



Mississippi Valley Workforce Development Board

Executive Committee Agenda

Tuesday, September 13, 2022, at 5:00 p.m.

Join Zoom Meeting

<https://us02web.zoom.us/j/89984623069?pwd=NDVsVzN4bzN5anRpUExrVG5PcmV0dz09>

Meeting ID: 899 8462 3069 Passcode: 899588

One tap mobile: +13126266799,,89984623069

Called to Order	Dennis Duke
Roll Call	Phyllis Wood
*Excused Absences	Dennis Duke
*Approval of Agenda	Dennis Duke page 1
*Approval of Previous Minutes	Dennis Duke pages 2-4

Standing Reports

Operations Committee Report	Matthew Nicol none
Finance Committee Report	Lori Bassow pages 6-7
Youth Committee Report	Jacob Nye page 9

New Business

*PY22 Budgets	Kendra Schaapveld pages 11-31
*Revised OSO KPI's	Miranda Swafford pages 33-34
*Modifications Support Service Policy	Lori Bassow pages 36-42
*TTW Budget	Miranda Swafford pages 44-45
*Unrestricted Funds Policy	Miranda Swafford page 47
*Inventory Policy	Phyllis Wood/Miranda Swafford pages 49-52
*Procurement Policy	Miranda Swafford pages 54-64
LMI Reports	Matthew Nicol/Jacob Nye none

Other Business

Public Comment	
Adjourn	Dennis Duke

*Items Requiring a Vote ** Items Requiring a Roll Call Vote

Accommodations

Accommodations are available upon request for individuals with disabilities. If you need an accommodation, please contact: Miranda Swafford director@mississippivalleyworkforce.org or at 319-759-8980



Mississippi Valley Workforce Development Board

Executive Committee Meeting Minutes

Tuesday, July 12, 2022, at 5:00 p.m.

Members Present: Dennis Duke, Mathew Nicol, Lori Bassow, Kirby Phillips, Cindy Whalen, and Jacob Nye

Members Absent: None

CEOs Present: Jack Willey

Staff Present: Miranda Swafford, Executive Director and Phyllis Wood, Executive Assistant

Service Provider Staff Present: Taylor Longstreth, Operations Supervisor

One Stop Operator: Robert Ryan

CALLED TO ORDER

Duke called the meeting to order at 5:00 p.m.

QUORUM

The committee had a quorum to conduct business.

EXCUSED ABSENCES

There were no absences.

APPROVAL OF AGENDA

Nye made a motion to accept the agenda as presented, seconded by Nicol, the motion carried.

APPROVAL OF MINUTES

Nicol made a motion to approve the previous meeting minutes, seconded by Nye, the motion carried.

Standing Reports

OPERATIONS COMMITTEE

Nicol reviewed the OJT policy revisions and informed the executive committee that the revisions were approved by the operations committee. Nicol was voted to remain chair for another year and Mandy Parchert was voted to the vice-chair role. Nicol reported that the one-stop operator is working with the business services teams in each center and the committee voted on the assessment and evaluation teams to complete the one-stop certification standards review which will be discussed and voted on later in the meeting. Nicol made a motion to approve the OJT policy revisions as presented in the packet, seconded by Nye, the motion carried.

FINANCE COMMITTEE

Bassow reported there would be two fiscal agents through the middle of August so SEIRPC can close out the program year. The finance committee voted to approve the admin and program

budgets. The finance committee is reviewing the support services policy and committee members requested more information from the service provider and board staff to demonstrate the increases were enough to cover the need in certain categories, specifically childcare. Duke added that he had heard childcare costs have increased very significantly and it would be prudent for the program to offer enough support in that category. Nicol congratulated Bassow on her remaining in the chair role. Bassow added that Bergfeld was voted into the vice-chair role and has been a major asset to the committee.

YOUTH COMMITTEE

Nye noted he was reelected to the chair role with Rebecca Ruberg voted into the vice-chair role. There is \$670,000 that must be spent on youth services this year. Nye discussed the committee approved increases to the stipend and incentive policy. (Not voted on by executive committee.) They also approved the virtual reality work experience plan with the focus on youth work experience. Nye made a motion to approve the VR WEX plan as presented, seconded by Phillips, the motion carried.

New Business

***Q3 OSO KPI REPORT**

Ryan reviewed the key performance indicator report noting no deficiencies. Nye made a motion to approve the third quarter key performance indicator report as presented, seconded by Nicol, the motion carried.

***ONE-STOP CERTIFICATION TEAMS**

Ryan explained the process to certification would require an assessment team and an evaluation team. The team composition was guided by state requirements. Ryan reviewed the roster as presented in the meeting packet. Nye made a motion to approve the teams as presented, seconded by Phillips, the motion carried.

***ANNUAL INVENTORY REPORT**

Wood stated the physical inventory was completed at each center with all equipment being accounted for. Wood noted obstacles to completing the process included not receiving details about equipment purchases, not being informed when equipment is received, tagged, issued, or disposed of, having to track non-functioning equipment because there is no disposal process, and tracking of hundreds of low dollar items being burdensome. Currently items valued at \$50 or more are tracked and physically inventoried. Wood recommended creating a more extensive and detailed process for the board to be notified of equipment acquisitions, modifications to policy to only physically track equipment with dollar value of \$500 or higher, and to create a disposition process to purge non-functional equipment. Whalen made a motion to approve the inventory report as presented, seconded by Nye, the motion carried.

***CONTRACT MODIFICATIONS – PROPERTY CLAUSE**

Swafford noted the current contract language does require the tracking of equipment valued at \$50 or more. Duke suggested this be raised to \$500 and Wiley agreed it was a reasonable threshold. Nicol made a motion to approve the contract modifications using \$500 as the threshold for inventory tracking, seconded by Nye, the motion carried.

***INVENTORY SYSTEM**

Swafford stated there is not a system to vote on at this time because policy needs to be developed to ensure a system solution meets the modified needs of the board.

***PY22 BUDGETS**

Swafford presented the admin and program budgets along with an insurance quote to add crime coverage to the current policy. Discussion concluded the additional coverage would justify the expense. Whalen made a motion to approve the budgets with the increased insurance premium, seconded by Nye, the motion carried.

***PY21 MONITORING REPORTS**

Swafford noted the monitoring reports included in the packet, showed no findings. Bassow made a motion to approve the reports, seconded by Nye, the motion carried.

***ANNUAL ADA ASSESSMENT REPORTS**

Whalen noted the full reports in the packet and highlighted findings that mostly centered on issues that would need to be addressed by the landlord. Swafford suggest allowing the DAC committee to monitor corrections and the committee could review again in six months to see what has been addressed. Nye made a motion to approve the ADA reports, seconded by Bassow, the motion carried.

***TRAVEL POLICY MODIFICATIONS**

Swafford reviewed modifications to the policy for adding contractors and sub recipients, expanding local travel to include all the counties of the local workforce area, and travel form modifications. Bassow made a motion to approve the travel policy revisions as presented, seconded by Nye, the motion carried.

OTHER BUSINESS

Swafford announced MVWDB had received their letter of approval for 501c3 status. IWD has approved the social media strategy and Swafford will be meeting with Nicol to move that project forward. Michelle McNertney and Tim Goodwin will be guests at the in-person executive committee meeting, which has been moved to October 11. Swafford announce Rodriguez applied for the Executive Director position with East Central Iowa local workforce board. East Central is putting together an offer for Rodriguez. Swafford anticipates August 1 or 15 as the last day for Rodriguez with MVWDB.

PUBLIC COMMENT

There was no public comment.

ADJOURN

Nye made a motion to adjourn, seconded by Nicol, the motion carried, and Duke adjourned the meeting at 6:06 p.m.

Finance Committee Report

Finance Committee Report

August 2022

July Invoices Approved

- Adult \$95,968.97
- DW \$48,490.90
- Youth \$81,919.26
- NDWG \$1,146.84
- One Stop Operator \$8,061.23
- SEIRPC 200 hours invoice for \$13,000
- CIJDC 30.75 hours \$3,535.00

Approvals and Discussions

- Recommend support services policy modification to the executive committee
- Recommend Unrestricted Funds Policy to the executive committee
- Reviewed TTW funds draft budget
- Bank account balance is \$25,745.40. The bank account has been closed and check issued to CIJDC in the amount of \$25,745.40.

WIOA Financial Report
Expenditures Through 7/31/2022 (Approximately 8% through Program Year)

Stream	Expended	% of Total Available		Funds That End	
		Spent	Total Available	Remaining Balance	6/30/2023
Admin	\$16,829.26	3.41%	493,239.02	\$476,409.76	\$167,124.02
Adult	\$105,959.85	8.78%	1,206,299.97	\$1,100,340.12	\$212,751.97
Dislocated Worker	\$57,803.89	6.79%	851,657.99	\$793,854.10	\$180,288.99
Youth	\$92,413.91	4.79%	1,929,200.47	\$1,836,786.56	\$659,066.47
Nat. DW Grant	\$1,189.92	0.51%	234,163.40	\$232,973.48	\$234,163.40
Total	\$274,196.83		4,714,560.85	\$4,440,364.02	\$1,453,394.85

Equus Program Expenditure Updates through 7/31/2022

Adult	Budgeted	% of Total	Actual Expenditures	% of Total Spent
Total P&O		#DIV/0!	\$ 33,464.57	34.87%
Total Participant		#DIV/0!	\$ 62,504.39	65.13%
Total	\$ -	#DIV/0!	\$ 95,968.96	100.00%

DW	Budgeted	% of Total	Actual to Date	% of Total Spent
Total P&O		#DIV/0!	\$ 35,799.85	73.83%
Total Participant		#DIV/0!	\$ 12,691.05	26.17%
Total		#DIV/0!	\$ 48,490.90	100.00%

OSY	Budgeted	% of Total	Actual to Date	% of Total Spent
Total P&O		#DIV/0!	\$ 58,544.37	95.96%
Total Participant		#DIV/0!	\$ 2,463.44	4.04%
Total	\$0.00	#DIV/0!	\$ 61,007.81	100.00%

ISY	Budgeted	% of Total	Actual to Date	% of Total
Total P&O		#DIV/0!	19,857.80	94.96%
Total Part.		#DIV/0!	1,053.58	5.04%
Total	0.00	#DIV/0!	20,911.38	100.00%

WEP	Required to Date	Actual	%
	\$18,482.78	\$9,334.09	10.10%

Youth Committee Report



Mississippi Valley Workforce Development Board

Youth Committee Report **Prepared for September 13, 2022 – Executive Committee Meeting**

Items of Discussion

- Virtual reality headsets have begun to be used for youth work experiences.
- Seven enrollments in July with \$1,044 spent on work experience wages.
- Looking at how to use LMI to help direct focus of committee initiatives.

*PY22 Budgets

ADULT/DW BUDGET NARRATIVE

Equus utilizes a cost allocation mechanism that meets the criteria established by the Department of Labor's Technical Assistance Guide. Shared costs are distributed and charged based on either employee time reporting or the number of individuals served by activity.

PERSONNEL: \$538,392

Based on our experience operating [WIOA] programs throughout the country, we propose a staffing model that includes the positions listed in the following table. Our job titling aligns with Equus' talent delivery model, emphasizing our commitment to delivering talent to business and increasing community access. The table below details the wages, and the number of full-time equivalents (FTE) proposed for each position budgeted. Proposed annual wages were developed with the intent of being competitive in the local market.

