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 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), created 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 these strategies:

- provide job training and/or work experience to assist individuals in gaining skills 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 *ongoing support* to individuals already employed and/or 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;
- use timely labor market information and industry data to ensure 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.

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 service providers 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 12 grantees throughout the state that launched the program on July 1, 2012. Per 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.]

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

Six of the 12 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 participants earned credentials;
- **91.8 percent of employed program exiters retained their employment for at least 90 days;**
- Those employed were earning, on average, $9,306 over six months, **an average increase of $5,298 from their earnings at time of program enrollment.**

Soliciting grant proposals

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

- 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.

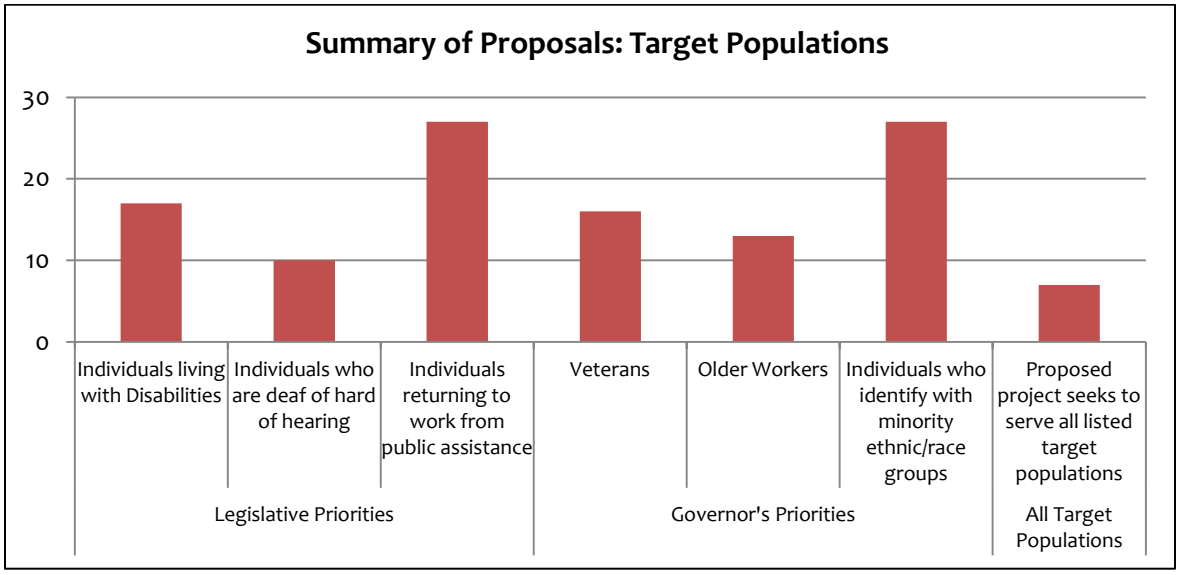
The State Register published a notice of the RFP on Monday, January 9, 2012. WDD staff sent a broadcast email to all former and current grantees, and encouraged wide distribution. Finally, WDD staff published the RFP (Appendix A) on the Contract and Grant Opportunities section of DEED's website on January 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 questions following the release of the RFP in writing via email to a specific WDD staff contact person. The contact answered questions submitted in writing and published them on the Contract Grant Opportunities webpage of DEED's website.

Synopsis of proposals

- 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):



- Geographic breakdown of full proposals:
  - Three proposals to serve residents throughout 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.

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 12 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 15 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 15' 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 15 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 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 grant awards, including administrative expenses by grant recipients

WDD staff require 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 5 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.

Grantees are required to track their participants using Workforce One (WF1) or Vocational Rehabilitation's (VR's) Provider Reporting System. Eleven of the 12 grantees used WF1, which presented learning curves for grantees 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 12th grantee, Minnesota Employment Center, is working with DEED's VR staff, who monitor grant expenditures and progress monthly.

Measuring outcomes and accomplishments of grant recipients

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 5 for detailed outcomes, 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 *numerator / denominator*		*those unemployed at enrollment who were employed at exit / those unemployed at enrollment*	*those employed at exit / all participants*		*those who earned a credential / all participants*	*those who earned a credential / those who were in training*	*those employed in the first and second quarter following exit / those employed in the first quarter following exit*	*total earnings among those who were employed in the first and second quarter following exit / those who were employed in the first and second quarter following exit*	*average six-month earnings following exit among those employed following exit LESS average six-month earnings prior to enrollment among those employed following exit*	*total program expenditures / 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
Grants concluded 6/30/2013	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
Grants concluded 6/30/2013	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
Grants concluded 6/30/2013	Lifetrack	416	68.0%	73.0%	21	1.2%	23.8%	90.5%	$11,757	$7,211	$699	$290,697	$56,048
Grants concluded 6/30/2013	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
Grants concluded 6/30/2013	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
Grants concluded 9/30/2013	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
Grants concluded 9/30/2013	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
Grants concluded 9/30/2013	Resource[3]	70	63.0%	69.2%	49	52.3%	89.8%	84.0%	$10,440	$2,734	$4,286	$300,000	$109,560
Grants concluded 9/30/2013	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
Grants concluded 9/30/2013	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, WDD 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.

Summary: Grant Project Components												
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

WDD staff rely on grant work plans and communication with grantees to describe the job skills developed and improved employability for participants:

Arrowhead Economic Opportunity Agency (AEOA) - Lake County Workforce Development Program

<u>Skill development:</u>

- Welding processes following 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
  - Welding-specific experience in critical thinking and math.
- Personal finance management;
- Other Adult Basic Education skills; and
- Established independent educational career path.

Improved Employability:

- Awareness of 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;
- 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 software; and
- Enhanced computer skills: MS Word, MS Excel, building rapport, telephone etiquette, resume and interviewing skills and soft skills.

Improved Employability:

- Greater confidence by arriving on time for daily, unpaid training;
- Receive and incorporate ongoing feedback about their soft skills;

- Compile all data related to 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;
- 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 mock interviews.

Minnesota Employment Center, Rise, Inc.

** Vocational Rehabilitation staff oversee this program because it operates under a different model to provide ongoing 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;
- About 20 percent of individuals placed require long-term job coaching and intensive job supports;
- Eighty percent of participants require long-term follow-up services to maintain their employment;
- Many individuals served have limited support from other service providers, and MEC staff often help increase their independence by providing resources for housing supports, budgeting and other services.

Improved Employability:

All 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 Long-term Health Care Training: Participants 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:

- Articulated areas of strength and challenge through supervised assessments;
- Devoted short and long-term goal setting through 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, blueprint reading, Oxy-Fuel processes, Shielded Metal Arc Welding (stick), Gas Metal Arc Welding, and Flux Cored Arc Welding (dual shield); and SMAW (stick) certification.

Improved Employability:

- Networking with instructors and other college staff helps students identify employers and workplaces that fit their needs.

Southwest Minnesota Private Industry Council (SW MN PIC) – Adult Transitions Grant

Skill development:

- Nursing Assistant certification;
- First Aid and CPR skills;
- Serv Safe;
- Infection control; and
- Medical terminology.

Improved Employability:

- Enhanced resume writing skills;
- Improved interviewing skills;
- Rehearsed application process;
- Enhanced soft skills training.

Twin Cities RISE! – Transformational Job Skills and Placement for Adults Living in Poverty

Skill development:

- Personal Empowerment Skills Training focusing on emotional intelligence and personal development; and
- Customized training in a high-demand occupation.

Improved Employability:

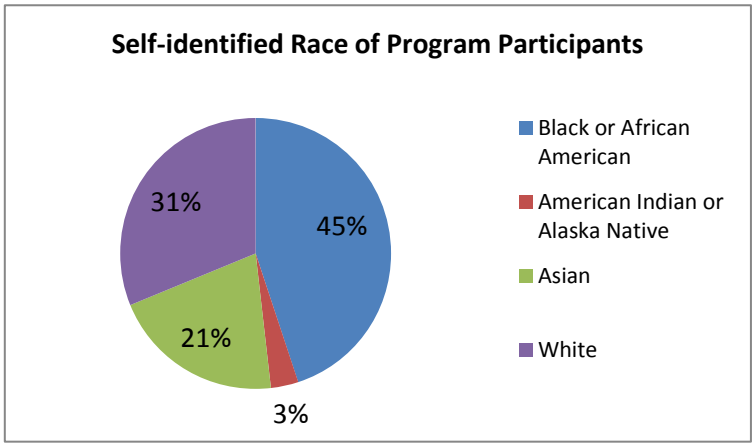
- Improved interviewing skills;
- Deepened network of employers;
- Soft skill development.

Characteristics of people served

Seventy-nine percent of participants were living at or below the 2012 federal poverty threshold when they enrolled in the program. This data is based on self-reported annual income and family size. Many were also on public assistance: 38.5 percent were receiving Supplemental Nutrition Assistance Program (SNAP) benefits, 16.7 percent were receiving Minnesota Family Investment Program/Temporary Assistance for Needy Families (MFIP/TANF) benefits, and 13.3 percent were receiving General Assistance or GA (which is Minnesota's primary safety net for single adults and childless couples). Although GA and MFIP funding are mutually exclusive, some GA and MFIP beneficiaries also receive SNAP assistance.

Including those in the program to help people with disabilities, 9.2 percent of participants said they have a disability that is a barrier to employment. Nineteen percent of participants were 50 or older. Only 1.7 percent of participants were veterans.

Forty-five percent of participants identified as black or African American, compared with 31 percent of participants identifying as white, 21 percent Asian, and 3 percent American Indian or Alaska Native.



Funds leveraged

Collectively, grantees have leveraged $2,200,344 in foundation or other grant funding, classroom space, teachers and support services. See Page 6 for a breakdown.

Return on investment

DEED plans to eventually use the Governor's Workforce Development Council model for return on investment. In the interim, DEED has calculated a cost-benefit ratio that should shed light on the cost efficiency of the program.

The Adult Workforce Development Grant Program spent **$**2,562,626 to serve 1,631 people – **$1,569 per person.** A total of 1,047 people exited the program after finding jobs – an average of $2,448 spent per employed person. This program provided ongoing employment support for an additional 65 people who were not included in the 1,047.

Solicitation and feedback

DEED is developing a survey that will help guide the competitive grant process in the future. This survey will reach out to current and former grantees, former applicants and DEED's wider provider network.

Below are some of the responses:

1. **How did you learn about the request for proposals (RFP) for the SFY 2013 Adult Workforce Development Competitive Grant Pilot Program?**
    - Email notification.
    - Regional transitions coordinator within organization.
    - United Front newsletter (provided by United Way).
    - Other state agencies.
2. **Twelve pages were a lot for a program description. Would six pages have worked? If not, please suggest a length that would work and explain.**
    - Yes, 12 pages were adequate. (This was the case for several organizations.)
    - Tighter page limits make the proposal 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 we didn't always see a connection between the funded project and the stated goals and targeted populations.
4. **Did your organization have enough time to pull together a high-quality proposal between the announcement on Jan. 9 and the due date on March 2?**
    - Yes. (This was the case for most respondents.)
    - The timing was fine, but there was 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. Finalists could prepare a more detailed proposal.
5. **Did the process of designing a proposal encourage you to develop working partnerships with area businesses or other organizations? If so, how?**
    - We already had many partnerships in place. This grant opportunity encouraged us to seek new partners.
    - Two months is not enough time to develop new relationships with other organizations.
    - Yes, we would reconnect if provided the opportunity.
6. **What about the proposal was difficult?**
    - Nothing out of the ordinary.
    - Establishing relationships with educational facilities is difficult for smaller programs.
    - Required partnerships and related documentation were time consuming and therefore were the most difficult to complete.

7. **What about the proposal incited questions for you and your team?**
    - Who was eligible to apply?
    - Whether to apply given the elaborate RFP and the work involved. DEED might 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 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 time frame. Because the project goals were so ambitious for a project that might be funded for only one year, we had many questions regarding priorities. For example, was the main goal to help people gain high-quality work credentials? Was it to help the underserved populations highlighted in the RFP (such as people with disabilities or veterans)?
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. Connect organizations with programs to improve training opportunities.
    - Make the intent of the grant clearer.
    - Examine what can be realistically accomplished by a typical participant in a year and adjust project goals for the funded organizations accordingly.

Grantee expenditures

Monthly financial status reports and coordinated invoices allowed WDD staff to carefully track program expenditures.

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

Department expenditures

As of June 30, 2013, DEED had spent the full $136,750 available for 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.

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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.

[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?
	  o individuals living with disabilities;
	  o individuals who are deaf or hard of hearing;
	  o individuals who are returning to work after receiving public assistance;
	  o veterans;
	  o older workers; ***and/or***
	  o 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

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**

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

Laws of Minnesota, 2011 Special Session 1, Chapter 4 (S.F. 2)
Article I, Section 3, Subdivision (m)

(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: **Director Name:** **Telephone:** **Fax:** **Email:**	**Contact Name:** **Address:** **Telephone:** **Fax:** **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

		Cumulative Quarterly Expenditures For SFY 2013			
Cost Category	**TOTAL FUNDS REQUESTED**	**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.

Appendix B

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
○ Annual Wage Increases	5 – 4	3 – 2 – 1	0
○ Placement in a job and/or education/training program	5 – 4	3 – 2 – 1	0
○ Retention in a job and/or education/training program	5 – 4	3 – 2 – 1	0
○ 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:

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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?

_____

_____

_____

Cost Limitations and Financial Management – State Programs

Desk Review

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 – Grantee

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
- ☐ 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

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
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positively Minnesota Department of Employment and Economic Development

Appendix D

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: