Dislocated Worker
Small Layoff Independent Grantee

Request for Proposals (RFP)
State Fiscal Year 2021-22
Important Dates

**RFP Release:** Monday, December 16, 2019

**Informational Webinar or Meeting Information:** Tuesday, January 7, 2020, 11:00 am – 12:00 pm (CST)

1. Join the webinar: [DW Small Layoff Independent Grantee RFP Webinar](#)
2. Input meeting number: 599 413 009
3. Connect the audio by calling: 1-619-377-3319 or 1-888-742-5095
4. Input the conference code: 971 023 2112

Space is limited. If multiple individuals from one organization plan to join, please do so from the same location. This webinar will be recorded and all content will be made available online after the live webinar at [https://mn.gov/deed/about/contracts/open-rfp.jsp](https://mn.gov/deed/about/contracts/open-rfp.jsp)

**Proposals Due: Thursday, January 30, 2020**

Proposals and all attachments must be received via email by 11:59 pm (CST) on Thursday, January 30, 2020.

Proposals should be submitted in PDF format via email to [dwfaprograms.deed@state.mn.us](mailto:dwfaprograms.deed@state.mn.us)

Proposals received after 11:59 pm (CST) will not be considered. The State is not responsible for any errors or delays caused by technology-related issues.

**Notification of Award:** Monday, March 2, 2020.

**Contract end date:** 2021 - Providers certified by the Minnesota Job Skills Partnership (MJSP) Board will be included in the State Fiscal Year (SFY) 21 Small Layoff Independent Grant round and will be eligible to compete for Mass Layoff projects starting July 1, 2020. Information on this process will be included in the Small Layoff Independent Grant proposal instructions.

Disclaimer: All costs incurred in responding to the Request for Proposal (RFP) will be borne by the responder. This RFP does not obligate the State to award a contract or complete the project. The State also reserves the right to cancel the solicitation if it is considered to be in its best interests.

Alternative Format: Upon request, these materials will be made available in alternative formats.
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Grant Request for Proposal

INTRODUCTION

The Minnesota Department of Employment and Economic Development (DEED) is committed to ensuring economic equity throughout Minnesota. Minnesotans will have fair and equitable access to meaningful employment at a family sustaining wage, and employers will be able to fill in-demand jobs.

Objective of RFP

The Department of Employment and Economic Development, through its Dislocated Worker Program is seeking proposals from qualified responders to expand the current list of qualified providers for dislocated worker services.

Interested organizations must comply with the federal Workforce Innovation and Opportunity Act (WIOA), Minnesota Statute 116L.17 state Dislocated Worker Law, Rules, and Regulations. This information may be found on DEED’s website: https://mn.gov/deed/about/what-we-do/objectives-plans/wioa.jsp, and https://mn.gov/deed/job-seekers/recently-unemployed/layoff/dwp-overview.jsp. The Dislocated Worker program is funded with both federal and state funds. It is governed by WIOA, its rules and regulations, by Minnesota Statutes 116L.17, and by accompanying state policies.

The Dislocated Worker (DW) program serves laid-off workers and employers in order to mitigate the negative impact of layoffs across the state. The DW program supports workers who have lost their jobs by providing one-on-one career counseling, job search assistance, training, and support services. The program also benefits employers who are looking for skilled workers.

Funds Available

As authorized in Minnesota Statute 116L.17, approximately $200,000 per year for State Fiscal Year (SFY) 2021 is available for grants under the State Dislocated Worker Program. One grant will be awarded to one organization. Organizations in Greater Minnesota and those serving diverse populations are encouraged to apply.

Technical Assistance

Technical assistance is available for interpreting instructions. Contact: Rita Apaloo, Email: Rita.Apaloo@state.mn.us.

Each week, staff will post responses to frequently asked questions on DEED’s website by way of the Contract Opportunities page: http://mn.gov/deed/about/contracts/. Responses will be posted until January 24, 2020.
SCOPE OF WORK

Overview

Eligibility

Under Minnesota Statue 116L.17, an “eligible organization” is a local government unit, a non-profit organization, community action agency, accredited institution of higher education, non-profit business organization or association, or a labor organization.

DEED staff will work with prospective service providers who have responded to the RFP to ensure the organization is eligible and to ascertain the level of the organization’s qualifications. The RFP will require eligible organizations to demonstrate:

- Acceptable standing regarding legal, financial, and ethical practices;
- Evidence that the organization has the staff capacity to serve dislocated workers at likely funding levels; and
- Additional appropriate documentation to be determined by DEED staff, to ensure quality services to job seeking customers and cost-efficiency for taxpayers.

The full Certification policy can be found at https://apps.deed.state.mn.us/ddp/PolicyDetail.aspx?pol=528.

Applicant must meet required performance standards on entered employment rate, employment retention rate, average earnings rate, and credential attainment rate. These performance standards change every two years.

Eligible and interested organizations must complete an application in accordance with the directions in this Request, including a fiscal capacity checklist (Form 2.) and submit by 11:59 pm (CST) Thursday, January 30, 2020.

Collaboration

Partnerships are highly encouraged. However, only one grant will be awarded. All applicants must indicate the Primary Applicant and describe the relationship with all partnering organizations.

Certification Process

An organization must complete the application to be considered for certification as a dislocated worker services provider. The organization selected must also undergo a pre-award survey and onsite visit (unless DEED has awarded the organization another grant during the past 12 months).

Certification Timeline:

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>January 30, 2020</td>
<td>Receive all applications.</td>
</tr>
<tr>
<td>February 6, 2020</td>
<td>Review all applications and determine finalists.</td>
</tr>
<tr>
<td>February 13 - 17, 2020</td>
<td>Visit with finalists and ensure organizational capacity and provide recommendations for Board review.</td>
</tr>
<tr>
<td>March 2, 2020</td>
<td>Certify selected organization at MJSP Board meeting.</td>
</tr>
</tbody>
</table>
Tasks/Deliverables

Successful applicants will be required to:

- Utilize Workforce One as the case management system for the grant.
- Enter and enroll all participants in Workforce One within 15 business days of participant application date.
- Maintain current Workforce One data entry throughout the contract period.
- Submit a quarterly narrative that describes progress of the grant (due the 20th of the month following the end of the quarter).
- Submit monthly Reimbursement Payment Request Forms (RPRs) or Financial Status Reports (FSRs) to designated contact within DEED. Reimbursement Request Forms or FSRs must accurately reflect actual grant expenditures and obligations consistent with rates of participation which grant administrators will be able to track.
- Grantees will also be required to actively participate in evaluation and data collection efforts that assess the impact of this initiative.

Performance Standards

The program performance of the successful applicant will be based on the standards established in the geographic region in which the applicant provides Dislocated Worker Services.

Performance measures include:

- 2nd quarter employment (placement)
- 2nd quarter median earnings
- 4th quarter employment (retention)
- Credential Attainment Rate

PROPOSALS

Proposals must conform to all instructions, conditions, and requirements included in the RFP. Responders are expected to examine all documentation and other requirements. Failure to observe the terms and conditions in completion of the Proposal are at the Responder’s risk and may, at the discretion of the State, result in disqualification of the Proposal. Acceptable Proposals must offer all services identified in Scope of Work and agree to the contract conditions specified throughout the RFP.

Narrative Format

The submitted narrative must address all sections in the Proposal Evaluation and must meet the following specifications:

- 12-Point font (Arial or Calibri preferred)
- No more than 10 single-sided, double-spaced pages with a 1-inch margin on all four sides

IMPORTANT: Attach all additional information requested in the Proposal Evaluation. Applicants may be required to supplement their proposals at the request of the Commissioner of DEED and/or the Governor’s Office.
Submission and Due Date
One (1) Adobe Acrobat (.PDF) file containing the proposal and all attachments must be submitted via email to dwfaprograms.deed@state.mn.us by 11:59 pm (CST) Thursday, January 30, 2020. Proposals must meet all specifications in order to be considered. Late proposals will not be considered. DEED is not responsible for any issues related to technology.

PROPOSAL EVALUATION AND SELECTION

Overview of Evaluation Methodology
The review committee will be reviewing each proposal on a 100-point scale. The scoring factors and weight that applications will be judged are:

Section 1: Executive Summary – 0 points
Section 2: Equity Analysis – 25 points
Section 3: Job Seeker Services – 40 points
Section 4: Participant Recruitment and Intake Strategy – 20 points
Section 5: Fiscal Capacity – 15 points

Total points = 100 points

Be sure your proposal follows the following specifications:

- 12-Point font (Arial or Calibri preferred)
- No more than 10 single-sided, double-spaced pages with a 1-inch margin on all four sides

Required forms or letters do NOT count toward the page limit.

The review committee will evaluate all eligible and complete applications received by the deadline. Please note that past performance will be taken into account in proposal evaluation.

The Minnesota Job Skills Partnership (MJSP) Board will review all committee recommendations and is responsible for award decisions. The award decisions of DEED are final and not subject to appeal.
## Evaluation Criteria

<table>
<thead>
<tr>
<th>Section 1: Executive Summary (no more than 2 pages)</th>
<th>Total points: 0</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide a brief summary of your organization’s history, purpose and mission. Include your organizational structure, unique strengths and its capacity to deliver dislocated worker services.</td>
<td></td>
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</table>

### Section 2: Equity Analysis

<table>
<thead>
<tr>
<th>1. Describe your organization’s experience serving communities of color.</th>
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<tbody>
<tr>
<td>a. If your organization has limited experience, describe your plan to serve these communities.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>2. Describe how your organization’s staff and board reflect communities of color.</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Provide board and staff racial demographics.</td>
</tr>
<tr>
<td>b. If there is limited representation of communities of color, describe your plan to increase representation from these communities.</td>
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</tbody>
</table>

<table>
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<tr>
<th>3. Describe your organization’s policies and practices supporting diversity, equity, and inclusion.</th>
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<tbody>
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<td>4. How does your organization ensure participants receive culturally and linguistically appropriate services (e.g. translation, interpreting and other services)?</td>
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### Geographical Location:

Proposals that provide services in areas with large diverse populations proportionate to overall population, or in areas with few DEED grantees or limited resources and services will be awarded geographical points.

1. State the geographical location(s) your project will serve.

Provide any quantitative data relevant that will support the need for the project in your area.

### Section 3: Job Seeker Services

<table>
<thead>
<tr>
<th>1. Describe the organization’s experience delivering employment and training services in general.</th>
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</thead>
<tbody>
<tr>
<td>2. Describe the organization’s experience delivering dislocated worker services in particular.</td>
</tr>
<tr>
<td>a. Describe these dislocated workers served (e.g. industries/occupations they came from, demographics).</td>
</tr>
<tr>
<td>b. What services were provided to these workers?</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Describe the qualifications of staff you are planning to use in the delivery of dislocated worker program services including basic services, counseling services, support services, and related services. Please attach relevant biographies or resumes.</th>
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</thead>
<tbody>
<tr>
<td>4. Describe the organization’s ability and willingness to respond promptly to plant closings or mass layoff events (i.e. an ability and willingness to respond at all hours if necessary).</td>
</tr>
<tr>
<td>a. Describe your organization’s ability and willingness to produce a proposal of services tailored specifically to the needs of a particular group of workers in a short period of time (i.e. fewer than seven days).</td>
</tr>
</tbody>
</table>
5. Describe the organization’s recent or current experience in delivering employment and training services to diverse populations.
   a. Describe the populations you have served.
   b. Describe the unique steps your organization has taken to reach out to them.
   c. Describe the services your organization has offered them. What steps have been unique or customized to the population?
   d. Describe how the organization includes the perspectives of beneficiaries (and the community) in program design and delivery.

6. Describe the organization’s method of assessment to enroll participants in appropriate training or job placement.

### Section 4: Participant Recruitment and Intake Strategy

<table>
<thead>
<tr>
<th>Total points: 20</th>
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<tbody>
<tr>
<td>Provide a summary of how your organization will ensure a sound approach outreach, recruitment and intake. Your summary should include:</td>
</tr>
<tr>
<td>a. Participant recruitment strategy, including foreseeable recruitment challenges and how you will overcome them. Describe innovative outreach methods that the organization uses or plans to use to reach the target population(s).</td>
</tr>
<tr>
<td>b. Intake process to assess participants’ current status and need - e.g. an individual’s education level, skill competencies, and work experience.</td>
</tr>
<tr>
<td>c. Strategy to ensure participant’s employment outcome/goals is realized.</td>
</tr>
<tr>
<td>d. Follow-up services you will provide post exit.</td>
</tr>
</tbody>
</table>

### Section 5: Fiscal Capacity

<table>
<thead>
<tr>
<th>Total points: 15</th>
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</thead>
<tbody>
<tr>
<td>1. Describe the organization’s fiscal administrative capabilities including:</td>
</tr>
<tr>
<td>a. Fiscal and accounting procedures,</td>
</tr>
<tr>
<td>b. Financial management systems,</td>
</tr>
<tr>
<td>c. Grant administration,</td>
</tr>
<tr>
<td>2. Describe the organization’s performance management capabilities, including:</td>
</tr>
<tr>
<td>a. Participant data systems,</td>
</tr>
<tr>
<td>b. Record retention procedures, and</td>
</tr>
<tr>
<td>c. Ability to submit timely reports.</td>
</tr>
<tr>
<td>3. Utilization of the Workforce One case management system is required for Dislocated Worker certified providers. Describe current or recent experience with this system. If none, please indicate resources your organization would devote to learning this case management system.</td>
</tr>
</tbody>
</table>
4. Please give assurances that your organization will abide by all necessary laws, policies, and ethical standards in remaining accountable for taxpayer dollars, and that there are no pending or current investigation of violations of federal, state, or local laws pertaining to your organization or its leadership.

5. Please complete the attached fiscal capacity checklist (Form 2).

Conflicts of Interest
DEED will take steps to prevent individual and organizational conflicts of interest, both in reference to organizations submitting proposals and reviewers, per Minn.Stat.§16B.98 and Conflict of Interest Policy for State Grant-Making. When a conflict of interest concerning state grant making exists, transparency shall be the guiding principle in addressing it.

In cases where a conflict of interest is suspected, disclosed, or discovered by DEED, the applicants or grantees will be notified and actions may be pursued, including but not limited to disqualification from eligibility for the grant award or termination of the grant agreement. In cases where a perceived, potential, or actual conflict of interest is discovered by the applicants, they must notify the state.

Applicants must complete a Conflict of Interest Disclosure and attach it to their proposal.

Public Data
Per Minn. Stat. § 13.599:

- Names and addresses of grant applicants will be public data once proposal responses are opened.
- All remaining data in proposal responses (except trade secret data as defined and classified in §13.37) will be public data after the evaluation process is completed (for the purposes of this grant, when all grant agreements have been fully executed).
- All data created or maintained by the Department as part of the evaluation process (except trade secret data as defined and classified in §13.37) will be public data after the evaluation process is completed (for the purposes of this grant, when all grant agreements have been fully executed).

Selection and Notification of Successful Applicant(s)
Eligible organizations interested in being selected and certified as deliverers of dislocated services must:

- Complete an application in accordance with the directions in this Request, including a fiscal capacity form, and submit by 11:59 pm (CST) Thursday, January 30, 2020;
- If selected as a finalist,
  o Have a pre-award survey completed with satisfactory results (unless DEED has awarded the organization a grant during the past 12 months);
  o Be approved by the Job Skills Partnership Board; and
  o Comply with DEED’s Management Information System, Workforce One, to ensure data conformity and quality related to client tracking and financial operations.
Certification Timeline:

<table>
<thead>
<tr>
<th>Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 30, 2020</td>
<td>Receive all applications.</td>
</tr>
<tr>
<td>February 6, 2020</td>
<td>Review all applications and determine finalists.</td>
</tr>
<tr>
<td>February 13-17, 2020</td>
<td>Onsite visit with finalists (unless DEED has awarded the organization a grant during the past 12 months) and ensure organizational capacity. Provide recommendations for MJSP Board review.</td>
</tr>
<tr>
<td>March 2, 2020</td>
<td>MJSP Board meeting to certify any selected organizations.</td>
</tr>
</tbody>
</table>

Providers certified by the Minnesota Job Skills Partnership (MJSP) Board will be included in the SFY21 Small Layoff Independent Grant round and will be eligible to compete for Mass Layoff projects starting July 1, 2020. Information on this process will be included in the Small Layoff Independent Grant proposal instructions. Dislocated Worker Staff evaluate certified providers yearly using a performance tier system and make recommendations to the MJSP Board to award Small Layoff Independent Grants.

POST-SELECTION REQUIREMENTS

Pre-Award Risk Assessment and Contract

The templates for the Pre-Award Risk Assessment, Master Contract, and One-Time Contract are available at https://mn.gov/deed/about/contracts/resource.jsp. To review the templates, access the link and scroll to Forms/Templates. **These documents do not need to be completed with the proposal application.**

1. The Pre-Award Risk Assessment will need to be completed for new grantees that are awarded a contract.
2. The Master contract will be used for awarded grantees that are currently funded under a Master contract.
3. The One-Time Grantee Contract (Standalone) will be used for newly awarded grantees or grantees that only have one grant contract with DEED.

Tax Identification and DUNS Numbers

DEED grantees are required to have both state and federal tax identification numbers and a valid DUNS number issued by Dun & Bradstreet. A DUNS number is a unique, nine-digit identification number for each physical location of your business. DUNS numbers are free for all state vendors and can be obtained via the Dun & Bradstreet website, linked here.
Supplier Registration
Grant recipients new to DEED-funded grants must complete a master grant agreement before DEED will disburse any funds. The State of Minnesota’s accounting and procurement system is called State-Wide Integrated Financial Tools (SWIFT). Every organization or sub-grantee doing business with the state is considered a supplier. Suppliers must be registered with the State of Minnesota. Suppliers can interact with the state through the Supplier Portal, which is part of SWIFT. The Supplier Portal allows suppliers to login and view payment detail as well as maintain address and contact information related to their record. For new prospective grantees, if you are awarded a grant, it will be necessary to register as a supplier via the Supplier Registration link.

Minnesota Department of Human Rights Workforce Certificates
Any business that employs 40 or more employees in a state and that seeks to enter into a contract with the State of Minnesota that is over $100,000 or is likely to exceed $100,000 needs to obtain a workforce certificate of compliance from the Minnesota Department of Human Rights. Please check the Minnesota Department of Human Rights website at https://mn.gov/mdhr/certificates/apply-renew/workforce-certificate/ or contact them directly at compliance.mdhr@state.mn.us to determine if your organization needs to seek a workforce certificate of compliance.

Other State and Federal Requirements
DEED grantees must also comply with all state and federal requirements including, but not limited to:
- Worker’s compensation;
- Affirmative action;
- Data privacy;
- Equal Employment Opportunity;
- The Americans with Disabilities Act (ADA);
- Unemployment Insurance*

*A grantee’s Unemployment Insurance account must be current. Please complete the Unemployment Insurance Account Waiver.

Financial Review
All Non-Governmental Organizations (NGOs) applying for grants in the state of Minnesota must undergo a financial review prior to being offered a grant award of $25,000 and higher. To comply with State Policy on the Financial Review of Nongovernmental Organizations please submit one of the following documents with your proposal, based on the following criteria:

- NGOs with annual income of under $50,000, or who have not been in existence long enough to have a completed IRS Form 990 or audit should submit their most recent board-reviewed financial statements.
- NGOs with total annual revenue of $50,000 or more and less than $750,000 should submit their most recent IRS Form 990.
- NGOs with total annual revenue of over $750,000 should submit their most recent certified financial audit.
Bidding Requirements
Grantees are subject to bidding requirements for goods and services purchased under this grant. Goods and services that cost:

- $100,000 or more must undergo a formal notice and bidding process.
- Between $25,000 and $99,999 must be competitively awarded based on a minimum of three (3) verbal quotes or bids.
- Between $10,000 and $24,999 must be competitively awarded based on a minimum of two (2) verbal quotes or bids or awarded to a targeted vendor.

The grantee must take all necessary affirmative steps to assure that targeted vendors from businesses with active certifications through these entities are used when possible:

- [Certified Targeted Group, Economically Disadvantaged and Veteran-Owned Vendor List](#) – State Department of Administration
- [Disadvantaged Business Enterprise Directory](#) – Minnesota Unified Certification Program
- [CERT Business List](#) – Central Certification Program

The grantee must maintain:

- Written standards of conduct covering conflicts of interest and governing the actions of its employees engaged in the selection, award and administration of contracts.
- Support documentation of the purchasing and/or bidding process utilized to contract services in their financial records, including support documentation justifying a single/sole source bid, if applicable.

The grantee must not contract with vendors who are suspended or debarred in MN listed [here](#).

Nondiscrimination/Equal Opportunity Assurance
Grant recipients must comply with state and federal civil rights laws and ensure nondiscrimination in programs and services receiving federal and state financial assistance. Grantees are subject to equal opportunity monitoring reviews as a requirement of Workforce Innovation and Opportunity Act, [Section 188, 29 U.S.C. § 3248](#) (nondiscrimination by recipients of federal financial assistance under WIOA) and its implementing regulations, [29 CFR Part 38](#).

Accountability and Reporting
Grantees are required to collect and report data on participants during service delivery. Grantees must input participant data into DEED’s case management system – Workforce One. Workforce One participant data entry ensures Pathways to Prosperity programs maintain performance measures as defined and governed by the [Workforce Program Outcomes Statute](#). Grantees must learn and commit to using Workforce One. Additional reporting measures will be required for participants served that are at or below the 200% Federal Poverty Guideline. Grantees are also required to submit a mid-grant report, an end-of-grant report, and monthly financial reports each year of the grant period.

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1 DEED will provide technical assistance as needed.
This information will be used to monitor grantees’ service delivery, confirm grant reimbursement requests, and measure performance.

**Grant Monitoring**
Minnesota Statutes §16B.97 and [State Policy on Grant Monitoring](#) require the following:

- One monitoring visit during the grant period on all state grants of $50,000 and higher
- Annual monitoring visits during the grant period on all grants of $250,000 and higher
- Conducting a financial reconciliation of grantee’s expenditures at least once during the grant period on grants of $50,000 and higher. For this purpose, the grantee must make expense receipts, employee timesheets, invoices, and any other supporting documents available upon request by the State.

The monitoring schedule will be once a year for each Small Layoff Independent Grant and Mass Layoff Projects during the grant period.

**Audits**
Per [Minn. Stat. §16B.98](#), Subd. 8, the grantee’s books, records, documents, and accounting procedures and practices of the grantee or other party that are relevant to the grant or transaction are subject to examination by the granting agency and either the legislative auditor or the state auditor, as appropriate. This requirement will last for a minimum of six years from the grant agreement end date, receipt, and approval of all final reports, or the required period of time to satisfy all state and program retention requirements, whichever is later.
Proposal Attachments

The following documents must be attached with your proposal but do not count toward the ten (10) page maximum. Proposals that do not include attachments will be deemed incomplete and will not be evaluated and scored.

Do not submit any other materials (binders, photos, etc.). Unrequested materials will not be reviewed.

Awarded applicants will be requested to provide a quarterly breakdown for the entire grant period at time of contracting.

☐ Form 1. Application Form
☐ Form 2. Financial Capacity Checklist
☐ Form 3. Conflict of Interest Disclosure
☐ Form 4. Affidavit of Non-Collusion
☐ Letters of Partnership (If applicable)
☐ Partnership Conflict of Interest Disclosure Letters (If applicable)
Form 1. Application

Provide the following information for the organization submitting the proposal and/or fiscal agent.

<table>
<thead>
<tr>
<th>Organization Submitting Proposal:</th>
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</thead>
<tbody>
<tr>
<td>1. Organization Name:</td>
</tr>
<tr>
<td>Tab here and enter organization name</td>
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<td>2. Director Name:</td>
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<td>3. Telephone:</td>
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<td>6. Organization Website:</td>
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<td>14. Minnesota Tax ID:</td>
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<td>15. DUNS Number:</td>
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<tr>
<td>16. SWIFT Vendor ID:</td>
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<td>(if known)</td>
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Name and Title of Person with Signature Authority:

__________________________________                   _______________________________________
(Name)                                           (Title)

Application is hereby made for certification as an additional Dislocated Worker program grantee. The information provided in this application is complete and accurate.

_______________________    ________________
(Name of Authorized Official)                                              (Title)

___________________________________    _________________
(Signature)                                                      (Date)
Form 2. Financial Capacity Checklist
This form is used to determine the financial capacity.

General Information
1. Organization Name and Address:
2. Employer Identification Number:
3. Number of employees: Full time Part time:
4. Do you have and active 501(c)(3) status? Yes ☐ No ☐
   a. If yes, when was it received (mm/dd/yyyy)?
5. Are you registered in SAM with a current DUNS number? Yes ☐ No ☐
   a. If yes, include DUNS number:
6. Are you a registered vendor with the State of MN? Yes ☐ No ☐
   a. If yes, include SWIFT vendor number:
   b. If no, you will need to register as a vendor before funds are awarded. Vendor information is available at the Supplier portal.
7. Is your organization affiliated with or managed by any other organizations (e.g. regional or national offices? Yes ☐ No ☐
   a. If yes, provide details here.
8. Do you receive management or financial assistance from any other organizations? Yes ☐ No ☐
   a. If yes, provide details here.
9. What is the total revenue of your organization in the most recent accounting period (12 months)?
10. How many different funding sources does the total revenue come from?
11. How many of those different funding sources are other DEED areas?
12. Do you have written policies and procedures for the following business practices? (If yes, attach a copy of the table of contents.)
   a) Accounting Yes ☐ No ☐
   b) Purchasing Yes ☐ No ☐
   c) Payroll Yes ☐ No ☐
**Accounting System**

1. Which of the following best describes your accounting system? Manual ☐ Automated ☐ Combination ☐

2. Do you have multiple grants awards? Yes ☐ No ☐ (If no, skip to Question 3.)
   
   a) Does the accounting system identify the receipts and expenditures of program funds separately for each award? Yes ☐ No ☐
   
   b) Will the accounting system provide for the recording of expenditures for each award by the budget cost categories shown in the approved budget? Yes ☐ No ☐

3. Are time distribution records (time studies) maintained for all employees who receive funding from multiple sources? Yes ☐ No ☐ (If yes, go to question 4.)
   
   a) If “No,” do you have an approved alternative system to account for time distribution?
   
   b) Yes ☐ No ☐
   
   c) When was the alternative system approved? (mm/dd/yyyy)

4. Has a federal or state agency issued an official opinion regarding the adequacy of the organization’s accounting system for the collection, identification, and allocation of costs for grants? Yes ☐ No ☐
   If yes, attach a copy of the review and any subsequent documents.

**Fund Controls**

1. If grant funds are mixed with other funds, can the grant expenses be easily identified? Yes ☐ No ☐ Not mixed ☐

2. Does the accounting system have a way to identify over-spending of grant funds? Yes ☐ No ☐

3. Is a separate bank account maintained for grant funds? Yes ☐ No ☐

4. Are the officials of the organization bonded? Yes ☐ No ☐

**NGO Financial Review**

To comply with the NGO Financial Review all 501(c)(3) must submit one of the following:

- Recent board-reviewed financial statements.
- IRS Form 990.
- Most recent certified financial audit.

**Certification**

I certify that the above information is complete and correct to the best of my knowledge.

Print authorized representative name:
Form 3: Conflict of Interest Disclosure

Proposers must comply with the Office of Grants Management (OGM) Policy 08-01. Conflict of Interest Policy for State Grant-Making by disclosing any conflicts of interest (actual, potential or perceived) that may occur before or during the grant period.

Organizational conflicts of interest occur when:

- A grantee is unable or potentially unable to render impartial assistance or advice to the State due to competing duties or loyalties.
- A grantee’s objectivity in carrying out the grant is or might be otherwise impaired due to competing duties or loyalties.
- A grantee or potential grantee has an unfair competitive advantage through being furnished unauthorized proprietary information or source selection information that is not available to all competitors.

Organizational conflicts include acts of any individual or group within the proposer’s organization.

Individual conflicts of interest occur when:

- A state employee or grant reviewer receives or accepts money or anything else of value from a grant applicant or has equity or a financial interest in, or partial or whole ownership of, an applicant organization.
- A state employee or a grant reviewer is an employee or board member of a potential grantee, or is an immediate family member of an owner, employee or board member of the applicant.
- A potential grantee offers or gives a state employee or grant reviewer special advantage, benefit, or access to time, services, facilities, equipment, supplies, badge, uniform, prestige, or influence.

As the authorized representative of my organization, I certify that I have read and understand the description of conflict of interests explained in OGM Policy 08-01. Check one of the two boxes below:

☐ To the best of my knowledge, neither I nor my organization has an ACTUAL, POTENTIAL, or PERCEIVED conflict of interest with anyone involved in review or management of this grant.

☐ My organization does have an ACTUAL, POTENTIAL, or PERCEIVED conflict of interest. Please describe:

If at any time after submission of this form, I or anyone in my organization discovers any conflict of interest(s) not reported here, we will contact DEED immediately and disclose the conflict.

Authorized representative’s printed name: ____________

Signature: ____________

Organization: ____________

Date: ____________
Form 4. Affidavit of Non-Collusion

Instructions: Please return this completed form as part of the Request for Proposal Response submittal.

I swear (or affirm) under the penalty of perjury:

1. That I am the Responder (if the Responder is an individual), a partner in the company (if the Responder is a partnership), or an officer or employee of the responding corporation having authority to sign on its behalf (if the Responder is a corporation).

2. That the attached proposal submitted in response to this Request for Proposal has been arrived at by the Responder independently and has been submitted without collusion with and without any agreement, understanding or planned common course of action with, any other Responder of materials, supplies, equipment, or services described in the Request for Proposals, designed to limit fair and open competition.

3. That the contents of the proposal have not been communicated by the Responder or its employees or agents to any person not an employee or agent of the Responder and will not be communicated to any such persons prior to the official opening of the proposals.

4. That I am fully informed regarding the accuracy of the statements made in this affidavit.

Authorized Signature

Responder’s Organization name:

Print authorized representative name and title:

Grant Program:

Authorized signature:

Date (mm/dd/yyyy):

Notary Public

Subscribed and sworn to before me this ___ day of __________, 20___.

________________________________________

Notary Public signature

Commission expires (mm/dd/yyyy): __________