Job Title	Number of FTE's	Yearly Salary
Project Director	1	75,000.00
Project Accountant	1	64,198.82
Operations Supervisor	1	64,823.36
Operations Supervisor	1	62,109.82
Business Service Representative	1	50,071.20
Business Service Representative	1	48,456.00
Quality Assurance	1	51,686.00
Accounting Specialist	1	35,192.00
Talent Engagement Specialist (Shared)	1	40,380.00
DW Talent Engagement Specialist	1	38,764.80
DW Career Navigator	1	

		46,733.12
A/DW Career Navigator	1	46,733.12
A/DW Career Navigator	1	46,733.12
A/DW Career Navigator	1	46,733.12
A/DW Career Navigator	1	46,733.12
A/DW Career Navigator	1	46,733.12

Equus offers a performance-based incentive to its Project Directors worth up to 15% of total wages: \$11,256. The incentive is based on a defined plan with identified benchmarks to be achieved. The Project Director can earn up to the maximum based on number of benchmarks achieved.

IF FRINGE BENEFITS: \$147,734

The following fringe benefits and taxes have been budgeted in our total cost. Each calculation is based on a percentage of total wages from above \$538,392. The cost of fringe benefits represents 20.11% of personnel costs.

- FICA payroll taxes are calculated as 7.65% of total wages and equal \$41,187.
- Federal unemployment is calculated as 0.33% of the first \$7,000 of wage per FTE and equals \$1,776.
- State unemployment is calculated as .49% of the first \$9,000 of wage per FTE and equals \$2,638.
- Medical benefits/health insurance is calculated as 6.5% of total wages and equals \$78,605. This was determined based on Equus' current employer costs related to health insurance benefits including estimated enrollment rates. All full-time employees will have access to medical, dental, and vision insurance policies, should they decide to enroll.
- Retirement is calculated as 1% of total wages and equals \$5,383.
- Workers' Compensation is calculated as 2.43% of total wages and equals \$13,082.
- Tuition Reimbursement is calculated as .94% of total wages and equals \$5,060.

In addition to the above benefits, the tenure of incumbent staff hired by Equus will be considered in terms of calculating Paid Time Off. Newly hired incumbents will receive Paid Time Off per Equus' HR policy.

TRAVEL/MILEAGE: \$54,411

Annually, Equus hosts an annual conference Project Directors. We conduct regional meetings 2 times per year for professional development for the Career Navigators, Business Services, Quality Assurance, Operations Supervisor. In addition, the Project Director to the Equus Annual Meeting in Kentucky, the Project Director to the National Association of Workforce Boards Conference in Washington DC and the Career Navigators, Quality Assurance Specialist, Operations Supervisor, and Talent Engagement Specialists to the National Association of Workforce Partners annual conference in New Orleans, and the Career Navigators, Business Services Consultants and Operations Supervisors to the final conference of Association of Iowa Workforce Partners in Des Moines. Costs include airfare, lodging, and meals equaling \$40,844.

In order to operate this program efficiently and effectively, front-line employees will travel throughout the region to meet with customers, participants, and businesses that may be interested in being a worksite or hiring job ready participants. Therefore, we have budgeted for mileage reimbursement using the Iowa State approved rate of \$0.62 per mile through December 31, 2022 and \$.58 per mile January 1, 2023. Based on the size of the region and the customer flow, we anticipate reimbursing a total of 1800 miles per month. This equal \$13,567 for 12 months.

EQUIPMENT \$7,500

Replacement computers at \$2,500 (\$150 for docking station, \$500 for monitors, included in the \$2500) each for 3, a total of \$7500.

CLIENT SUPPLIES AND ASSESSMENT \$800

200 assessments at \$4 each.

COMMUNICATIONS: \$6,417

Equus provides a monthly cell phone stipend for the following employees, Project Director, Operations Supervisor, Project Accountant, Talent Engagement Specialist, Business Services Consultants, and Career Navigators. These items are necessary for the success of this project and will be used to conduct outreach; perform follow up; travel to visit customers, partners, and business clients; and address customer concerns in a timely and professional manner. Furthermore, cell phones are provided in order for management team members to effectively communicate and promptly respond to external customers, internal management, partner organizations, and the Board while away from the office, traveling for business, or during non-business hours. We have budgeted 8 stipends at \$35per month for 12 months for Career Navigators. Project Leadership stipends 7 stipends at \$75 per stipend for 12 months.

WiFi in the American Job Center for customer usage and reliable access for staff at \$134 per month at \$804 as it is a shared cost across funding.

OFFICE SUPPLIES: \$6,336

Equus has estimated the cost of office supplies at \$528 per month for 12 months.

RESOURCE SHARING ALLOCATION: \$13,228

Equus has estimated the cost of resource sharing to be \$13,228 for the Davenport and

West Burlington American Job Centers.

OUTREACH: \$12,500

This includes \$7500 for the design and printing of brochures, flyers, posters, and other materials, and for bus wraps, and bus shelters. This also includes \$5,000 for promotional swag such as pens, water bottles, sticky notes, pizza cutters, sunglasses, stress balls, portfolios, folders, bags, and items related to working.

OTHER COSTS \$11,569

Dues and subscriptions include fees associated with, but not limited to, National Association of Workforce Partnerships, and industry-specific literature.

Leadership Development is crucial to the success of teams. \$2250 is the cost of the St. Ambrose Leadership Development program and this is budgeted for 2 Operations Supervisors to attend.

Dues and subscriptions, staff education and seminars, couriers and overnight services, planned expenditures are estimated at \$589 per month for 12 months.

PROFESSIONAL SERVICES AND BUSINESS EXPENSES: \$19,846

Equus is required to conduct an annual audit for schedule of federal expenditures and indirect cost review. The cost of the audit is calculated as 0.20% of revenue and equals \$3,997.

Employee payroll processing, performed by ADP, is calculated as \$3 per paycheck per FTE for 24 paychecks for 23 FTEs. This includes the cost of preparation and distribution of employee payroll and equals \$1,656.

Quick Base is a data management system we use to improve daily operations, monitoring, and reporting. This is calculated at \$35.00 per user per month for 23 users for 12 months and equals \$9,660.

Hello Sign is a web-based electronic signature management system that allows for legally binding electronic signatures. This is estimated at \$205 per year for 21 licenses and equals \$4,305.

The Work Number is the world's largest employment verification site. Equus utilizes The Work Number to verify employment of job seekers to meet benchmarks or to determine if the job seeker is currently employed. This is estimated at \$9.85 per verification for 43 verifications and equals \$228.

INSURANCE: \$2966

Equus carries General and Professional Liability Insurance for each project, a necessary cost of doing business. This project's portion of the cost of insurance is calculated as \$5.46 per \$1,000 of revenue.

INDIRECT COSTS: \$87,934

Indirect costs represent those common costs associated with the efforts of Equus overhead staff that support our projects nationwide. Additionally, it covers administration, professional services, and other miscellaneous items. Our indirect also represents the costs associated with our proprietary workforce tools and materials. We also have a partnership with WebEx

that allows us to bring call/video conferencing capabilities to the project, which is included in our indirect costs. Equus offers robust training that includes professional development through our proprietary online library, ResCare Talent System™, created using the Cornerstone OnDemand's Learning Management System platform. With more than 1,500 professional and personal skill development courses including business skills, compliance, leadership, personal and professional development, and management training employees. This standardized learning platform ensures training is consistent across all operations, which makes our processes measurable. Curriculum and content can be updated immediately, making us highly flexible. All completed training is automatically tracked, which ensures peak compliance documentation. Equus invests in its people by increasing knowledge and encouraging professional development of team members to ensure job seekers receive quality services with meaningful outcomes. There are no direct costs associated with the use of ResCare Talent System™.

Equus utilizes an indirect rate of 10.43% of subtotal direct cost

MANAGEMENT FEE: \$93,102

Equus' profit factors in the complexity of the work to be performed, benefit received, and quality of our past performance. This is calculated as 10% per month

DIRECT CLIENT SUPPORT SERVICES & TRAINING \$496,936

We have budgeted for 125 ITAs at \$2800 each, for a total cost of \$354,411.

Supportive services may include, but are not limited to, linkages to community services; assistance with transportation, child care, and dependent care; assistance with housing; assistance with educational testing; reasonable accommodations for individuals with disabilities; referrals to healthcare; and assistance with uniforms or other appropriate work attire and tools, as needed and allowable, in order for participants to be properly prepared for work experience and/or to remove barriers to program participation or employment. This is estimated as \$1020 per adult participant.

We have budgeted \$15,000 for individualized career services, pre-vocational services.

DIRECT CLIENT WORK EXPERIENCE \$129,000

Equus estimates 30 participants to engage in work experience. We have budgeted wages at \$16.00 per hour. Participants would work 40 hours per week for 6 weeks. This comes to a total of \$3,600 in wages. Additionally, Equus budgeted for the cost of fringe benefits (FICA and Workers' Compensation) at 10.35% of total work experience wages and equals \$13,351.

ADP payroll processing for work experience is calculated at \$2.31 per participant per week for 4 weeks and equals \$185.

Work experience processing fees include the work to be performed, and benefit received and is calculated at 5% of payroll and fringe and equals \$6450. This is not charged in indirect costs.

DIRECT CLIENT ON THE JOB TRAINING: \$55,000

Equus anticipates coordinating OJT opportunities for 10 job seekers. As such, we have budgeted for the cost of wage reimbursement of up to \$5500.

We have dedicated 40% of the budget to training activities and support services

TOTAL BUDGET AMOUNT

\$1,711,512

Link to full spreadsheet

GRANTEE NAME: Equus Workforce Solutions
ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
 7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 538,392.39
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 147,734.87
Total Personnel Expenses		\$ 686,127.26
Operating Expenses:		
60850	Mileage & Travel	\$ 54,411.57
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 13,553.41
62830,62860	Outreach & Public Relations/Job Fairs	\$ 12,500.00
65610	Reimbursable Equipment	\$ 7,500.00
62510-62520	Resource Sharing Allocation	\$ 13,228.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 34,381.12
Subtotal Personnel & Operating expenses		\$ 821,701.36
Indirect Cost		\$ 85,703.45
Management Fee		\$ 90,740.48
Total Operating expenses		\$ 998,145.30
Participant Expenses		
67408	Instructional Training	\$ 357,891.64
67412	Customer Support service	\$ 136,306.64
67426	Individual Career Services - New Service	\$ 20,000.00
65602	Work Based Learning	\$ 137,304.18
67422	On The Job Training	\$ 55,000.00
5% WEX Markup		\$ 6,865.21
Total Participant Expenses		\$ 713,367.67
Total WIOA ADW Combined GRANT COST		\$ 1,711,512.97
		\$ (0.01)

GRANTEE NAME: Equus Workforce Solutions
ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 300,175.82
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 82,368.24
Total Personnel Expenses		\$ 382,544.06
Operating Expenses:		
60850	Mileage & Travel	\$ 30,162.57
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 7,760.00
62830,62860	Outreach & Public Relations/Job Fairs	\$ 7,500.00
65610	Reimbursable Equipment	\$ 4,500.00
62510-62520	Resource Sharing Allocation	\$ 8,103.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 19,312.00
Subtotal Personnel & Operating expenses		\$ 459,881.63
Indirect Cost		\$ 47,965.65
Management Fee		\$ 50,784.73
Total Operating expenses		\$ 558,632.02
Participant Expenses		
67408	Instructional Training	\$ 257,891.64
67412	Customer Support service	\$ 80,000.00
67426	Individual Career Services - New Service	\$ 10,000.00
65602	Work Based Learning	\$ 96,717.92
67422	On The Job Training	\$ 25,000.00
5% WEX Markup		\$ 4,835.90
Total Participant Expenses		\$ 474,445.46
Total WIOA Adult GRANT COST		\$ 1,033,077.47
		\$ (0.00)

GRANTEE NAME: Equus Workforce Solutions
 ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
 7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 238,216.57
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 65,366.63
Total Personnel Expenses		\$ 303,583.20
Operating Expenses:		
60850	Mileage & Travel	\$ 24,249.00
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 5,793.41
62830,62860	Outreach & Public Relations/Job Fairs	\$ 5,000.00
65610	Reimbursable Equipment	\$ 3,000.00
62510-62520	Resource Sharing Allocation	\$ 5,125.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 15,069.12
Subtotal Personnel & Operating expenses		\$ 361,819.73
Indirect Cost		\$ 37,737.80
Management Fee		\$ 39,955.75
Total Operating expenses		\$ 439,513.28
Participant Expenses		
67408	Instructional Training	\$ 100,000.00
67412	Customer Support service	\$ 56,306.64
67426	Individual Career Services - New Service	\$ 10,000.00
65602	Work Based Learning	\$ 40,586.26
67422	On The Job Training	\$ 30,000.00
5% WEX Markup		\$ 2,029.31
Total Participant Expenses		\$ 238,922.21
Total WIOA Dislocated Worker GRANT COST		\$ 678,435.49

\$ (0.00)

GRANTEE NAME: Equus Workforce Solutions
ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
 7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 31,311.53
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 8,591.88
Total Personnel Expenses		\$ 39,903.41
Operating Expenses:		
60850	Mileage & Travel	\$ 1,406.25
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 210.00
62830,62860	Outreach & Public Relations/Job Fairs	\$ -
65610	Reimbursable Equipment	\$ -
62510-62520	Resource Sharing Allocation	\$ -
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 513.45
Subtotal Personnel & Operating expenses		\$ 42,033.11
Indirect Cost		\$ 4,384.05
Management Fee		\$ 4,641.72
Total Operating expenses		\$ 51,058.88
Participant Expenses		
67408	Instructional Training	\$ -
67412	Customer Support service	\$ -
67426	Individual Career Services - New Service	\$ -
65602	Work Based Learning	\$ -
67422	On The Job Training	\$ 175,746.26
5% WEX Markup		\$ -
Total Participant Expenses		\$ 175,746.26
Total WIOA NDWG GRANT COST		\$ 226,805.14
		\$ 226,805.14

YOUTH BUDGET NARRATIVE

Equus utilizes a cost allocation mechanism that meets the criteria established by the Department of Labor's Technical Assistance Guide. Shared costs are distributed and charged based on either employee time reporting or the number of individuals served by activity.

PERSONNEL: \$558,777

Based on our experience operating [WIOA] programs throughout the country, we propose a staffing model that includes the positions listed in the following table. Our job titling aligns with Equus' talent delivery model, emphasizing our commitment to delivering talent to business and increasing community access. The table below details the wages, and the number of full-time equivalents (FTE) proposed for each position budgeted. Proposed annual wages were developed with the intent of being competitive in the local market.

Job Title	Number of FTE's	Yearly Salary
Project Director	1	75,000.00
Project Accountant	1	63,960.34
Operations Supervisor	1	64,582.56
Operations Supervisor	1	61,879.10
Business Service Representative	1	49,885.20
Business Service Representative	1	48,276.00
Quality Assurance	1	51,494.00
Accounting Specialist	1	35,056.00
Talent Engagement Specialist (Shared)	1	40,230.00
Youth Career Navigator	1	46,559.52
Youth Outreach Specialist	1	40,230.00

Youth Career Navigator	1	46,559.52
Youth Career Navigator	1	46,559.52
Youth Career Navigator	1	46,559.52
Youth Career Navigator	1	46,559.52
Youth Career Navigator	1	46,559.52

Equus offers a performance-based incentive to its Project Directors worth up to 15% of total wages: \$11,256. The incentive is based on a defined plan with identified benchmarks to be achieved. The Project Director can earn up to the maximum based on number of benchmarks achieved.

IF FRINGE BENEFITS: \$153,328

The following fringe benefits and taxes have been budgeted in our total cost. Each calculation is based on a percentage of total wages from above \$558,777. The cost of fringe benefits represents 20.11% of personnel costs.

- FICA payroll taxes are calculated as 7.65% of total wages and equal \$42,746.
- Federal unemployment is calculated as 0.33% of the first \$7,000 of wage per FTE and equals \$1843.
- State unemployment is calculated as .49% of the first \$9,000 of wage per FTE and equals \$2738.
- Medical benefits/health insurance is calculated as 6.5% of total wages and equals \$81,581. This was determined based on Equus' current employer costs related to health insurance benefits including estimated enrollment rates. All full-time employees will have access to medical, dental, and vision insurance policies, should they decide to enroll.
- Retirement is calculated as 1% of total wages and equals \$5587.
- Workers' Compensation is calculated as 2.43% of total wages and equals \$13,578.
- Tuition Reimbursement is calculated as .94% of total wages and equals \$5252.

In addition to the above benefits, the tenure of incumbent staff hired by Equus will be considered in terms of calculating Paid Time Off. Newly hired incumbents will receive Paid Time Off per Equus' HR policy.

TRAVEL/MILEAGE: \$37,523

Annually, Equus hosts an annual conference Project Directors. We conduct regional meetings 2 times per year for professional development for the Career Navigators, Business Services, Quality Assurance, Operations Supervisor. In addition, the Project Director to the Equus Annual Meeting in Kentucky, the Project Director to the National Association of Workforce Boards Conference in New Orleans and the Career Navigators and Operations Supervisor, Youth Outreach Specialist to the Youth Symposium in North Carolina. This also includes final Iowa Association of Workforce Partners Conference in Des Moines for the Business Services Consultants, Operations Supervisors, Outreach Specialists, and Career Navigators. Costs include airfare, lodging, and meals equaling \$37,523.

In order to operate this program efficiently and effectively, front-line employees will travel throughout the region to meet with customers, participants, and businesses that may be interested in being a worksite or hiring job ready participants. Therefore, we have budgeted for mileage reimbursement using the approved rate of \$0.62 per mile through December 31, 2022 and \$.58 per mile January 1, 2023. Based on the size of the region and the customer flow, we anticipate reimbursing a total of 934 miles per month. This equal \$11,213 for 12 months.

EQUIPMENT \$116,208

Replacement computers at \$2,500, including docking station and monitors, each for 3, a total of \$7500. \$99,510 for the license renewal for the Virtual Reality headsets. \$2300 for locking cabinets, 2 each, to house the headsets. \$5,000 for furniture to set up the youth center in the West Burlington mall space including desks, chairs, couch, stools, privacy screens. \$1800 for mobile hotspots for virtual reality headsets and case managers.

CLIENT SUPPLIES AND ASSESSMENT \$35,800

200 assessments at \$4 each, \$800. \$30,000 for mentoring and \$5,000 for the youth space.

COMMUNICATIONS: \$10,999

Equus provides a monthly cell phone stipend for the following employees, Project Director, Operations Supervisor, Project Accountant, Talent Engagement Specialist, Business Services Consultants, and Career Navigators. These items are necessary for the success of this project and will be used to conduct outreach; perform follow up; travel to visit customers, partners, and business clients; and address customer concerns in a timely and professional manner. Furthermore, cell phones are provided in order for management team members to effectively communicate and promptly respond to external customers, internal management, partner organizations, and the Board while away from the office, traveling for business, or during non-business hours. We have budgeted 7 stipends at \$35 per month for 12 months for Career Navigators. Project Leadership stipends 7 stipends at \$75 per stipend for 12 months.

WiFi in the American Job Center for customer usage, youth space, reliable access for staff at \$134 per month at \$1608, which is a shared cost acrossed all funding streams.

Phone and internet in the new youth space at the West Burlington Mall will be \$350 per month at \$4200

OFFICE SUPPLIES: \$8,138

Equus has estimated the cost of office supplies at \$678 per month for 12 months.

RESOURCE SHARING ALLOCATION: \$34,341

Equus has estimated the cost of resource sharing to be \$15,841 for the Davenport and West Burlington American Job Centers. This also includes Keokuk location, lease at \$500 a month through March 31, 2023. The new youth space in West Burlington mall, the lease at \$1500 per month.

OUTREACH: \$42,500

This includes \$7500 for the design and printing of brochures, flyers, posters, and other materials, and for bus wraps, and bus shelters. This also includes \$5,000 for promotional swag such as pens, water bottles, sticky notes, pizza cutters, sunglasses, stress balls, portfolios, folders, bags, and items related to working. \$30,000 for popup events, youth job fairs, radio outreach, social media, printing, rental space for events.

OTHER COSTS \$14,100

Application and hosting, staff education and seminars, couriers and overnight services, planned expenditures are estimated at \$11,850 per month for 12 months.

Dues and subscriptions include fees associated with, but not limited to, National Association of Workforce Partnerships, and industry-specific literature.

Leadership Development is crucial to the success of teams. \$2250 is the cost of the St. Ambrose Leadership Development program and this is budgeted for 2 Operations Supervisors to attend.

PROFESSIONAL SERVICES AND BUSINESS EXPENSES: \$10,954

Equus is required to conduct an annual audit for schedule of federal expenditures and indirect cost review. The cost of the audit is calculated as 0.20% of revenue and equals \$901.

Employee payroll processing, performed by ADP, is calculated as \$3 per paycheck per FTE for 24 paychecks for 23 FTEs. This includes the cost of preparation and distribution of employee payroll and equals \$1197.

Quick Base is a data management system we use to improve daily operations, monitoring, and reporting. This is calculated at \$35.00 per user per month for 11 users for 12 months and equals \$4,620 shared across funding.

Hello Sign is a web-based electronic signature management system that allows for legally binding electronic signatures. This is estimated at \$205 per year for 23 licenses shared across funding.

The Work Number is the world's largest employment verification site. Equus utilizes The Work Number to verify employment of job seekers to meet benchmarks or to determine if the job seeker is currently employed. This is estimated at \$9.85 per verification for 43 verifications and equals \$228.

INSURANCE: \$4922

Equus carries General and Professional Liability Insurance for each project, a necessary cost of doing business. This project's portion of the cost of insurance is calculated as \$5.46 per \$1,000 of revenue.

INDIRECT COSTS: \$107,178

Indirect costs represent those common costs associated with the efforts of Equus overhead staff that support our projects nationwide. Additionally, it covers administration, professional services, and other miscellaneous items. Our indirect also represents the costs associated with our proprietary workforce tools and materials. We also have a partnership with WebEx that allows us to bring call/video conferencing capabilities to the project, which is included in our indirect costs. Equus offers robust training that includes professional development through our proprietary online library, ResCare Talent System™, created using the Cornerstone OnDemand's Learning Management System platform. With more than 1,500 professional and personal skill development courses including business skills, compliance, leadership, personal and professional development, and management training employees. This standardized learning platform ensures training is consistent across all operations, which makes our processes measurable. Curriculum and content can be updated immediately, making us highly flexible. All completed training is automatically tracked, which ensures peak compliance documentation. Equus invests in its people by increasing knowledge and encouraging professional development of team members to ensure job seekers receive quality services with meaningful outcomes. There are no direct costs associated with the use of ResCare Talent System™.

Equus utilizes an indirect rate of 10.43% of subtotal direct cost

MANAGEMENT FEE: \$113,477

Equus' profit factors in the complexity of the work to be performed, benefit received, and quality of our past performance. This is calculated as 10% per month

DIRECT CLIENT SUPPORT SERVICES & TRAINING \$163,304

We have budgeted for 15 ITAs at \$3867each, for a total cost of \$58,000.

Supportive services may include, but are not limited to, linkages to community services; assistance with transportation, child care, and dependent care; assistance with housing; assistance with educational testing; reasonable accommodations for individuals with disabilities; referrals to healthcare; and assistance with uniforms or other appropriate work attire and tools, as needed and allowable, in order for participants to be properly prepared for work experience and/or to remove barriers to program participation or employment. This is estimated as \$1516 per youth participant.

We have budgeted \$14,324 for individualized career services, pre-vocational services.

CLIENT AWARDS/INCENTIVES \$5,000

We have budgeted \$5,000 for incentives for credential obtained, future economic opportunity credits, grades, attendance.

DIRECT CLIENT WORK EXPERIENCE \$321,788

Equus estimates 60 participants to engage in work experience. We have budgeted wages at

\$15.00 per hour. Participants would work 20 hours per week for 18 weeks. This comes to a total of \$5,200 in wages. Additionally, Equus budgeted for the cost of fringe benefits (FICA and Workers' Compensation) at 10.35% of total work experience wages and equals \$33,305.

ADP payroll processing for work experience is calculated at \$2.31 per participant per week for 4 weeks and equals \$185.

Work experience processing fees include the work to be performed, and benefit received and is calculated at 5% of payroll and fringe and equals \$16,089. This is not charged in indirect costs.

DIRECT CLIENT ON THE JOB TRAINING: \$25,000

Equus anticipates coordinating OJT opportunities for 5 job seekers. As such, we have budgeted for the cost of wage reimbursement of up to \$5000.

We have dedicated 35% of the budget to training activities, incentives, and support services

TOTAL BUDGET AMOUNT

\$1,779,427

LINK TO FULL SPREADSHEET

GRANTEE NAME: Equus Workforce Solutions
 ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
 7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 558,777.32
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 153,328.50
Total Personnel Expenses		\$ 712,105.81
Operating Expenses:		
60850	Mileage & Travel	\$ 37,523.53
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 54,936.57
62830,62860	Outreach & Public Relations/Job Fairs	\$ 42,500.00
65610	Reimbursable Equipment *	\$ 116,207.56
62510-62520	Resource Sharing Allocation	\$ 34,341.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 29,976.00
Subtotal Personnel & Operating expenses		\$ 1,027,590.47
Indirect Cost		\$ 107,177.69
Management Fee		\$ 113,476.82
Total Operating expenses		\$ 1,248,244.98
Participant Expenses		
67408	Instructional Training	\$ 58,000.00
67412	Customer Support service	\$ 90,980.43
67426	Individual Career Services - New Service	\$ 14,324.40
65602	Work Based Learning	\$ 321,788.64
67422	On The Job Training	\$ 25,000.00
Client Awards/Incentives		\$ 5,000.00
5% WEX Markup		\$ 16,089.43
Total Participant Expenses		\$ 531,182.90
Total WIOA Youth Combined GRANT COST		\$ 1,779,427.88
		\$ 0.00

* License for VR Headsets

WEP - 20% Expected Expenditure

Staff Wages	\$ 144,789.98	
Client Wage Subsidy (WEP)	\$ 292,026.41	
Client Wage Taxes	\$ 29,762.23	
WEX Markup 5%	\$ 16,089.43	
Client Awards/Incentives	\$ 5,000.00	
VR Headsets for WBL Training Lease	\$ 99,510.00	
Total WEP Expenditures	\$ 587,178.05	33.00%

WEP - 20% Expected Expenditure

GRANTEE NAME: Equus Workforce Solutions
ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 117,853.47
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 32,338.99
	Total Personnel Expenses	\$ 150,192.47
Operating Expenses:		
60850	Mileage & Travel	\$ 9,351.00
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 11,567.57
62830,62860	Outreach & Public Relations/Job Fairs	\$ 8,500.00
65610	Reimbursable Equipment *	\$ 23,241.56
62510-62520	Resource Sharing Allocation	\$ 7,880.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 5,746.00
	Subtotal Personnel & Operating expenses	\$ 216,478.60
	Indirect Cost	\$ 22,578.72
	Management Fee	\$ 23,905.73
	Total Operating expenses	\$ 262,963.05
Participant Expenses		
67408	Instructional Training	\$ -
67412	Customer Support service	\$ 30,215.31
67426	Individual Career Services - New Service	\$ 7,743.93
65602	Work Based Learning	\$ 203,048.01
67422	On The Job Training	\$ -
	Client Awards/Incentives	\$ 2,000.00
	5% WEX Markup	\$ 10,152.40
	Total Participant Expenses	\$ 253,159.65
	Total WIOA In School Youth GRANT COST	\$ 516,122.70
		\$ 0.00

* License for VR Headsets

WEP - 20% Expected Expenditure	\$ 34,177.51
	\$ 184,268.10
	\$ 18,779.91
	\$ 10,152.40

	\$	2,000.00
	\$	19,902.00
WEP - 20% Expected Expenditure	\$	269,279.92

GRANTEE NAME: Equus Workforce Solutions
ADDRESS: 806 N Whittington Parkway, Louisville, KY 40222

GRANT PERIOD:
 7/1/2022 TO 6/30/2023

REPORT PERIOD:

		Budget
Administration:		
60110-60190 exclude 60150	Salaries	\$ 440,923.84
60310-60330 & 60610-60650	Payroll Taxes, Fringe/Work Comp	\$ 120,989.50
Total Personnel Expenses		\$ 561,913.35
Operating Expenses:		
60850	Mileage & Travel	\$ 28,172.53
62115,65570,63110-63130	Telephone, Postage, Supplies	\$ 43,369.00
62830,62860	Outreach & Public Relations/Job Fairs	\$ 34,000.00
65610	Reimbursable Equipment *	\$ 92,966.00
62510-62520	Resource Sharing Allocation	\$ 26,461.00
61745,64120,65120,65544,65520,65530,65125,65128,65130	Professional Services and Business Expenses	\$ 24,230.00
Subtotal Personnel & Operating expenses		\$ 811,111.88
Indirect Cost		\$ 84,598.97
Management Fee		\$ 89,571.08
Total Operating expenses		\$ 985,281.93
Participant Expenses		
67408	Instructional Training	\$ 58,000.00
67412	Customer Support service	\$ 60,765.12
67426	Individual Career Services - New Service	\$ 6,580.47
65602	Work Based Learning	\$ 118,740.63
67422	On The Job Training	\$ 25,000.00
Client Awards/Incentives		\$ 3,000.00
5% WEX Markup		\$ 5,937.03
Total Participant Expenses		\$ 278,023.25
Total Out of School YOUTH GRANT COST		\$ 1,263,305.18
		\$ (0.00)

* License for VR Headsets

WEP - 20% Expected Expenditure

Staff Wages	\$ 110,612.47
Client Wage Subsidy (WEP)	\$ 107,758.31
Client Wage Taxes	\$ 10,982.32

WEX Markup 5%	\$	5,937.03
Client Awards/Incentives	\$	3,000.00
VR Headsets for WBL Training Lease	\$	79,608.00
<i>Total WEP Expenditures</i>	\$	317,898.13

WEP - 20% Expected Expenditure

Revised OSO KPI's

**Proposed PY22 One Stop Operator
Key Performance Indicators**

1. Document at least 5 hours quarterly learning partner programs.
2. Coordinate 3 core partner meetings quarterly and 1 required partner meeting quarterly to discuss ways to reach common goals (i.e., performance, financial, customer satisfaction), leverage resources across partner organizations, discuss programmatic and financial issues faced by the partners as well as any misunderstandings that may exist between participating partners (troubleshooting of issues), and share details on flagship programs, events, and initiatives.
3. Assist the board with ensuring that the Memorandum of Understanding and all Attachments with all one-stop partners is executed, adhered to by all parties, as well as tracking completion, updates and expiration of activities outlined.
4. Implement strategies to improve information sharing among partner programs and relationship building activities to assist in the integration of one-stop partner programs to include but not limited to a quarterly Newsletter for distribution to partners and public, including collection of relevant information, development of the newsletter, maintenance of the recipient list and distribution.
5. Coordinate a minimum of 2 cross training activities for center staff each quarter and two in-person in-service days each program year.
6. Participate in the boards social media strategy by gathering information from partners, scheduling meetings, posting for partners without access to the platforms, and develop outreach strategy for center partners as outlined in the MVWDB Branding Guide once developed.
7. Maintain a customer satisfaction survey of at least 85% and provide updates regarding issues pertaining to customer complaints that are substantive to the required partners operating in the comprehensive, affiliate, and satellite One-Stop Centers.
8. Develop, implement, manage, track and oversee a business customer satisfaction program to allow for informed business decisions while maintaining a satisfaction rate of 85%
9. Assist the board to incorporate an integrate and aligned business services strategy among one-stop center partners to present a unified voice for the one-stop center in its communications with employers.
10. Coordinate quarterly Unified Business Services Meetings as outlined in the MOU, including identifying and scheduling guest speakers, creating the agenda, communicating

effectively to maintain partner participation; lead the meetings with a goal toward consensus building; complete tasks assigned at meetings and/or follow up as necessary.

11. Collaborate on and oversee the center Wednesday morning meetings and manage meeting spaces, maintain the schedule and resolve conflicts related to use of the rooms.
12. Increase the co-located services through the IowaWORKS Centers and those that are co-located electronically and/or shared space that is used on a scheduled basis
13. Visit the Davenport center in-person at least nine times quarterly.
14. Review and update IowaWORKS Standard Operating Procedures Guide to reflect new SOPs, local level policies and structure, including local core partner's values/vision/mission.
15. Update the WINTAC Continuum Model and complete required activities annually prior to the beginning of the program year.
16. Assist the board in meeting One Stop Certification standards by completing required activities to include but not limited to creation of a communication plan, center organizational chart, trainings and other tasks identified during the assessment and evaluation process.
17. Submit monthly reports (including referrals, VOS numbers, hiring events, workshops, social media reach, # of business services provided and updates from Business Services Team meetings) to the board and CEOs and attend committee meetings to present and review reports.
18. Meet with the executive director on a weekly basis.

Modifications Support Services Policy



Mississippi Valley Workforce Development Board

Support Services Policy

Approved Date: August 23, 2021

Effective Date: August 23, 2021

Amended Date: April 25, 2022

A. Purpose

To provide MVWA contractors of WIOA, Adult, Dislocated Worker and Youth with guidelines and restrictions on supportive services.

B. Background

1. Support services are available to WIOA Adult, Dislocated Workers, and Youth who meet WIOA eligibility requirements as described below.
2. As WIOA programs are not an entitlement, supportive service payments are made on a case-by-case basis only when determined necessary and allowable.
3. Due to funding limitations, WIOA supportive services are always the last resort.
4. All other sources of funding must be sought first and documented to avoid duplication of services.
5. All attempts to find other supportive service funding and the reasons for needing WIOA funding must be documented in the state case management system.
6. Potential sources for other funding may include state-funded sources, Pell Grants, or Trade Adjustment Assistance (TAA).

C. Eligibility

1. Supportive services, including needs-related payments, may only be provided to participants who:
 - a. Are participating in Career services or Training services approved by WIOA Title I.
 - b. Are unable to obtain supportive services via their support network or through other programs including community agencies that provide these services; and
 - c. Require those services to enable him/her to participate in WIOA Title I activities.
2. A review of the Adult, Dislocated Worker participant's budget shall be completed to determine need. Details of the budget will be provided into the state case management system. In all cases, staff must review service notes prior to making any supportive service payments to avoid duplicate payments from multiple sources and to ensure the participant has not exceeded any limits set forth in this policy.
3. The supportive service(s) must be necessary for the customer to achieve the goals outlined in their Employment Plan (EP).
4. The Comprehensive and Affiliate Job Centers must keep an up-to-date listing of available community resources (paper and/or electronic) and make available to participants prior to any

WIOA payment for supportive services. Providing information about the availability of, and referrals to, alternate supportive services sources is required by 20 CRF 678.430 (a) (9).

Support Payments

A. Overview

1. The MVWA has a per participant support cap maximum of \$6,000.00 per program year.
2. The board has a 60-day limit for supportive services after a customer completes training or is no longer participating in an approved WIOA activity, excluding Youth participants.
3. Youth participants are provided support services through follow-up.
4. Following are the allowable types of Support Service Payments and a description of each. Payments may be made directly to vendors on behalf of a participant, or as a reimbursement to the individual unless otherwise noted below.

B. Clothing (CHG)

1. Payments for items such as clothes and shoes (uniforms, safety equipment etc) that are necessary for participation in WIOA Title 1 activities, including interviewing, employment or work experience are allowable.
2. Itemized invoice or receipt is required.
3. Maximum expenditure is \$300.00 per activity.

C. Dependent Care (DPC)

1. The costs of dependent care from licensed daycare providers or from private sources agreed upon by the participant are an allowable expense.
2. Dependent care assistance may be provided to eligible participants who require such assistance in order to participate in a WIOA activity and whose need has been linked to an activity.
3. Dependent care includes child or adult care for which the participant would normally be responsible.
4. If an unemployed parent of the child resides in the home, no childcare support will be provided.
5. DPC payments are paid directly to the participant after verification by the case manager.
6. The case manager will verify:
 - a. the childcare provider form identifying the person(s) for whom they are providing care,
 - b. the provider is not being paid by other sources (or verification of participant co-pay),
 - c. documentation of the days/hours the care is provided, and the attendance/progress form from the training provider verifying that the childcare is necessary.
7. Dependent care support should only be used when the participant is not eligible for, or is pending approval of, childcare assistance through DHS/Promise Jobs.
8. Maximum of \$50 per day for one dependent.
9. Maximum of \$100 per day for two or more dependents.
10. ~~Maximum of \$500 per week for two or more dependents.~~

D. Educational Assistance (EST)

1. Assistance with books, fees, school supplies, laptops, internet access, and other necessary items for students enrolled in high school, alternative high school, high school equivalent, or post-secondary education classes are allowable.
2. In the event a program participant has been awarded a Pell Grant, the Pell Grant must be applied against the cost of allowable educational expenses before WIOA funds are utilized.
3. Participants that need laptops, internet service, and other supportive services must provide written documentation from the training site indicating the need for these services.
4. The laptop may be retained by the participant after the completion of training and will only be provided one time per program year.
5. Services for internet are limited to the time that the individual is in a training activity.
6. Itemized invoice/receipt, or syllabus is required. Documentation from the instructor is required from training site for laptop and/or internet access.

E. Educational Testing (EDT)

1. Assistance with educational testing required for participation in WIOA Title 1 activities is allowable.
2. Some examples of educational testing include, but are not limited to, high school equivalency testing and vocational testing.
3. If required for employment, the costs for licenses and application fees are allowable, examples include nursing boards.
4. Itemized invoice or receipt is required.

F. Health Care (HLC)

1. Health care assistance can be made available to participants when lack of assistance will affect their ability to obtain or maintain employment, or if it is a requirement of an educational program.
2. Allowable expenses include but are not limited to:
 - a. physical exams,
 - b. drug tests, and
 - c. co- pays for prescription drugs.
3. This supportive service should be used only when there are no other resources available to the participant.
4. Itemized invoice or receipt is required.
5. Maximum expenditure is \$300.00 per ~~participant~~ program year.

G. Services for Individuals with Disabilities (SID)

1. The costs of special services, supplies, equipment, and tools necessary to enable a participant with a disability to participate in an education or employment related activity are allowable.
2. It is not an allowable use of WIOA Title 1 funds to make capital improvements to a training or work site for general compliance with the Americans with Disabilities Act requirements.

3. Itemized invoice or receipt is required.

H. Transportation (TRN)

1. The cost of transportation necessary to participate in WIOA Title 1 activities and services, including job searching and job interviews, is allowable.
2. Assistance can consist of:
 - a. Per mile reimbursement,
 - b. fuel purchase orders,
 - c. ride share services, like Uber and Lyft for example,
 - d. bus and/or taxi passes.
 - e. Bicycle and safety equipment purchases capped at \$500
3. Bus passes must not be provided for more than 30 days in advance, 1-day bus passes are also allowable.
4. Mileage will be reimbursed at the federal IRS rate.
5. Mileage expenses must be supported with a map from a web mapping service.
6. Itemized receipts/invoices are required for other transportation.

I. Housing/Rent/Utilities

1. The participant must indicate a need and sign an applicant statement requesting the assistance.
2. Deposits are not allowable since the amount may be reimbursed to a participant at a later date.
3. Payment of late fees or interest fees or charges associated with payments not made on time are not allowable.
4. Required documentation for payment includes a copy of a signed lease with the participant's signature and monthly amount due or proof of a mortgage in the participants name. ~~and a notice of late payment from the landlord.~~
5. If the lease is not in the participant's name, an applicant statement must be made explaining the relationship between the participant and person named in the lease.
6. Payments will be based on actual rent expense minus any subsidies.
7. Rent or mortgage assistance is limited to one time per household per program year.
 - a. Maximum for rent \$850, maximum for mortgage \$1,000.
8. Utilities are allowed up to \$500 per program year and must be supported by actual bills.

J. Car Repairs/Insurance

1. Vehicle repair costs may be provided but must be directly linked to an allowable activity.
2. Required documentation includes:
 - a. copy of title or registration showing the client or their spouse, parent/guardian legally owns the vehicle;
 - b. proof of car insurance.
3. No cosmetic repairs will be paid using WIOA funds.
4. Vehicle insurance premiums for up to 6 months are also an allowable expense and is a one-time only payment. Two quotes for repairs are required unless the vehicle has to be towed.

5. The participant cannot receive mileage reimbursement and vehicle repairs during the same week. If vehicle repairs are paid, no transportation will be paid.
6. Maximum per participant is \$1,000 per program year.

K. Tools or Equipment

1. The participant must submit proof that the employer or training provider requires the participant to have specific tools or equipment to perform job duties or complete training.
2. The participant must submit documentation from the employer or training institute that the items are required.

L. Employment Related Expenses

1. Employment related expenses include various fees not covered in other categories that are related to education and/or employment, including licensing, bonding, background checks for work-based learning, and application fees.
2. The cost of required identification documents for education or employment is allowed.
3. The cost of a laptop for a participant doing a remote work- based learning activity is allowed.
4. The maximum amount per participant is \$500 per program year.

M. Supported Employment and Training (SET)

1. Supported Employment and Training payments are allowable to provide individuals requiring individualized assistance with the one-to-one instruction and with the support necessary to enable them to complete occupational skill training and/or obtain and retain competitive employment.
2. SET may only be used in training situations that are designed to prepare the participant for continuing non-supported competitive employment. An example of SET use in conjunction with an occupational skills training would be hiring a tutor to assist with classes.
3. SET may be conducted in conjunction with experiential learning activities. An example of SET use in this situation would be the hiring of a job coach to assist an individual who has been placed in competitive employment.
4. The length of a Supported Employment and Training contract may not exceed six months per enrollment.
5. The service provider must have an established rate for the service and charges must be in the same manner and at the same rate as other entities purchasing similar services.
6. Itemized invoice or receipt is required.

Needs Related Payments

A. Overview

1. Needs Related Payments (NRP) are cash payments to WIOA participants for general living expenses to enable them to continue and succeed in the WIOA Program.
2. Needs-related supportive services must be approved by the WIOA Project Director and paid directly to the participant.
3. The maximum for a Need Related Payment per participant is \$500 per program year.

4. NPR's are one of the supportive services authorized by WIOA.
5. Unlike other supportive services, in order to qualify for needs-related payments a participant must be enrolled in training.
6. NRPs are available for the following fund sources:
 - a. Adult,
 - b. Dislocated Worker,
 - c. Out-of-School Youth, and
 - d. In-School Youth.

B. Adult Eligibility

1. Participants enrolled in the Adult program must meet the following criteria to receive needs-related payments:
 - a. Be unemployed,
 - b. Not qualify for, or have ceased qualifying for, unemployment compensation,
 - c. Be enrolled (applied and accepted) in training services under WIOA Title I that has already begun or will begin within 30 calendar days.

C. Dislocated Worker Eligibility

1. Participants enrolled in the Dislocated Worker program must meet the following criteria to receive needs-related payments:
 - a. Be unemployed, and
 - b. Have ceased to qualify for unemployment compensation or Trade Readjustment Allowance, and;
 - c. Be enrolled in a program of training services under WIOA Title I by the end of the 13th week after the most recent layoff that resulted in a determination of the worker's eligibility as a dislocated worker, or, if later, by the end of the 8th week after the worker is informed that a short-term layoff will exceed 6 months; or
 - d. Be unemployed and not qualify for unemployment compensation or Trade Readjustment Allowance (TRA) under TAA and be enrolled (applied and accepted) in training services under WIOA Title I that has already begun or will begin within 30 calendar days.
2. For dislocated workers, payments must not exceed the greater of either of the following levels:

- a. The applicable weekly level of the unemployment compensation benefit, for participants who were eligible for unemployment compensation as a result of the qualifying dislocation; or
- b. The poverty level for an equivalent period, for participants who did not qualify for unemployment compensation as a result of the qualifying layoff.
- c. The weekly payment level must be adjusted to reflect changes in total family income, as determined by Local WDB policies.
- d. At least quarterly, the amount of family income must be reviewed to determine if adjustments must be made in the amount of NRP payments.

D. Youth Eligibility

1. Participants enrolled in the Youth program must meet the following criteria to receive needs-related payments:
 - a. Be unemployed
 - b. Not qualify for, or have ceased qualifying for unemployment compensation.

E. Approval of Support Payments

1. A WIOA Project Director and/or Operations Supervisor in each center will be responsible for reviewing and approving support payment request for WIOA Adults, Dislocated Workers, and Youth to ensure all WIOA requirements have been met, and the request is appropriate and to ensure sufficient funds are available.
2. In the event that any supportive service not previously outlined in this policy is requested or requires more than the allowable maximum amount or cap, as stated in policy a waiver may be submitted to the board Executive Director. In consultation with the appropriate committee chairs and authorization to exceed the maximum will be awarded on a case-by-case basis. Proper justification must be outlined on the waiver. Written justification from the customer is required prior to making the payment.

F. Related Information

N/A

Equal Opportunity Programs/Employer – Auxiliary aids and services available upon request for individuals with disabilities

Ticket to Work Budget



Mississippi Valley Workforce Development Board

Ticket to Work Budget

July 1, 2022 – June 30, 2023

Approved:

Expense	Amount
Support Services	2,000
Center Incentives	5,000
Outreach for Incentives	5,500
Food	2,500
Sponsorships	2,000
Professional Development	3,000
Center Supplies	2,500
General Transportation	2,000
Lee County Project	5,000
Assistive Technology	2,500
Unobligated Funds	10,652.00
Total	42,652

Budget Narrative

Support Services

Bus tokens, hair cut certificates, interview/work clothing, personal supplies, Childcare vouchers, Internet assistance, work ready documents (ID's, birth certificates etc.) and other support services to assist someone to access workforce services or gain employment not available through another workforce program.

Center Incentives

Purchase \$10 x 500 Gift cards to encourage job seekers to visit IowaWORKS services through an Outreach Campaign.

Outreach

Promotion of incentives for centers through radio ads and other media outlets.

Food

To cover the cost of appetizers/food for center events, employer events and board events.

Sponsorships

Sponsorship opportunities with community partners, nonprofits and Chambers.

Professional Development

PD opportunities for center staff to include but not limited to travel, certifications, workshops and other activities.

Center Supplies

Supplies for business events held in the center, promotional items etc.

General Transportation

Provide group or individual transportation options to and from workforce events for those who may not be WIOA participants.

Lee County Pilot Program

Additional costs associated with the project that exceed the approved budget or not allowable under project funding streams.

Assistive Technology

Assistive technology for people with disabilities.

Unobligated Funds

Reserved for matching grant or special requests approved by the executive committee.

Unrestricted Funds Policy



Unrestricted Funds Disbursement Policy

Approved Date:

Effective Date:

A. Purpose

The purpose of this policy is to establish a process and procedures for the MVWA IowaWORKS Center staff to request and utilize unrestricted MVWDB funds for IowaWORKS Centers and participant needs for support services that fall outside of what WIOA dollars can assist with when funding is available and the board has budgeted funds for such expenses.

B. Background

WIOA legislation and connected federal funds are the primary vehicle by which programs and services are offered at our IowaWORKS Centers. As such, there are times when an IowaWORKS Center, participant or customer seeking or utilizing Center services, has a need that falls outside of what is “allowable” under WIOA.

The MVWDB’s non-profit status allows for the collection and disbursement of unrestricted funds to accomplish their mission. To maintain a high level of fiduciary responsibility, and to ensure the effective use of funds to help those participants in need, a process that outlines the ways in which funds can be used as well as a determination process for how those funds can be requested and disbursed is outlined below.

C. Process and Procedure

1. Use of funds must be in line with the mission of the MVWDB and outlined in an approved board budget.
2. IowaWORKS management staff will first confirm that the requested expense can not be covered by any other partner program.
3. IowaWORKS management staff will authorize and submit an Unrestricted Funds Request Form to the Board executive director (Center staff can work with their direct supervisor to submit an Unrestricted Funds Request Form).
4. If the request is reasonable, allowable, and budgeted the board executive director will approve the request and submit the request to the Fiscal Agent for processing.
5. All requests will be backed up with required receipts and other appropriate documentation that will be collected and stored by the MVWDB/Fiscal Agent.
6. Depending on the situation and expense to be incurred a purchase order may be used, charged to the board credit card, check processed by the fiscal agent to a vendor directly, or reimbursed for emergent needs.
7. Payment or cash should never be given directly to participants.
8. The Fiscal Agent will conduct monitoring of the Unrestricted Fund Requests as well as records of disbursement of funds in accordance with the local monitoring policy.

*Inventory Policy

PROPERTY MANAGEMENT AND DISPOSAL PROCESS POLICY

APPROVED:

EFFECTIVE DATE:

PURPOSE

The purpose of this policy is to ensure equipment and property is properly tracked, managed, and disposed of in accordance with CFR § 200.313 – “Equipment” and any other applicable state and federal regulations. The definition of equipment is defined in CFR § 200.1. This policy applies to Mississippi Valley Workforce Development Board, contractors and subrecipients of Workforce Innovation and Opportunity Act (WIOA) funds.

BACKGROUND:

The Uniform Guidance provides fiscal and administrative guidance for the administration of the WIOA program, including specific requirements for purchasing property. The intent is to ensure that purchases of property are approved, performed through fair and open competition, and managed according to proper inventory, maintenance, and disposition procedures.

PURCHASE CONSIDERATIONS

To ensure funds are being spent in a fiscally prudent and efficient manner and to avoid audit findings and potential liability, the following questions should be taken into consideration prior to purchasing equipment:

1. Is the purchase reasonable?
2. Why is this purchase needed?
3. Have the best products been selected?
4. What procurement method will be used?
5. Has a lease option been considered verses purchasing?
6. Does the State already provide the item, service, or software being considered for rent, purchase, or subscription?

COST SHARING INFORMATION

During the time that the property is used on the project or program for which it was acquired, the property must be made available for use on other projects or programs either currently or previously supported by the federal government, provided that the property’s use will not interfere with the work on the projects or program for which it was originally acquired.

Subrecipients must give the first preference for other use to programs or projects supported by the federal awarding agency that financed the property and must give the second preference to programs or projects under federal awards from other federal awarding agencies. Use of the property for non- federally-funded programs or projects is also permissible (Uniform Guidance 200.313[c][2]).

PURCHASING

An approval of a budget plan that includes a request to purchase property DOES NOT constitute approval of the purchase request. A separate request to purchase property must still be submitted and approved by MVWDB prior to purchase when the following conditions are met.

PURCHASE OF \$5,000 OR MORE

To direct charge WIOA funds for any property purchase with a per-unit single cost totaling \$5,000 or more, or the purchase, rent, licensing, maintenance fee, or subscription of information-technology application/software/services with a per-unit or cumulative cost for a twelve-month period the following steps must occur:

1. Subrecipients and contractors must complete a “Request for Approval to Charge WIOA Funds for the Cost of Property” form.
2. Documentation describing item(s) to be purchased, rented, or subscribed to as well as an explanation of functionality, must be submitted with request.
3. If purchasing or subscribing software, submit documentation clarifying how new software will deliver functionality not provided by state or local partners.
4. The completed form must be submitted to MVWDB. Information will be reviewed by MVWDB staff and approved by the MVWDB.
5. If approved by the MVWDB the request will be forwarded to the State for final approval.
6. Once a determination has been received from the State, MVWDB staff will notify the agency requesting approval as to whether the request has been approved or denied. However, there will be no default approval if a response is not provided promptly.
7. If an approval letter is issued, the WIOA funds account may be charged for the purchase. A letter not approving a request for purchase will specify the reason for the disapproval. If the request is not approved and property is charged, the subrecipient/contractor may incur a disallowed cost.
8. Refer to the MVWDB procurement policy for any specific procurement requirements for equipment with an acquisition cost of \$5,000 or more per unit.

PURCHASE BETWEEN \$500 - \$5,000

1. All purchases with a per unit price between \$500 - \$5,000 will need written request from the MVWDB.
2. The purchase request form should be completed and submitted to the MVWDB for approval.
3. The MVWDB will assign a tag number with a tracking code to be adhered to the property once approved.

INVENTORY AND PROPERTY RECORDS

- MVWDB inventory and property with an original purchase price of \$500 or more and a useful life of more than a year must be identified with a tag number, tracking code and added to the inventory listing for inspection during the annual physical inventory check.
- Any MVWDB inventory with an original purchase price of \$500 or less will need to have a “property of MVWDB tag” but will not need to be included on the inventory listing.
 - Exception: For any property that may retain “sensitive or confidential information” on a hard drive or in memory (computers, notebooks, tablets, cameras, cell phones, etc.) is required to follow the same process for property with a unit cost of over \$500.

INVENTORY SYSTEM REQUIREMENTS

PURCHASE OF \$5,000 OR MORE

Accurate inventory records of all property purchased with federal funds with an acquisition cost of \$5,000 or more must be maintained. All property should have a unique identification mark to be used for inventory purposes. The inventory records must include the following information:

1. Tag Number
2. Description of the property
3. Manufacturer's serial number, model number, or other identification number
4. Source of funding for the property (including the Federal Award Identification Number)
5. Title holder
6. Acquisition date
7. Cost of the property
8. Percentage of federal participation in the project costs for the federal award under which the property was acquired
9. Location, use and condition of the property
10. Ultimate disposition data including the date of disposal and the sale price (Uniform Guidance Section 200.313[d])

PURCHASE BETWEEN \$500 - \$5,000

Accurate inventory records of all property purchased with federal funds with an acquisition cost between \$500 - \$5,000 must be maintained. All property should have a unique identification mark to be used for inventory purposes. The inventory records must include the following information:

1. Tag Number
2. Description of the property
3. Manufacturer's serial number, model number, or other identification number
4. Acquisition date
5. Cost of the property
6. Location, use and condition of the property

RECORD RETENTION REQUIREMENTS

Purchase records for all property should include:

1. Order information
2. Prior Approval for Items over \$5,000 (if applicable)
3. Copy of the invoice
4. Packing slip or receiving paperwork
5. Any transfer or certificate of disposition

ANNUAL INVENTORY CHECK

The MVWDB staff will perform, reconcile, and document a physical inventory check once a year to be conducted along with the financial monitoring or during the last quarter of the fiscal year (April-June). Any items that cannot be accounted for must be reconciled with a memorandum for record and, if necessary, an internal investigation may be conducted for unaccountable items.

DISPOSITION OF PROPERTY

CURRENT PER UNIT FAIR MARKET VALUE IN EXCESS OF \$5,000

Before disposal of property purchased with federal funds the subrecipient/contractor must

complete a Disposal Form and submit to the MVWDB for approval. The MVWDB will follow Iowa Workforce Development policies for disposal of property. If equipment with a per unit fair market value of \$5,000 or more, or an inventory of unused supplies with a total aggregate fair market value of \$5,000 or more, is no longer needed for the original project or program, the property may be used for other activities currently or previously supported by DOL. If the property is not needed for the original program/project or other DOL supported activities, the property may either be retained or sold and the MVWDB reimbursed for the WIOA federal funds' share (Uniform Guidance Section 200.313-200.314).

The amount of reimbursement is computed by applying the percentage of WIOA federal funds used to purchase these items to the current "fair market" value of the property. If only WIOA federal funds were used, then use 100 percent of the calculation. Subrecipients may deduct and retain from the WIOA share \$500 or 10 percent of the proceeds of the sale, whichever is less, for the subrecipient's/contractors selling and handling expenses. The balance of funds must be submitted within 30 days. The name of the entity, subgrant number, year of appropriation, and the funding stream must be provided when submitting the funds.

CURRENT PER-UNIT FAIR MARKET VALUE OF LESS THAN \$5,000

Before disposal of property purchased with federal funds the subrecipient/contractor must complete a Disposal Form and submit to the MVWDB for approval. Inventory or property that may retain "sensitive or confidential information" on a hard drive or in memory (computers, notebooks, tablets, cameras, cell phones, etc.) with a cost of \$100.00 or more will require the completion of the Disposal Form and copy of a certificate of disposal. All property should be disposed of through a certified electronic disposal company.

*Procurement Policy

PROCUREMENT POLICY

APPROVED DATE:

EFFECTIVE DATE:

PURPOSE

The following policies and procedures have been developed to assist in procuring goods and services under current legislative rules and regulations relating to Workforce Innovation and Opportunity Act (WIOA). The procedures and directions that are outlined in the following pages are intended to provide the Mississippi Valley Workforce Development Board (MVWDB), contractors and subrecipients with guidance in determining the appropriate method of procurement to be used as well as procedures to follow in different procurement situations in order to be in compliance with all Federal and State laws, rules and regulations.

BACKGROUND

WIOA Sec. 184(a)(3)(A) requires each State (including the Governor of the State), local area (including the Chief Elected Official for the area), and provider receiving funds under this title, to comply with the appropriate uniform administrative requirements for grants and agreements applicable for the type of entity receiving the funds, as promulgated in circulars or rules of the Office of Management and Budget (OMB). OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, Final Rule Title 2 of the Code of Federal Regulations; 2 CFR 200,

STATEMENT OF PHILOSOPHY

All procurement activities shall allow for open and free competition among potential vendors for services. Awards for contracts are made to vendors who can provide services that are the most advantageous to MVWDB regarding service, price and other specific factors. Additionally, the activities that occur during procurement procedures shall ensure for the open and competitive procurement of WIOA agreements.

GENERAL PROCUREMENT REQUIREMENTS

1. Procedures are in place to ensure that unnecessary or duplicative items or services are not purchased, to ensure that conflict of interest has been avoided, and to ensure that positive efforts have been made to utilize small business and minority-owned business sources for procurement.
2. All non-expendable property with a per unit purchase price of \$5,000 or more requires written approval from Iowa Workforce Development (IWD).
3. All potential providers and vendors, who have expressed interest in being considered for contracts, will be placed on the bidders list and sent solicitations for the areas of service for which they wish to be considered when such awards are due to be made.
4. When possible, attempts will be made to procure with minority firms by placing all qualified small and minority businesses and women's business enterprises on the potential vendors list. Contractors will also be encouraged to take these affirmative steps.
5. The procurement system for the selection of service providers will take into consideration the providers ability to meet contract objectives) as well as other criteria as determined

locally by the MVWDB. Examples of how the ability to meet the procurement objectives can be demonstrated include, but are not limited to:

- a. financial resources, technical qualifications, experience, organization and facilities adequate to carry out the project
 - b. resources to meet the completion schedule contained in the contract
 - c. a satisfactory performance record for completion of contracts
 - d. cost analysis of proposed budget -accounting and auditing procedures adequate to control property, funds and assets
6. The competitive procurement process for the selection of service providers and One Stop Operators will occur every 4 years.
 7. Procurement is valid for one calendar year from date of procurement for items or services of the same type.
 8. The MVWDB will also ensure that any entity is not debarred, suspended, or otherwise excluded from or ineligible to participate in Federal assistance programs or activities.
 9. Information about the selection of contractors will be made available to the public on a regular basis through electronic means and open meetings, in accordance with the Sunshine Provision.
 10. All negotiations of the contract for or with potential contractors/service providers must be arm's length negotiations. The definition of an arm's length negotiation is a negotiation where the parties to the negotiation have equal bargaining power and symmetric information, leading to agreement upon fair market terms.

EQUITABLE PRINCIPLES

Procurement procedures will not restrict or eliminate competition. Activities that may be considered to be restrictive of competition include, but are not limited to:

1. Placing unreasonable requirements on firms in order for them to qualify to do business.
2. Requiring unnecessary experience and excessive bonding.
3. Non-competitive pricing practices between firms or between affiliated companies.
4. Non-competitive contracts to consultants that are on retainer contracts.
5. Organizational conflicts of interest.
6. Specifying only a "brand name" product instead of allowing "an equal" product to be offered and describing the performance or other relevant requirements of the procurement.
7. Any arbitrary action in the procurement process.

PROCUREMENT ANALYSIS

The following questions should be taken into consideration when determining whether a procurement is necessary and the type of procurement to be used:

1. Recognize and identify needs
2. What are the requested goods or services?
3. Can the good or service be purchased through an existing contract?
4. What is the approximate dollar value of the required good or service?
5. Is there an established budget for the procurement?
6. What is the timeline for this purchase and is it realistic?
7. Will this be a one-time purchase or recurring? If recurring, how often?

8. Will it be necessary to write specifications?
9. What are the potential risks with this purchase?
10. What method of solicitation is best for this type of purchase?

METHODS OF PROCUREMENT (2 CFR 200.320).

MVWDB shall use one of the following methods of procurement, depending upon the nature of the goods and services to be secured, and the terms and conditions contained within this policy.

- Micro Purchases.
- Small Purchases - Request for Quotes
- Sealed Bids
- Request for Proposals
- Noncompetitive Procurement - Sole Source

Each method of procurement has listed below it a threshold. That threshold indicates the price range of goods and/or services to be purchased for which that method of procurement is allowed to be used, and at what amount or range that method of procurement must be used. MVWDB shall have the sole discretion to choose whatever procurement method is applicable within these guidelines.

Type of Procurement	Under 3,500	3,500 – 50,000	Over 50,000
Micro Purchase	X		
Request for Quote	X	X	
Sealed Bids	X	X	X
Request for Proposals	X	X	X

MICRO PURCHASES

Micro Purchase procedures are simple and informal procurement methods to procure goods and services which do not exceed \$3,500 in the aggregate with a single vendor during a fiscal year. Micro purchases may be awarded without soliciting quotes for acquisitions of supplies or services when:

- The price of the good or service is considered reasonable; and
- To the extent practical, micro-purchases are distributed equitably among qualified suppliers.

The MVWDB may elect to use another method of procurement for purchases of under \$3,500 and if it does shall adhere to the requirements pursuant to that method selected.

SMALL PURCHASE - REQUEST FOR QUOTES

Threshold: Required for Purchases of \$3,500 - \$50,000.00. For purchases where price is the overriding factor and which involve standardized products or services and where the aggregate acquisition costs are greater than the micro-purchase threshold (\$3,500) but do not exceed the small purchase threshold (\$50,000.00). Or services where price is not the overriding factor but are relatively simple and straight forward purchases the MVWDB may use relatively simple and informal procurement methods by obtaining price or rate quotations from an adequate number of qualified sources but not less than three sources, if three sources are available.

SEALED BIDS

An option for purchases of \$50,000.00 and above is a Request for Bid (RFB). A RFB is always a publicly-advertised, formal solicitation. The RFB includes well-defined specifications and/or a scope of work, including all contractual terms and. Bids for the goods or services must be received by a set date, time and place, where they may be publicly opened. The RFB award is made to the lowest responsible bidder.

“Responsible Bidder” means a vendor that has the capability in all respects to perform the contract requirements. In determining whether a vendor is a responsible bidder, the board may consider various factors including, but not limited to, the vendor’s competence and qualification for the type of services required, the vendor’s integrity and reliability, the past performance of the vendor relative to the quality of the good or service, the past experience of the department in relation to the good or service, the relative quality of the good or service, the proposed terms of delivery, and the best interest of the board.

Procurement by sealed bids is most appropriate when there is relatively no difference between the good or service offered by one vendor from that offered by another. Procurement by sealed bids is not appropriate when the procurement decision will be based on more than price (i.e., quality of the good or service).

REQUEST FOR PROPOSALS

A Request for Proposal (RFP) is always a publicly-advertised, formal solicitation. and are used when it is not appropriate to use sealed bids and the amount of the contract is over \$50,000. This occurs when other factors in addition to price influence the award decision.

The RFP includes well-defined specifications and/or scope of work and contains all contractual terms and conditions. The RFP solicits two parts to a proposal -- technical and cost -- from prospective vendors. After an evaluation of all proposals submitted, a contract is awarded to the provider who submits the proposal most advantageous to MVWDB. The MVWDB shall use Request for Proposals when the conditions are not appropriate for the use of competitive sealed bidding, micro-purchases, small purchases, or non-competitive proposals. The technique of competitive proposals is normally conducted with more than one source submitting an offer, a contract is awarded, and the following conditions are met:

- The complex and technical nature of the procurement cannot be described in bid specifications; and
- It is logical to award a contract on factors other than price.
- You anticipate that a good or service expected to cost less than \$50,000 will need to be procured again from the same vendor during the same fiscal year and the aggregate amount of procurements is expected to exceed \$50,000.

Solicitations for goods and services (requests for proposals or RFPs) should provide for all of the following:

1. Requirements which the bidder/offer must fulfill and all other factors to be used in evaluating bids or proposals.
2. Funding level range or an up to amount must be provided in the RFP that ensures the responsibilities in the Statement of Work can be performed.
3. Requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards. (45 CFR Part 75.328(c)(1))

4. The specific features of "brand name or equal" descriptions that bidders are required to meet when appropriate. (45 CFR Part 75.328(c)(1))
5. A description of the format, if any, in which proposals must be submitted, including the name of the person to whom proposals should be sent.
6. The date by which proposals are due.
7. Required delivery or performance dates/schedules.
8. The release of an RFP for services does not obligate the MVWDB to accept any or all proposals. The MVWDB shall be held harmless of any action resulting from any decision not to accept any or all proposals.

Proposal Process and Evaluation Review

1. The MVWDB will meet and select a small committee of at least three Board members, committee members, CEOs or board advisors to oversee the RFP process.
2. RFP will be open for a minimum of 20 business days and posted on the board website, other outlets, and distributed to bidder's list when applicable.
3. A pre-set time period will be available for written questions, and answers will be posted to the board website.
4. MVWDB staff will perform a review of each proposal prior to them being distributed to the RFP committee to confirm the proposal is complete and meets all the submission guidelines stated in the RFP and provide an abstract to the committee.
5. Proposals that are incomplete or fail to meet all submission guidelines stated in the RFP will be rejected.
6. Proposals will be evaluated by the RFP committee and a recommendation will be made to the MVWDB or designated committee for award.
7. The MVWDB or designated committee will vote on the RFP committee recommendation at a meeting, and reserves the right to either accept, reject or make changes to the committee's recommendation.
8. Upon the MVWDB decision all bidders will be notified of the awardee.
9. Bidders may request, in writing, feedback on the proposal submitted after the funding awards are determined.

BIDDER CONFERENCE/ Q&A SESSION

1. A conference for potential bidders may be held after the RFP/RFB becomes publicly available.
2. To maintain fair and open competition, the answers to questions that arise from the bidders' conference shall be provided to all entities on the bidders' list and all entities that have requested an RFP/RFB.
3. Amendments will be accepted if submitted within the time frames of the original solicitation requirement.

BEST AND FINAL OFFER (BAFO)

MVWDB may take this optional step at the completion of the evaluation process of a RFB or RFP. A BAFO process might be appropriate under one of the following circumstances:

1. The bids submitted by all vendors are over the budget or considerably higher than anticipated.
2. A submitted proposal/bid has a significant lower cost than all other proposals under consideration, yet it does not have the overall highest score.

3. The scores of two or more vendors (RFP) are very close.

BAFO Process and Procedures

1. The evaluation committee shall decide if the BAFO option is appropriate and will determine who of the bidders/respondents will receive an invitation to submit a BAFO (all bidders/respondents may be invited). However, the agency should only invite bidders/respondents who could potentially receive the award.
2. The content of the BAFO solicitation may request additional information regarding important specifications such as levels of support, contract terms, implementation schedules, and/or costs.
3. The BAFO solicitation CANNOT contain any material modifications to the initial solicitation or the evaluation criteria.
4. The BAFO solicitation will follow the same requirements and process as an original solicitation: sealed bids/proposals, specific timeframes, etc.
5. Bidders/respondents who receive a BAFO solicitation are not required to submit a BAFO or they may simply respond with a written statement that their response remains as originally submitted. The following is the scoring process for the BAFO:
 - a. There should be no changes to the evaluation committee.
 - b. Scoring sheets should be based upon the additional information requested in the BAFO, and used by the evaluation committee
 - c. Dependent upon the additional information requested in the BAFO, there may or may not be an independent scoring from the initial solicitation scoring.

NONCOMPETITIVE PROCUREMENT

Noncompetitive procurement refers to “sole source procurement.” A true sole source procurement involves a situation in which the MVWDB can reasonably demonstrate that there is only one entity truly qualified to fulfill the provision of goods and/or services. Noncompetitive procurement or sole source procurement is to be distinguished from a method of competitive procurement that solicits bids, quotes, and/or proposals from multiple sources, but in the end, only one entity responds to the same.

The MVWDB may use noncompetitive procurement methods only when the award of a contract is infeasible under the micro-purchasing threshold, small purchase procedure, competitive sealed bidding or competitive proposals, and one of the following conditions applies:

1. The item is available only from a sole source. This type of noncompetitive proposal means only one source exists for the goods or services being procured: an example being the procurement of proprietary products. Business justification or long-term relationships with a particular contractor does not constitute justification as sole source procurement. Sole source procurements do not require prior approval.
2. The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation. This type of noncompetitive procurement is mainly reserved for emergencies caused by natural disasters.
3. The federal awarding agency or IWD authorizes noncompetitive procurements.
4. The purchases are for equipment or services where the prices are established by law for technical equipment requiring standardization and interchangeability of parts with existing equipment.

Noncompetitive proposals require the mutual discussion and arrangement of terms of a transaction or agreement for the purpose of arriving at a common understanding of contract

essentials such as technical requirements, schedules, prices, and terms. For any noncompetitive proposal in excess of the small purchase threshold, written documentation must be included in the records to show why a noncompetitive proposal was used instead of competitive bidding. Such justification must include the following items:

1. Copies of the public advertisements;
2. Proof of the announcement medium used (newspaper, social media)
3. Documentation showing how long the announcement was posted
4. A list of providers contacted
5. Copies of all letters received from prospective bidders or respondents, including those indicating a bidder's lack of interest in competing for the contract
6. The date and amount of the procurement; and.
7. The name of the entity to which the sole source is to be awarded
8. Any other materials which would justify the agency's use of noncompetitive procurement methods; and
9. Documentation showing that the entity has the capacity and ability to perform the functions required to provide career services and/or youth workforce investment activities

SOLE SOURCE FOR WIOA PROVIDERS

Sole source must only be pursued after a minimum of two attempts to competitively procure, including one attempt that combines the procurement of the Adult and Dislocated Worker service provider with the selection of the one-stop operator. Sole source selection of a service provider can only be completed under the criteria outlined in WIOA.

Should the MVWDB request to use sole source procurement for service providers it will submit a formal request to IWD electronically. The request will include justification that all other options were exhausted and identify the reason for sole source. Also, identify the timeline and the activities performed prior to the sole source request, and certify that all appropriate measures consistent with the WIOA and this policy have been taken.

REJECTION OF BIDS OR PROPOSALS

A bid/proposal response which fails to provide the required forms or which does not comply to the specifications, terms and conditions of the RFB or RFP may be considered as non-responsive and rejected. Unless stated otherwise in the solicitation documents, submissions that include an alternate bid/proposal are unresponsive and subject to disqualification.

CANCELLATION OF A SOLICITATION

The MVWDB may cancel a solicitation at any time during the procurement process prior to signing a contract if the requirement stated in the solicitation no longer exists, funds are lacking, the board decides not to proceed with the solicitation, or for any other reason.

PROCUREMENT RECORDS.

The MVWDB must develop and maintain a record/file of each relevant procurement sufficient to detail the significant history of the procurement and support the procurement decisions made. The record should include the following information as appropriate for the type of procurement performed:

1. A description of the item(s) being procured;

2. Evidence of MVWDB involvement in the decision-making and planning process.
3. A copy of the solicitation package (e.g., RFP/RFQ/RFB).
4. A copy of the public notification.
5. Bidders' list to which notices were mailed.
6. Agenda and minutes of the bidders' conference, if a conference is conducted.
7. A copy of each question asked, and the answer issued,
8. Log sheet of bid proposals received, including the date and time.
9. A copy of each bid which was received.
10. The results of all technical reviews and evaluations for all proposals received; and,
11. Rating and scoring sheets completed during the evaluation process.
12. Documentation supporting that bids were publicly opened at the time and place stated in the invitation for bids.
13. Documentation of the rationale for selection and funding of any offeror which did not receive the highest score/ranking in the evaluation process.
14. Evidence of MVWDB approval of the procurement.
15. The name of the selected vendor or provider, the amount of the procurement; and the delivery date of the good or service.
16. A copy of any submitted grievance(s) and the resolution of each.
17. Risk analysis determinations and special award/contract conditions, if appropriate.

TYPES OF CONTRACTS

COST REIMBURSABLE CONTRACTS

4. MVWDB may use a cost reimbursable contract for any form of procurement. In this type of contract, reimbursements are made to the contractor for actual expenses incurred in the provision of goods/services. Under cost reimbursable contracts, the primary risk in achieving a reasonable relationship between expenditures and results fall to the MVWDB in negotiating line costs.
5. This type of contract is required for procurement transactions between units of state or local governments and any other entity organized principally as the administrative entity for the local workforce development board.
6. Each contract must contain a detailed line-item budget specifying the expense items and estimated amounts for all costs. All costs in the approved budget must be allowable and properly allocated among the cost categories that will benefit. The contract must fully describe the services to be delivered and the invoicing and payment and procedures including signatory authority for the submission of invoices. Any provisions of flexibility in expenditures among the specific line items must also be described in the contract.

COST REIMBURSABLE CONTRACTS WITH PROFIT

A cost reimbursable contract may include a profit element when an incentive is appropriate to induce a private for-profit contractor/service provider to provide WIOA training or services.

FIXED PRICE CONTRACTS

7. The use of a fixed price contract is limited to specific circumstances in which a contractor/service provider agrees to deliver specified WIOA services at a negotiated price. These situations might include such services as eligibility determination assessment or case

management with a detailed work statement, with a unit price established for each deliverable, e.g., number of enrollments, number of assessments, etc.

8. This type of contract differs from a fixed unit price, performance-based contract only to the extent that it provides for delivery of a specific service, regardless of participant outcomes. Requirements for establishing and paying the fixed price are the same, except that payment conditions must be based on the delivery of measurable units of service, rather than on participant outcomes.

HYBRID CONTRACTS (COST REIMBURSABLE WITH FIXED PRICE ELEMENT)

Hybrid contracts incorporate a combination of cost-reimbursement and fixed price characteristics. In these contracts, some cost items will be separately identified to be reimbursed on actual costs incurred and other cost items will be units identified as a fixed price.

These contracts must be negotiated and executed on the basis of detailed line-item budget in which the cost items to be reimbursed are separately identified from the fixed price element(s). The requirements applicable to the cost reimbursable and fixed price contracts will apply to each separately identified set of expenses.

FIXED UNIT PRICE/PERFORMANCE BASED CONTRACTS

1. Fixed unit price/performance-based contracts are allowable for employment and training services as an incentive for contractors to perform efficiently and achieve high levels of participant outcomes.
2. The following requirements apply in establishing a fixed unit price and the condition for payments:
 - a. A cost analysis of all cost elements, i.e., line-item costs, must be conducted and documented, and reasonableness of the unit price determined,
 - b. The fixed unit price must be allocated to benefitting cost categories based on the ratios established in the cost price analysis,
 - c. The offeror must certify in writing that cost data are accurate, complete and current at the time of agreement on price. The awarding agency must retain the right to a price adjustment if it is discovered that the subrecipient knowingly submitted data that were not accurate, complete and current,
 - d. Payment conditions must include measurable participant outcomes (e.g., quantifiable levels of skill attainment, placement in training-related position, a placement wage requirement, job retention).

GENERAL CONTRACT PROVISIONS FOR ALL CONTRACTS

1. Except for small purchases for which a purchase order is appropriate, the MVWDB must award a bilaterally executed contract which includes at a minimum:
 - a. the fixed price and/or estimated costs,
 - b. a description of the scope and extent of work performed or specification of the goods/services to be provided and
 - c. the period of performance
 - d. the MVWDB contracts will contain the applicable provisions described in Appendix II to Part 200 – “Contract Provisions for non-Federal Entity Contracts Under Federal Awards”.

RIGHT TO FILE A GRIEVANCE

Any organization making application under an RFP has the right to file a grievance related to the RFP process within five (5) working days of the award announcement. All grievances must be made in writing and must fully identify any contested issues and/or policy or procedural violations. Subjective interpretations by evaluators are not subject to protest or grievance.

A bidder may file a grievance in writing, with the MVWDB Executive Director, who will then have ten (10) days in which to reach an informal written resolution of the grievance. Should the grievance not be resolved within ten (10) days, the bidder may submit in writing a protest to the MVWDB Executive Committee. The Executive Committee will then have twenty (20) days to reach a formal written decision.

A hearing is not a right under this MVWDB grievance policy. No further appeals will be allowed. This does not prohibit the bidder from seeking other resolutions in addition to those allowed by the Mississippi Valley Workforce Area. Any further resolutions taken by the bidder outside of this policy will be handled by the CEOs of the MVWA.

STANDARDS OF CONDUCT

Any officer, employee or agent of the MVWDB who is either:
engaged in negotiations with a potential contractor.

has arrangements concerning prospective employment with a potential contractor; or,
has a financial interest in a potential contractor may not participate in the review, award of administration of a contract for a potential contractor. Such relationships constitute a Conflict of Interest. This prohibition also extends to:

an immediate family member of any officer, employer or agent of the grantee/sub grantee.
a partner or organization who employs any officer, employee or agent of the grantee/sub grantee.
Additionally:

No MVWDB member shall participate in the selection or in the awarding of a contract if a conflict of interest is involved. This provision does not prohibit a community-based organization, educational agency, employer, or other service provider represented by a MVWDB member from receiving a contract for the provision of training and/or services to participants.

However, when such a conflict of interest arises, LWDB members must abstain from voting on the award and disclose all financial/non-financial information of the contractor.

No employee, officer or agent of the MVWDB shall participate in the selection, in the awarding, or administration of a contract if a conflict of interest exists.

No contract will be awarded to any MVWDB member or entity with which he/she is affiliated which results in direct personal gain to that MVWDB member.

MVWDBB officers, employees or agents shall neither solicit nor accept gratuities, favors, or anything of monetary value from service providers, potential service providers (i.e., persons who perform services of type contracted for), or parties to grants.

CONFIDENTIALITY AND NON-DISCLOSURE

Information will not be disclosed to anyone who is not directly involved in the procurement process relating to the intent to implement a procurement, the amount of funds available, or any related data, until that information is made known to all bidders through a notification of the intent to solicit or dissemination of a Request for Proposal (RFP) or Request for Quote (RFQ).

Technical and cost/price information from any proposal must not be disclosed to anyone not officially involved in the procurement process while the procurement is still in progress.

Certain technical or proposal information that a bidder has designated as proprietary or trade

secret, and with which MVWDB concurs, must not be disclosed to other bidders, even after the award is made and publicized. The number or names of bidders will not be disclosed to anyone not officially involved in the procurement process until the contract is awarded and the decision is made public.

Equal Opportunity Programs/Employer

Auxiliary aids and services are available upon request for individuals with disabilities