to the procedures of the Minnesota Unclaimed Property Law?   ＿＿＿ Yes ＿＿＿ No

Are blank checks safeguarded to prevent unauthorized access? _____ Yes _____ No

Are undelivered checks adequately accounted for to prevent theft? _____ Yes _____ No

Is more than one signature required on checks? _____ Yes _____ No

Are mechanical check-signers adequately controlled? (Is there a dollar amount limit?) _____ Yes _____ No

Is drawing checks payable to cash (except for petty cash) prohibited? _____ Yes _____ No

Must documentation accompany checks for signature? _____ Yes _____ No

Does someone prepare a list of checks as they come in? (Cash Receipts Journal) _____ Yes _____ No

What is the procedure for recording funds received electronically?

_____

_____

_____

Are checks received restrictively endorsed? _____ Yes _____ No

Are receipts deposited immediately? _____ Yes _____ No

Is there an adequate segregation of duties between cash receipt and disbursement? _____ Yes _____ No

Does the Grantee maintain a purchasing and receiving system that provides for the following:
Pre-numbered purchase orders? _____ Yes _____ No

Adequate accounting for and control of pre-numbered forms? _____ Yes _____ No

Segregation of the purchasing and receiving functions? _____ Yes _____ No

Comparing of shipping documents to purchase orders? _____ Yes _____ No

In the accounts payable system:
Are vendor invoices reconciled to purchase orders? _____ Yes _____ No

Are invoices authorized for payment? _____ Yes _____ No

Are sub-grantee/vendor account balances reviewed? ____ Yes ____ No

Are invoices voided or stamped "paid" to ensure against duplicate payments? ____ Yes ____ No

Does the Grantee maintain a payroll system that provides for the following?

Payrolls based on Personnel Activity Reports or their equivalent? ____ Yes ____ No

Time and attendance reports certified by participant/ employee/ supervisor? ____ Yes ____ No

Payrolls certified by management:
For accuracy? ____ Yes ____ No

That all payees are bonafide staff or participants? ____ Yes ____ No

Leave slips signed by staff/participants? ____ Yes ____ No

Staff paid only by check or direct deposit? ____ Yes ____ No

Participants paid only by check? ____ Yes ____ No

The preparation of the payroll entirely separate from and independent of the delivery of paychecks? ____ Yes ____ No

The distribution of paychecks made by independent persons not involved in timekeeping or bank reconciliation work? ____ Yes ____ No

Payroll clerical operations independently proofed and verified before the payroll is distributed? ____ Yes ____ No

Retention of payroll withholding forms? ____ Yes ____ No

Preparation and retention of payroll tax reports? ____ Yes ____ No

Do you have a mandatory vacation or rotation of duties policy for accounting personnel?

If yes, please elaborate: ____ Yes ____ No

_____

_____

_____

_____

Review the Grantee's liability insurance.

    Does it include employee dishonesty?   ____ Yes ____ No

    Does the coverage include participant work related activities
and/or training activities?   ____ Yes ____ No

    Has this coverage requirement been included in subgrantee agreements? Note: this
is in addition to paid employment activities (work experience, OJT) covered by
workers compensation.

                         ____ N/A ____ Yes ____ No

Does the Grantee believe current liability coverage is adequate?

_____

_____

_____

What bank(s) or account(s) are funds deposited in?

_____

_____

_____

Are the account(s) covered by FDIC or FSLIC and for what amount?

_____

_____

_____

Does the amount kept in any account exceed the FDIC or FSLIC
coverage?   ____ Yes ____ No

    If yes, how are the funds in excess insured from loss?

_____

_____

_____

<u>Cost Limitations and Financial Management – State Programs</u>

<u>Desk Review</u>

Dated: _____
_____ % Administration
_____ % Direct Customer Training Costs
_____ % Client Related Costs
_____ % Supportive Services

	Plan	**Actual**	**+/- Variance 15%**
Administration			
Direct Customer Training Costs			
Client Related Costs			
Supportive Services			
TOTAL			

Will all grant funds be expended by June 30, 2013?   ____ Yes ____ No

Using the most recently submitted Financial Status Report, trace back to the accounting records.
   Is it traceable?   ____ Yes ____ No

   Is it completed correctly?   ____ Yes ____ No

Using a transactions report provided by the Grantee, select a sample of expenditures (equipment or other procurement, training invoices, supportive services, payroll, etc.). Use the sample and the Chart of Accounts to assure that expenditures are properly recorded by cost classification: Administration, Direct Customer Training, Client Service-Related, and Supportive Services.

Cost Classification (Onsite Review)

Through a review of the Chart of Accounts, written policies for cost classification and discussion with accounting staff, determine how costs are classified.

Has the Grantee developed written and uniform cost
classifications for each category?   ____ Yes ____ No

For costs that are pro-rated, what are the methods used?

_____

Are the methods acceptable for making cost allocations and in compliance with Grantee cost allocation plan(s)?

_____

How does the Grantee verify that these classifications are being properly made by all subrecipients? (Review a sample of subgrants and invoices to ensure that costs are properly classified. Note any problems.)

When combined bank accounts are used, ask the following questions to determine how cash is managed. Note all of the funding sources that are commingled with DEED funds.

How often are bills paid?

Are bills paid when due, not when received? _____ Yes _____ No

Are payables filed in a tickler file by date due? _____ Yes _____ No

Cash Management

Determine whether the Grantee is on a reimbursement basis; that is, program costs are paid with local funds and Grantee is subsequently reimbursed. If the cash requests are prepared from compilations of program expenditures already disbursed from the Grantee's own resources, the Grantee is on a reimbursement basis. If satisfied that this is the case, no further testing is necessary since Federal and State cash balances will always be zero or negative.

How do you determine how much cash to draw down?

Are cash request projections documented? _____ Yes _____ No

How often is cash requested?

Is it possible to trace cash balances reported on DEED cash drawdown requests to the Grantee's cash journals? _____ Yes _____ No

   If yes, trace (verify) these balances to the books for 2 or 3 randomly selected requests. Note exceptions.

If reported balances cannot be traced to the books, what is their source?

_____

_____

Is the Grantee monitoring subrecipient cash on hand?   ____ Yes ____ No

   Have any corrective actions been referenced?   ____ Yes ____ No

Are program funds paying the costs of other programs?   ____ Yes ____ No

Does the Grantee contract for services or goods?   ____ Yes ____ No

Property Procurement

In the past year, has property and/or equipment been purchased
by the Grantee with DEED project funds?   ____ Yes ____ No

If yes, list:

_____

_____

_____

_____

_____

If yes, review appropriate documentation. (Secure an inventory list of purchases of
$1,000 or more; approval is needed for purchases of $5,000 or more.)

How is loss, damage, or theft of equipment investigated?

_____

_____

_____

Does the Grantee have an equipment disposition procedure?   ____ Yes ____ No

Do a sample of property against the inventory list.

_____

_____

_____

_____

_____

_____

Audit Review

<u>Audit Review – Grantee</u>

The period covered by the most recent audit(s):

From: _____ to _____

Have audits been completed on a timely basis? (within nine months from fiscal year-end)?	____Yes	____ No

Does the audit break out revenues by funding source? (Catalogue of Federal Domestic Assistance (CFDA) numbers.)	____Yes	____ No

Review the management and compliance report to determine if any of the audits contain any of the following:

Questioned costs?	____ Yes	____ No
Internal control findings?	____ Yes	____ No
Financial report findings?	____ Yes	____ No
Minnesota legal compliance findings?	____ Yes	____ No
Management practices findings?	____ Yes	____ No

Discuss Management and Compliance Report findings applicable to DEED programs. Some findings may impact DEED indirectly (crosscutting).

Are corrective action responses acceptable?	____ Yes	____ No
Does the Grantee have a code of conduct policy in place?	____ Yes	____ No
If yes, does it include signed "Conflict of Financial Interest" statements from board members as well as individuals involved in procurement?	____ Yes	____ No

Do you use OJTs? If no, proceed to page 17.

Analysis of On-the-Job Training (OJT) Contract

General Information

Employer _____

Contract Period _____ to _____

Contract Amount _____

Check the type of contractor:
☐ Private Sector   ☐ Private Non-Profit   ☐ Public

Performance Requirements

Does the OJT Contract provide in clear and unambiguous terms the following elements?

Is the training outline consistent with the training objective? ____ Yes ____ No

Length of training determined in accordance with the O*Net, NAICS or an equivalent tool? ____ Yes ____ No

The hourly wage to be paid the participant by the employer? ____ Yes ____ No

Are the benefits the same as for other employees? ____ Yes ____ No

The method and amount of reimbursement to the employer? ____ Yes ____ No

Is the reimbursement amount equal to or no more than 50% of the wage rate paid to the participant? ____ Yes ____ No

The number of participants to be trained? ____ Yes ____ No

Union concurrence if applicable? ____ Yes ____ No

Provisions for monitoring? ____ Yes ____ No

Fiscal Control and Accountability

Does the OJT Contract adequately and clearly specify requirements for:

Record keeping requirements, including tracking of participant time and attendance and maintenance of payroll records, including canceled payroll checks? ____ Yes ____ No

Invoicing requirements, including frequency of billings and required supporting documentation? ____ Yes ____ No

General Provisions, Assurances and Certifications

Does the OJT Contract contain clearly stated general provisions, assurances, and certifications related to:

Compensation of the participant at the highest of the Federal, State, or local minimum wage or the prevailing wage rate of similarly situated employees? _____ Yes _____ No

Workers' Compensation? _____ Yes _____ No

Health and safety in work and training situations? _____ Yes _____ No

Child Labor Laws and Fair Labor Standards Act? _____ Yes _____ No

Records maintenance, retention, and access including monitoring? _____ Yes _____ No

Adherence to the (if appropriate) WIA Law, regulations and/or all applicable State policies and procedures? _____ Yes _____ No

Subrecipient compliance with all applicable business licensing, taxation, and insurance requirements? _____ Yes _____ No

Termination conditions, including non-performance and lack of funds? _____ Yes _____ No

Liability, sanctions, and debt repayment? _____ Yes _____ No

Modification conditions and requirements? _____ Yes _____ No

Non-discrimination? _____ Yes _____ No

Prohibition against sectarian activities/religious worship? _____ Yes _____ No

Prohibiting displacement of other employees? _____ Yes _____ No

Prohibition against political activity, the Hatch Act, and association with union organizing? _____ Yes _____ No

Prohibiting use of funds to encourage business relocation? _____ Yes _____ No

Data Privacy Act? _____ Yes _____ No

Minnesota Right-to-Know Act? _____ Yes _____ No

Americans with Disabilities Act? _____ Yes _____ No

Debarment, Suspension, Exclusion, Lobbying? _____ Yes _____ No

Grievance Procedure? _____ Yes _____ No

Nepotism? _____ Yes _____ No

Hold Harmless against Lawsuits and Claims? _____ Yes _____ No

Adult Activities

Project Services

Does your project utilize internships/work experience?
     If you checked yes, please answer the next two questions:

     Are participants paid?   _____ Yes _____ No

     Will participants be hired by the worksite?   _____ Yes _____ No

What sites or specialized centers provide program services?

_____

_____

Describe the method used to provide the following activities:

     Job Training /Work Experience

_____

_____

_____

_____

     Support to Individuals already employed or in training

_____

_____

_____

_____

     Job search Techniques and Activities

_____

_____

_____

_____

     Assessment of support and career / educational plans

_____

_____

_____

_____

What methods of evaluation are used to assess the participant's basic language, math, and computer skills?

_____

_____

_____

_____

How is Return on Investment measured and reported?

_____

_____

_____

_____

What is included in the Job Search curriculum? (Obtain a copy of the materials.)

_____

_____

_____

_____

_____

How does program staff collaborate with existing programs and services available from WorkForce Centers?

_____

_____

_____

_____

_____

Eligibility

What documentation is used to determine eligibility for the project. Verification of:

☐ Citizen ☐ Social Security Number ☐ _____

☐ Right to Work ☐ Selective Service Registration ☐ _____

☐ Birth Date ☐ Veteran Status (DD-214) ☐ _____

Training

Which occupations have been selected for participant training?

_____

_____

_____

What specific job skills were developed?

_____

_____

_____

How many participants have achieved credentials?

_____

_____

What factors determine the appropriateness of the form of comprehensive assessment used (diagnostic assessment of tools or interviewing)? Who makes the decision?

_____

_____

_____

_____

How do you track "educational gains" as determined by standardized assessments? What standardized assessment is used?

_____

_____

_____

_____

What Labor Market Information was used to select training that lead to targeted high-growth and high-wage demand-driven occupations?

_____

_____

_____

_____

Unsubsidized Employment

How is the increase in employability or employment opportunity measured?

_____

_____

_____

_____

Who is responsible for developing the employment opportunities?

_____

_____

_____

What methods are used to track job retention following program exit?

_____

_____

_____

Priority of Service

Review the demographic report to determine whether the Grantee is serving adults who face one of the six specified barriers to employment.

☐ Individuals with a Disability ☐ Veterans
☐ Individuals who are deaf or hard of hearing ☐ Older Workers (50+)
☐ Individuals returning to work after receiving ☐ Individuals who identify with
   public assistance   minority ethnic/race group

Supportive Services

What supportive service policy has been developed to ensure resource and service coordination, including procedures for referral?

_____

_____

Has the Grantee established limits on the amounts and duration of
funds for supportive services? _____ Yes _____ No

   If yes, please explain:

_____

_____

_____

What support services have been provided to participants?

_____

_____

_____

_____

Equal Opportunity/Affirmative Action/Grievance Compliance

How are participants informed of their right to file a program or discrimination complaint?

_____

_____

_____

_____

Have any informal or formal program complaints or complaints alleging discrimination been filed within the past year?

____ Yes ____ No

If yes, Please elaborate:

_____

_____

_____

_____

How does the Grantee maintain compliance with non-Sectarian activities?

_____

_____

_____

_____

Project, Participant, Activity, Performance

Project Participant, Activity, Performance Standards

Desk Review

Period Ending: _____   WF1 Demographic Report date: _____

Participant Plan	Planned	Actual	+/- Variance (15%)	
Total Enrollment				
Total Terminations				
Entered Employment				
Other				
Current Enrollment				

Is the project on target based on the workplan and budget?

_____ Yes _____ No

What is the average wage at placement?

$ _____

What is the total amount of leveraged funds obtained for the project?

_____

_____

What is their source?

_____

_____

_____

What is your procedure for verifying an entered employment?

_____

_____

_____

What is your procedure for verifying credential (degree, diplomas, certificates, licenses, etc.) attainment?

_____

_____

_____

_____

Reporting

Has Grantee provided complete and timely reports?

Financial Status Report/Request for Reimbursement –
received by the 15th of the month following activity ____ Yes ____ No

Quarterly Narratives – due 15 days after the quarter ends ____ Yes ____ No

System Security

What security measures ensure confidentiality of data (including paper forms and documents, electronic, CDs, etc.)?

_____

_____

_____

_____

How do you protect any of the above paper or electronic media from deliberate or accidental loss?

_____

_____

_____

Have you had to use your back-up system recently for any
reason? ____ Yes ____ No

If yes, please explain.

_____

_____

_____

Is the Grantee aware of the six-year record retention requirements
under State law? ____ Yes ____ No

Where are records currently being retained?

_____

_____

_____

_____

Participant File Review

Service Provider _____

Participants Name _____ Age _____ (18+)

Application/Eligibility Date _____
( ) Citizenship
( ) Right to Work (documentation required)

Verification of:
( ) Birth Date (copy)
( ) Social Security Number (copy)
( ) Selective Service (born after December 31, 1959)
( ) Data Privacy Form
( ) Complaint/Discrimination Form
( ) Veteran (DD214)

Eligibility Criteria
( ) Individual with a Disability
( ) Individuals who are deaf or hard of hearing
( ) Individuals returning to work after receiving public assistance
( ) Veterans
( ) Older workers (50+)
( ) Individuals who identify with minority ethnic/race group

Case Notes in files: ( ) Good   ( ) Acceptable ( ) Poor

WF1 Activities
( ) Assessment
( ) Job Search
( ) Training
( ) Credential
( ) Follow-up

Individual Employment Plan: ( ) Good ( ) Acceptable ( ) Poor

Placement Information:
Employer _____

Job Title _____ Wage $ _____

COMMENTS:

Produced by:

MINNESOTA DEPARTMENT OF EMPLOYMENT AND ECONOMIC DEVELOPMENT
Workforce Development Division – Workforce Coordination
1st National Bank Building
332 Minnesota Street, Suite E-200
Saint Paul, Minnesota 55101-1351

Proposal Evaluation Synopsis: (Name of Applicant Organization Here)
SFY 2013 Adult Workforce Development Competitive Pilot Program, May 2012

Total Scores: 100 points possible
Raw average:
Robust average:
Comments:
    Overall strengths:

    Overall challenges:

Effective Project Design: 35 points possible
Raw average:
Robust average:
Comments:
    Strengths:
    Challenges:

Organizational Capacity and Relevant Experience: 25 points possible
Raw average:
Robust average:
    Strengths:
    Challenges:

Partnerships and Project Sustainability: 20 points possible
Raw average:
Robust average:
    Strengths:
    Challenges:

Assessment and Evaluation: 15 points possible
Raw average:
Robust average:
    Challenges:

Budget: 5 points possible
Raw average:
Robust average:
    Strengths:
    Challenges: