



Mississippi Valley Workforce Development Board

Executive Committee Agenda

Tuesday, July 11, 2023, at 4:00 p.m.

Join Zoom Meeting

<https://us02web.zoom.us/j/89552429623?pwd=MC9UZkI1ZHdPdTVwRUQyS1RZbTF1dz09>

Meeting ID: 895 5242 9623 Passcode: 892172

One tap mobile: 16469313860,,89552429623#

Called to Order Dennis Duke

Roll Call

*Consent Agenda Dennis Duke

Excused Absences

Approval of Agenda

Approval of Previous Minutes

Financials

Standing Committee Reports

Youth Committee Report (Page 8) Jacob Nye
Operations Committee Report (Page 10) Matthew Nicol
Business Committee Report (Page 12) Mandy Parchert
Finance Committee Report (Page 14) Ryan Drew

New Business

*Q3 OSO KPI Report (Page 16) Nick Clayton
*PY23 Budgets (Page 21) Miranda Swafford
*PY23 Goals (Page 28) Mandy Tripp
*Revised Procurement Policy (Page 30) Miranda Swafford
*Revised Support Services Policy (Page 43) Miranda Swafford
*Revised Retrain & Retain Policy (Page 52) Mandy Parchert
*Contract Management and Authorization Policy (Page 64) Miranda Swafford
*Subaward Closeout Policy (Page 68) Miranda Swafford

Other Business

Public Comment

Adjourn Dennis Duke

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

Accommodations

Accommodation is available upon request for individuals with disabilities. If you need accommodation, please contact Mandy Tripp at mandy@mississippivalleyworkforce.org or at 1-844-967-5365 option 3.



Mississippi Valley Workforce Development Board

Executive Committee Meeting Minutes

Tuesday, June 6, 2023, at 4:00 p.m.

Members Present: Dennis Duke, Lori Bassow, Jacob Nye, Mathew Nicol, Mandy Parchert, and Cindy Whalen

Members Absent: Kirby Phillips

CEOs Present: Jim Irwin

Staff Present: Miranda Swafford, Executive Director, Andrea Taylor, Associate Director and Mandy Tripp, Executive Assistant

CALLED TO ORDER

Duke called the meeting to order at 4:03 p.m.

QUORUM

The committee had a quorum to conduct business.

EXCUSED ABSENCES

Nye made a motion to excuse Phillips's absence, seconded by Whalen, and the motion was carried.

APPROVAL OF AGENDA

Nye made a motion to accept the updated agenda as presented, seconded by Parchert, and the motion was carried.

APPROVAL OF MINUTES

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

NEW BUSINESS

***NEW STAFFING STRUCTURE**

Duke advised Swafford has proposed a new staffing structure to hire additional staff. Duke discussed the benefits of adding an additional staff member as well as the concern of burning out the current staff with the workload. Swafford gave further information on the task list for the PY23 as well as the sector boards being brought under IWD and being given to the local boards to help facilitate. Parchert added from a sector board chairperson perspective that extra support could be critical to our local area. Nye and Nicol also expressed their support. Irwin stated the

CEOs are also supportive of adding additional staff. Parchert made a motion to approve the new proposed staffing structure, seconded by Nye, and the motion was carried.

***EMPLOYEE ANNUAL SALARY REVIEWS**

Duke presented annual raise increases for all board staff. Nye made a motion to approve the raises as presented, seconded by Bassow and the motion carried.

***BOARD MEMBER REVIEW**

Taylor presented information on Board Member Quigley’s attendance and the bylaws that govern attendance. Duke and Swafford both advised this was highly unusual for Quigley but had not had any response to attempts to contact him. Irwin contacted Quigley during the meeting, and he advised he is busy with a lot of other things and is fine not being reappointed to the board. Nye made a motion to send a recommendation for removal to the CEOs, seconded by Nicol, and the motion carried.

***SUPPORT SERVICES MODIFICATION**

Duke advised this topic was tabled at the last meeting; the additional information was reviewed. No one supports the lowering of the mileage rate. Bassow suggested cutting other parts out but leaving the mileage rate. Nye made a motion to keep the mileage rate at the federal rate of reimbursement, seconded by Parchert and the motion carried.

***ANNUAL INVENTORY REPORT**

Tripp advised she met with both Operations Managers on March 23, 2023, and May 16, 2023, and conducted a physical inventory of all items over \$500 per the policy. Tripp advised we now use Sortly to put a QR code on all properties over \$500 as well as an MVWDB property tag. Tripp advised we are waiting for a memo for 3 ThinkPads that have not been returned. Otherwise, all property that was not on loan was physically verified. Nye made a motion to approve the annual inventory, seconded by Nicol, and the motion carried.

PY23 BUDGET PRIORITIES

Swafford advised due to time constraints and not having budget allocations from the State yet, she will email the document out and it will be addressed in all committee meetings. The PY23 Budget will be a voting item on the July Executive Committee meeting agenda.

SOCIAL MEDIA UPDATE

Tripp provided an update on the social media plan and that we are working with the State to get access to HootSuite and our team training locally starting at the end of the month. Tripp stated she is working with the One-Stop Operator to do the training together in person.

ROTARY GRANT UPDATE

Tripp advised the board was awarded the North Scott Rotary grant on 5/16/23 an email was sent by the Rotary advising they would be awarding \$5000, there was a miscommunication identified by the Rotary on 5/31/23 advising they were able to fund \$2500 of the original grant request of

\$5000. The money will be used to enhance the Accelerate Iowa youth space, provide food when there are youth present testing or doing workshops, clothing options for men for interviews and a hygiene closet that could be used by anyone who needs it that comes into the center.

YOUTH PERFORMANCE

Item was tabled due to running over on time.

COMMITTEE REPORTS

FINANCE COMMITTEE

Swafford advised the invoices look good and that we are finally making a dent in the youth carry-over funds. There was nothing of concern.

OTHER BUSINESS

There was no other business.

PUBLIC COMMENT

There was no public comment.

ADJOURN

Parchert made a motion to adjourn, seconded by Nicol, the motion carried, and Duke adjourned the meeting at 5:03 p.m.

Financial Report

WIOA Financial Report
Expenditures Through 5/31/2023 (Approximately 91.66 through Program Year)

Stream	Expended	% of Total		Funds That End		
		Available	Spent	Total Available	Remaining Balance 6/30/2023	
Admin	\$293,558.16	59.52%		493,239.02	\$199,680.86	\$167,124.02
Adult	\$857,692.74	71.10%		1,206,299.97	\$348,607.23	\$212,751.97
Dislocated Worker	\$658,492.94	77.32%		851,657.99	\$193,165.05	\$180,288.99
Youth	\$1,375,680.21	71.31%		1,929,200.47	\$553,520.26	\$659,066.47
Nat. DW Grant	\$50,984.75	21.77%		234,163.40	\$183,178.65	\$234,163.40
Total	\$3,236,408.80			4,714,560.85	\$1,478,152.05	\$1,453,394.85

Equus Program Expenditure Updates through 5/31/2023

Adult	Budgeted	% of Total	Actual to Date	% of Total Spent
Total P&O	558,632.02	54.07%	\$ 406,910.14	54.48%
Total Participant	474,445.46	45.93%	\$ 340,054.94	45.52%
Total	\$ 1,033,077.48	100.00%	\$ 746,965.08	100.00%

Unrestricted Funding	
Expended	Total Available
5,544.30	43397.4

DW	Budgeted	% of Total	Actual to Date	% of Total Spent
Total P&O	439,513.28	64.78%	\$ 348,136.49	63.48%
Total Participant	238,922.21	35.22%	\$ 200,254.30	36.52%
Total	\$ 678,435.49	100.00%	\$ 548,390.79	100.00%

Youth	Budgeted	% of Total	Actual to Date	% of Total Spent
Total P&O	1180830.72	66.36%	\$ 962,922.93	83.13%
Total Participant	598547.16	33.64%	\$ 195,378.84	16.87%
Total	\$1,779,377.88	100.00%	\$ 1,158,301.77	100.00%

WEP	Required to Date	Actual	% Met	% Required	
	\$275,136.04	\$ 216,091.15	15.71%		<i>Note: PY21 carryover funding 20% work experience 20% requirement has been met</i>

Youth Committee Report



Mississippi Valley Workforce Development Board

Youth Committee Report **Prepared for July 11, 2023 – Executive Committee Meeting**

Items of Discussion

- PY23 goals were presented and the group as a whole believed in quality over quantity in regard to the enrollment goal.
- Nye would like to see more apprenticeships added in any/all sectors.
- Nye and Ruberg were reelected to remain chair and co-chair of the youth committee.

Equus Report (May)

- 7 OSY enrolled in May and 5 ISY. entered into Occupational Skills Training.
- 36 Stipends were paid, and 20 incentives were paid out.
- Outcomes were 1 CNA, 3 High School Diplomas, 4 measurable skill gains, 1 CDL, 2 ISY OJTs, and 2 unsubsidized employments.
- VR headsets had 1 unique user.

Operations Committee Report



Mississippi Valley Workforce Development Board

Operations Committee Meeting Report Prepared for July 11, 2023 Executive Committee Meeting

Committee Highlights

- PY23 Goals were voted on as written but left flexibility to hold sector events quarterly that may better suit a specific industry based on the time of year.
- Matthew Nicol was re-elected as Chairman of the Committee and Phillips was voted as vice-chair.
- Social Media Style Guide was presented to the committee and was also reviewed by IWD.
-

One-Stop Operator Report Review

- Burlington averaged 25 visitors per day in May Davenport had an average of 53 visitors per day in May.
- Facebook's total reach in Davenport was 6,787 in May. Burlington's Facebook total reach was 7,170 in May. Discussion on the decline was likely due to the switchover to Facebook Meta that was mandatory.
- Customer satisfaction was 82% but only 17 surveys were completed in May.

Adult/DW/RR Report

- May had 3 Enrollments in Adult, 0 in Dislocated Worker, and 0 NDWG.
- 2 participants entered into 4 WBL.
- Rapid response for Lutheran Service in Iowa (64 Workers Impacted), Durham busing, and David's Bridal.
- Legacy in Action reports a 93.96% customer satisfaction rate.
- Current challenge is selling services at a low unemployment rate.

Title III Review

- Burlington office served 244 distinct users in May with Davenport serving 402.
- There were 107 Title III enrollments in May for Burlington and 183 for Davenport.

Business Services Committee Report



Mississippi Valley Workforce Development Board

Business Committee Report

Prepared for July 11, 2023 – Executive Committee Meeting

- Black Cat Blades application scored 19/20 and the full grant amount of \$5820 was approved.
- Retrain and Retain Policy Revisions – The request is to remove the deadlines from the policy until funds are spent, wording changes to reflect the use of the interest form, and that the application is the contract. Request to adjust the budget to \$25,000 for Program Year 2023 knowing we will have \$38,000 in carry-over grant funds.
- Parchert was re-elected as the Chairman of the committee and Caves as the vice chair.
- The committee had a mini LMI demo from Mandy Tripp.
- Reviewed overview of the business services strategic plan and how the meeting went with the business services teams when this was discussed and worked on as a group. This will be reviewed at each quarterly meeting.

Finance Committee Report

Finance Committee Report

Prepared July 11, 2023

Financial Updates:

CEOs approved the Fiscal Agent budget for \$59,956.

Invoices Approved:

- Adult \$67,667.55
- DW \$44,393.56
- Youth \$127,459.01
- NDWG \$7,126.96
- OSO \$9,793.54
- Fiscal Agent \$4656 for 41 hours.

*Q3 OSO KPI Report

Reason - Quarterly performance must be evaluated by the executive committee to determine whether performance is being met in each indicator.

Documents Included - KPI Report Q3

Action Requested - The committee needs to determine if each indicator is met and if not what additional action needs to be taken for that indicator to be met.



Mississippi Valley Workforce Development Board

One-Stop Operator Key Performance Indicator Report

Executive Committee Meeting Date: _____ **Period of Performance:** _____

The determination of whether or not one-stop operator performance measures have been met will be made on a quarterly basis by the executive committee. To be determined to have satisfactory performance, the sub-recipient must show satisfactory progress in 13 of the 16 measures shown below as determined by the executive committee at the January, April, July, and October 2023 meetings.

Key Performance Indicators	Y or N	One-Stop Operator Comments
<p>1. Document at least 5 hours of quarterly learning partner programs.</p>		<p>4/07/2023 1.50 hrs PJ Title I Co-Enrollment training 5/25/2023 0.75 hrs CIMC director discussion 6/02/2023 1.25 hrs SCC Title II director discussion 6/12/2023 0.75 hrs SCC CTE director discussion 6/27/2023 0.50 hrs JVSG (Title III supervisor discussion) 6/29/2023 0.25 hrs WP Title III supervisor discussion =5.00 hrs</p>
<p>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.</p>		<p>Core Partner Meetings 4/25/2023 5/23/2023 6/27/2023</p> <p>Required Partner Meeting 5/09/2023</p> <p>In partner meetings OSO discusses common projects and goals between partner programs to include Outreach Plan and WINTAC Continuum. During these discussions OSO and partners discuss common goals and upcoming events across partners. OSO also gives updates on referral process and customer satisfaction at each partner meeting which is a standing agenda item.</p>
<p>3. Assist the board with ensuring that the Memorandum of Understanding and all Attachments with all one-stop partners are executed, and</p>		<p>OSO works closely with the board to ensure activities outlined in the MOU are being executed and that parties are adhering to the MOU. This includes working with the partners to complete the Outreach Plan which is outlined in Attachment F of the MOU. OSO has also worked with partners to ensure they are properly represented in the centers per the MOU by discussing potential staffing in the centers or cross training partner staff to ensure a presence is held physically in the centers.</p>

<p>adhered to by all parties, as well as tracking completion, updates, and the expiration of activities outlined. Systems and tools should be developed to show progress toward goals.</p>		
<p>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 the public, including the collection of relevant information, development of the newsletter, maintenance of the recipient list and distribution.</p>		<p>OSO developed strategy working with the partners to share outreach activities to improve information sharing about upcoming and current events. Also completed quarterly newsletter.</p>
<p>5. Develop strategies for increasing normal daily communication between center programs and process for distribution of center updates to all staff.</p>		<p>OSO has worked with partners to improve communication by meeting consistently with partner leadership and staff. Through these meetings OSO finds areas of concern from partners and effectively shares and problem solves across partners to resolve issues and to continue a dialog among partners to meet needs. OSO also uses these meetings to gather information on upcoming events to become a pipeline of information across partners.</p>
<p>6. Coordinate a minimum of 4 cross-training activities for center staff each quarter and two in-person in-service days each program year.</p>		<p>5/24/2023 Rapid Response 5/25/2023 Title IV Vocational Rehabilitation 6/14/2023 SCC CTE 6/15/2023 CIMC</p>
<p>7. Collaborate on and oversee the center’s Wednesday morning meetings and manage meeting spaces, maintain the schedule, and resolve conflicts related to the use of the rooms.</p>		<p>OSO works with Title III managers to schedule Wednesday morning meetings and maintain schedule. OSO also assists in managing center meeting spaces and will resolve conflicts if any arise.</p>

<p>8. Visit the Davenport center in person at least nine times quarterly.</p>		<p>04/12/2023 Business Service Team Meeting 04/18/2023 Davenport Leadership Meeting 04/25/2023 7th district job fair 04/27/2023 Hob Nosh 05/18/2023 Refugee Job Fair 05/31/2023 Discuss referrals with Title I Supervisor 06/07/2023 Business Service Team Meeting 06/16/2023 Review accommodations, posters and resource guide 06/21/2023 Work on presentation with staff and meet with associate director</p>
<p>9. 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.</p>		<p>April 23 of 24 (95.8%) May 14 of 17 (82.4%) June 20 of 25 (80.0%) Quarter 57 of 66 (86.4%)</p>
<p>10. 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.</p>		<p>OSO is working with the non-center located partners to train center partner staff on services to be able to have cross trained staff when partners cannot be present. For example both Title II programs do not currently have staff available to be in centers on a consistent basis so the OSO is working with them to develop an in person training for center staff to learn about the program to then be able to be a presence in the centers. OSO also has ongoing discussions with non-center partners about added presence in the centers when staffing is available.</p>
<p>11. 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.</p>		<p>OSO submits and presents on monthly reports and attend committee meetings consistently.</p>

<p>12. Participate in the board’s social media strategy by gathering information from partners, scheduling meetings, posting for partners without access to the platforms, and developing outreach strategy for center partners as outlined in the MOU and MVWDB Branding Guide once developed.</p>		<p>OSO has helped in creating social media team and will soon work to train team on branding guide. OSO has also helped with reviewing and posting social media posts from different partners.</p>
<p>13. Meet with the executive director on a weekly basis.</p>		<p>OSO has standing meeting with executive director every Tuesday at 3pm and works with her to adjust when conflicts come up in schedules.</p>
<p>14. Complete center Equal Opportunity Officer activities as directed by the EOO officer.</p>		<p>OSO has been available for any EOO activities needed to be carried out.</p>
<p>15. Update the WINTAC Continuum Model and complete required activities annually prior to the beginning of the program year.</p>		<p>OSO has worked with partners to create an action plan towards completing the next steps on the WINTAC.</p>
<p>16. 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.</p>		<p>OSO has reviewed current local level policies and the values, vision and mission</p>

Board Chair Signature: _____ **Date:** _____

*PY23 Budget

Reason - Annually the board must approve budgets for the upcoming program year including amounts to contract to Equus for Title I services.

Documents Included - Budget and Narrative



Mississippi Valley Workforce Development Board

Admin Budget Narrative

PY23 (July 1, 2023 – June 30, 2024)

Board Staff Salaries – Board staff salaries total \$407,197.86 with 257,313.55 allocated to this admin budget. Board staff salaries are allocated based on projected activities to be performed as follows Executive Director 100% admin, Strategic Partnership Specialist 30% admin – 70% program, Compliance Officer 40% admin – 60% program, and the Communications Assistant 60% admin – 40% program.

Fiscal Agent - The CEOs and Grant Recipient approved a budget in the amount of \$59,956.00 with Central Iowa Juvenile Detention Center to perform the Fiscal Agent functions.

Mileage and Travel - Including flight, hotel, ground transportation, cost to cover meals, and other out-of-town related expenses for quarterly GLETA and Local Workforce Association of Iowa (LWAI) meetings, conferences including the Youth Symposium, NAWDP, USWA, NAJA, NAWB conferences, and other related workforce-related events. Travel within the MVWA for board staff and board members is also covered for board-related activities. The current IRS Mileage Per Diem rate will be used and adjusted as necessary, currently at \$0.65.5.

Telephone, Postage, Supplies - Office supplies including binders, paper, pens, etc. Cost of a 1-800 board phone number that provides professional messaging and options that direct to staff cell phones and centers. Cost of postage for board-related functions.

Outreach and Public Relations - Costs for radio ads, booths, Lunch and Learns, radio slots, print ads, social media campaigns, etc. Two outreach efforts in each county will be conducted. Costs associated with the Disability Access Awareness Campaign and other outreach initiatives outlined in the MOU are covered under this line item including sector partnerships. Outreach to promote MVWA in-demand industries and promote WBL are also included.

Equipment - Purchase of tablets for surveys, computers, printers, monitors, other office equipment, and items with a serial number.

Professional Services and Business Expenses - Fees related to filing annual IRS forms and other financial documents, or other professional services needed. Fees associated with the review of contracts, agreements, and other legal documents. General Liability and Directors and Officers insurance to cover board members and CEOs.

Information Technology - Includes but is not limited to costs of website maintenance and email domain, Squarespace, Zoom subscriptions, DocuSign, Adobe, Microsoft 365 Business, Doodle Poll, Dropbox, Sortly, email newsletter software, IT support, mobile internet, maintenance of forms, and board training platform.

Dues and Subscriptions - Dues and Subscriptions– This includes memberships to all of the 13 Chambers of Commerce throughout the 8-county area, National Association of Workforce Boards (NAWB), National Association of Workforce Development Professionals (NAWDP), and other workforce-related organizations. A subscription for the LMI database is also included.

Meeting Expenses - Fees for regularly scheduled workforce meetings including the cost of facilities, presenters. Regular meetings can include but are not limited to CEOs, board, committees, core partner meetings, or in-service days.

Conferences and Trainings - Professional development opportunities for board staff and board members including but not limited to registration fees for the Youth Symposium, NAWDP, NAJA, USWA, IAWB, and NAWB. Fees associated with professional development webinars and trainings for board staff. Fees to coordinate a minimum of two in-person board trainings each year and contributions to the statewide board training including facilities, presenters, consultants, supplies, etc.

Printing - Cost of printing materials for meetings and record-keeping purposes, along with brochures and other outreach materials. Printing of board manuals and IowaWORKS resource guides are also covered. Monthly HP instant ink is included for board staff printers.

Special Initiatives - Special Initiatives – Funding to support sector initiatives, special projects in partnership with Chambers of Commerce, Economic Development entities, and other community and workforce partners for workforce-related events.

Unobligated Funds – Other funds that have not been budgeted at this time.

Draft Admin Budget

PY22 Funding	Amount		PY23
Carryover	\$167,124.02	Carryover	175,000.00
		Add. Carryover	3,255.00
		PY23	167,683.00
New Funding	\$326,115.00	FY24	144,175.00
Total	\$493,239.02	Total	490,113.00

Expense	PY22	Actual Expenses to Date 5/31/2023	PY23 Proposed	
Board Salaries	210,757.90	160,000.00	257,313.55	Adding an additional staff
Fiscal Agent	68,196.31	64,045.00	59,956.00	
Mileage and Travel	30,000.00	36,511.12	50,000.00	Increased presence at centers/adding additional staff, Jok
Telephone, Postage, Supplies	5,000.00	852.42	3,000.00	
Outreach & Public Relations	15,000.00	2,092.16	15,000.00	
Equipment	5,000.00	2,251.11	5,000.00	Adding staff
Professional Services and Busin	8,500.00	5,493.23	8,000.00	
Information Technology	7,000.00	5,290.76	8,000.00	Adding additional staff
Dues and Subscriptions	10,000.00	6,648.50	9,000.00	
Meeting Expenses	4,000.00	1,487.16	5,000.00	All quarterly meetings in-person
Conferences and Trainings	15,000.00	10,049.56	20,000.00	
Printing	4,000.00	749.25	3,000.00	
Special Initiatives	15,000.00	0.00	15,000.00	Sector Initiatives
Unobligated Funds	95,784.81	0.00	31,843.45	
Total	493,239.02	295,470.27	490,113.00	
			31,843.45	

PY23 Allocations with Estimated Carryover

Youth			Adult		
	PY23 Amount	Prior Year		PY23 Amount	Prior Year
Carryover	400,000.00	659,066.47	Carryover	175,000.00	212,751.97
PY23 Funding	1,154,454.00	1,270,134.00	PY23	181,915.00	
Total	1,554,454.00	1,929,200.47	FY24	743,037.00	993,548.00
			Total	1,099,952.00	1,206,299.97
Expenses			Expenses		
PY23 OSO Contract	33,333.00	35,797.00	PY23 OSO Contract	33,333.00	35,797.00
Sublease	60,000.00	52,702.09	Sublease	55,000.00	51,152.00
Board Staff	49,961.44	30,108.27	Board Staff	49,961.44	30,108.27
Outreach Activities	100,000.00	15,091.67	Outreach Activities	5,000.00	15,091.67
Sector Strategy/Job Quality	10,000.00	10,000.00	Sector Strategy/Job Quality	10,000.00	10,000.00
Youth System Strategy RFP	30,000.00	0.00	Incumbent Worker Training	37,205.00	25,000.00
Equus Program Contract	1,255,168.32	1,779,427.88	Equus Program Contract	900,000.00	1,033,077.47
Unobligated Funds	15,991.24	6,073.53	Unobligated Funds	9,452.56	6,073.53
Total Expenses	1,554,454.00	1,929,200.44	Total Expenses	1,099,952.00	1,206,299.94
% of Equus Contract To Total	80.75%	92.24%	% of Equus Contract To Total	81.82%	85.64%

DW	PY23 Amount	Prior Year
Carryover	\$115,000.00	180,288.99
Add. Carryover	\$29,303.00	
PY23	\$172,795.00	
FY24	\$554,520.00	671,369.00
Total	\$871,618.00	851,657.99
Expenses		
PY23 OSO Contract	33,333.00	35,797.00
Sublease	55,000.00	51,152.00
Board Staff	49,961.44	30,108.27
Outreach Activities	0.00	15,091.67
Sector Strategy/Job Quality	10,000.00	10,000.00
Incumbent Worker Training	40,000.00	25,000.00
Equus Program Contract	672,332.90	678,435.49
Unobligated Funds	10990.66	6,073.53
Total Expenses	871,618.00	851,657.96
% of Equus Contract To Total	77.14%	79.66%
	0.00	

Program Budget Narratives

Narrative covers the Adult, Dislocated Worker and Youth programs except where otherwise noted.

PY23 OSO Contract – The One Stop Operator contract is equally divided across all 3 programs. Once final contract amounts are approved the One stop Operator will provide a detailed budget for approval.

Sublease - Sublease amounts are determined by IWD and are equally divided across all 3 program streams.

Board Staff - Allocation of board staff time spent on program related activities.

Outreach Activities - Funding to support outreach initiatives or projects in house or through outside vendors.

Sector Strategy/Job Quality – Adult and DW funding set aside to support programs directly or through consultants for the sector board or projects that are developed through our participation in the Job Quality Academy.

Youth System Strategy RFP – Youth funding set aside to support programs directly or through consultants for projects that are developed through our participation in the Workforce Communities of Action.

Incumbent Worker Training – Approximately \$37,000 of funding is being carried over with an additional \$40,000 being obligated to the grant program from the Adult and DW funding stream.

Equus Program Contract – Funds contracted to Equus to fulfill Title I services. Once contract amounts are approved Equus will provide detailed budgets for each program for approval.

Unobligated Funds - Funds that are not yet obligated to a contract or cost category.

*PY23 Goals

Reason - The enclosed goals are recommended by the operations and youth committees for Equus' deliverables for PY23 and needs approval from the executive committee.

Documents Included - PY23 Goals

**Proposed Program Year 2023
(July 1, 2023 – June 1, 2024)**

Adult/DW Program

Current Deliverables	Annual Goal/Deliverable
Work Based Learning (WBL)	40
Occupational Skills Training (Scholarships)	100
Enrollments	125
Sector Strategy Events Quarterly (Healthcare, Manufacturing, Trades, Registered Apprenticeship or IT)	4
Customer Satisfaction Level	90%

Youth Program

Current Deliverables	Goal/Deliverable
Work Experience Expenditure Requirement	20%
Work Based learning Placements	27
Occupational Skills Training (Scholarships)	12
Enrollments	60
Quarterly Sector Strategy Outreach Events	1 per quarter
Customer Satisfaction Level	90%

*Revised Procurement Policy

Reason - Proposed changing the micro-purchase threshold to \$10,000 to align with federal procurement standards.

Documents Included - Policy with proposed changes.

Action Requested - Approve the changes to the policy to align with federal procurement standards.



Mississippi Valley Workforce Development Board

PROCUREMENT POLICY

APPROVED DATE: September 13, 2022

EFFECTIVE DATE: September 13, 2022

AMENDED DATE: N/A

Purpose

1. 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).
2. 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

1. 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

1. All procurement activities shall allow for open and free competition among potential vendors for services.
2. 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.
3. 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).

1. 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.
 - a. Micro Purchases.
 - b. Small Purchases - Request for Quotes
 - c. Sealed Bids
 - d. Request for Proposals
 - e. Noncompetitive Procurement - Sole Source
2. Each method of procurement has listed below it a threshold.
 - a. 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

Commented [MS1]: \$10,000

Commented [MS2]: This has been changed at the federal level to \$10,000

Micro Purchases

1. 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.

2. Micro purchases may be awarded without soliciting quotes for acquisitions of supplies or services when:
 - a. The price of the good or service is considered reasonable; and
 - b. To the extent practical, micro-purchases are distributed equitably among qualified suppliers.
3. 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

1. 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).
2. 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

1. 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.
 - a. The RFB includes well-defined specifications and/or a scope of work, including all contractual terms and.
 - b. Bids for the goods or services must be received by a set date, time and place, where they may be publicly opened.
 - c. The RFB award is made to the lowest responsible bidder.
2. "Responsible Bidder" means a vendor that has the capability in all respects to perform the contract requirements.
3. In determining whether a vendor is a responsible bidder, the board may consider various factors including, but not limited to,
 - a. the vendor's competence and qualification for the type of services required,
 - b. the vendor's integrity and reliability,
 - c. the past performance of the vendor relative to the quality of the good or service,
 - d. the past experience of the department in relation to the good or service,
 - e. the relative quality of the good or service,
 - f. the proposed terms of delivery,
 - g. and the best interest of the board.

4. 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

1. 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.
2. The RFP includes well-defined specifications and/or scope of work and contains all contractual terms and conditions.
3. The RFP solicits two parts to a proposal -- technical and cost -- from prospective vendors.
4. After an evaluation of all proposals submitted, a contract is awarded to the provider who submits the proposal most advantageous to MVWDB.
5. 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.
6. 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:
 - a. The complex and technical nature of the procurement cannot be described in bid specifications; and
 - b. It is logical to award a contract on factors other than price.
 - c. 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.
7. Solicitations for goods and services (requests for proposals or RFPs) should provide for all of the following:
 - a. Requirements which the bidder/offer must fulfill and all other factors to be used in evaluating bids or proposals.
 - b. 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.
 - c. 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))
 - d. The specific features of "brand name or equal" descriptions that bidders are required to meet when appropriate. (45 CFR Part 75.328(c)(1))
 - e. 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.
 - f. The date by which proposals are due.
 - g. Required delivery or performance dates/schedules.
 - h. 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)

1. 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:
 - a. The bids submitted by all vendors are over the budget or considerably higher than anticipated.
 - b. A submitted proposal/bid has a significant lower cost than all other proposals under consideration, yet it does not have the overall highest score.
 - c. The scores of two or more vendors (RFP) are very close.

2. BAFO Process and Procedures
 - a. 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.
 - b. 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.
 - c. The BAFO solicitation CANNOT contain any material modifications to the initial solicitation or the evaluation criteria.
 - d. The BAFO solicitation will follow the same requirements and process as an original solicitation: sealed bids/proposals, specific timeframes, etc.
 - e. 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:
 - i. There should be no changes to the evaluation committee.
 - ii. Scoring sheets should be based upon the additional information requested in the BAFO, and used by the evaluation committee
 - iii. 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

1. Noncompetitive procurement refers to “sole source procurement.”
 - a. 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.
 - b. 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.
2. 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:
 - a. 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.

- b. 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.
 - c. The federal awarding agency or IWD authorizes noncompetitive procurements.
 - d. 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.
3. 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:
- a. Copies of the public advertisements
 - b. Proof of the announcement medium used (newspaper, social media)
 - c. Documentation showing how long the announcement was posted
 - d. A list of providers contacted
 - e. Copies of all letters received from prospective bidders or respondents, including those indicating a bidder's lack of interest in competing for the contract
 - f. The date and amount of the procurement
 - g. The name of the entity to which the sole source is to be awarded
 - h. Any other materials which would justify the agency's use of noncompetitive procurement methods
 - i. 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

- 1. 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.
- 2. Sole source selection of a service provider can only be completed under the criteria outlined in WIOA.
- 3. Should the MVWDB request to use sole source procurement for service providers it will submit a formal request to IWD electronically.
 - a. The request will include justification that all other options were exhausted and identify the reason for sole source.
 - b. 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

1. 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.
2. Unless stated otherwise in the solicitation documents, submissions that include an alternate bid/proposal are unresponsive and subject to disqualification.

Cancellation of a Solicitation

1. 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

1. 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:
 - a. A description of the item(s) being procured;
 - b. Evidence of MVWDB involvement in the decision-making and planning process.
 - c. A copy of the solicitation package (e.g., RFP/RFQ/RFB).
 - d. A copy of the public notification.
 - e. Bidders' list to which notices were mailed.
 - f. Agenda and minutes of the bidders' conference, if a conference is conducted.
 - g. A copy of each question asked, and the answer issued,
 - h. Log sheet of bid proposals received, including the date and time.
 - i. A copy of each bid which was received.
 - j. The results of all technical reviews and evaluations for all proposals received; and,
 - k. Rating and scoring sheets completed during the evaluation process.
 - l. Documentation supporting that bids were publicly opened at the time and place stated in the invitation for bids.
 - m. Documentation of the rationale for selection and funding of any offeror which did not receive the highest score/ranking in the evaluation process.
 - n. Evidence of MVWDB approval of the procurement.
 - o. The name of the selected vendor or provider, the amount of the procurement; and the delivery date of the good or service.
 - p. A copy of any submitted grievance(s) and the resolution of each.
 - q. Risk analysis determinations and special award/contract conditions, if appropriate.

Types of Contracts

Cost Reimbursable Contracts

1. MVWDB may use a cost reimbursable contract for any form of procurement.
 - a. In this type of contract, reimbursements are made to the contractor for actual expenses incurred in the provision of goods/services.
 - b. Under cost reimbursable contracts, the primary risk in achieving a reasonable relationship between expenditures and results fall to the MVWDB in negotiating line costs.
2. 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.
3. Each contract must contain a detailed line-item budget specifying the expense items and estimated amounts for all costs.
 - a. All costs in the approved budget must be allowable and properly allocated among the cost categories that will benefit.
 - b. 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.
 - c. Any provisions of flexibility in expenditures among the specific line items must also be described in the contract.

Cost Reimbursable Contracts with Profit

1. 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

1. 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.
 - a. 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.
2. 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.
 - a. 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)

1. 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.

2. 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

1. 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.
 - a. All grievances must be made in writing and must fully identify any contested issues

- and/or policy or procedural violations.
- b. Subjective interpretations by evaluators are not subject to protest or grievance.
- 2. 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.
 - a. Should the grievance not be resolved within ten (10) days, the bidder may submit in writing a protest to the MVWDB Executive Committee.
 - b. The Executive Committee will then have twenty (20) days to reach a formal written decision.
- 3. A hearing is not a right under this MVWDB grievance policy.
 - a. No further appeals will be allowed.
 - b. This does not prohibit the bidder from seeking other resolutions in addition to those allowed by the Mississippi Valley Workforce Area.
 - c. Any further resolutions taken by the bidder outside of this policy will be handled by the CEOs of the MVWA.

Standards of Conduct

1. Any officer, employee or agent of the MVWDB who is either:
 - a. engaged in negotiations with a potential contractor.
 - b. has arrangements concerning prospective employment with a potential contractor; or,
 - c. 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:
 - d. an immediate family member of any officer, employer or agent of the grantee/sub grantee.
 - e. a partner or organization who employs any officer, employee or agent of the grantee/sub grantee.
2. Additionally, no MVWDB member shall participate in the selection or in the awarding of a contract if a conflict of interest is involved.
 - a. 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.
3. 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.
4. 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.
5. 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.
6. MVWDB 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

1. 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).
2. 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.
3. 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.
4. 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.

*Revised Support Services Policy

Reason - revisions to align with IWD monitoring findings.

Documents Included - Policy with proposed changes.

Action Requested - Approve the revisions include identifying correct Iowa *WORKS* classifications and the rewording of allowable expenditures to align with IWD monitoring findings. Mileage is excluded, it is left at the federal rate as previously^{y3} decided.



Mississippi Valley Workforce Development Board

Support Services Policy

Approved Date: August 23, 2021

Effective Date: August 23, 2021

Amended Date: September 13, 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.
4. This support service should be classified as CHG in the IowaWORKS system.

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.
11. This support service should be classified as DPC in the IowaWORKS system.

D. Educational Assistance (EST)

1. Assistance with books, fees, school supplies, laptops, internet access, and other necessary services/items for students enrolled in high school, alternative high school, high school equivalent, or post-secondary education classes are allowable.
2. This includes background checks, physicals, and screenings that are necessary for acceptance or participation in educational classes.
3. 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.
4. Participants that need laptops, internet service, and other supportive services must provide written documentation from the training site indicating the need for these services.
5. The laptop may be retained by the participant after the completion of training and will only be provided one time per program year.
6. Services for internet are limited to the time that the individual is in a training activity.
7. Itemized invoice/receipt, or syllabus is required. Documentation from the instructor is required from training site for laptop and/or internet access.
8. This support service should be classified as EST in the IowaWORKS system.

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.
5. This support service should be classified as EDT in the IowaWORKS system.

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 program year.
6. This support service should be classified as HLC in the IowaWORKS system.

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.
4. This support service should be classified as SID in the Iowa *WORKS* system.

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.
7. This support service should be classified as TRN in the Iowa *WORKS* system.

Commented [MS1]: Proposed to change to 65% of the federal per diem rate.

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 participant's name.
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.

9. This support service should be classified as FAS in the Iowa*WORKS* system.

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.

7. This support service should be classified as FAS in the Iowa*WORKS* system.

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.

3. This support service should be classified as MSS in the Iowa*WORKS* system.

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.

5. This support service should be classified as MSS in the Iowa*WORKS* system.

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.
7. This support service should be classified as SET in the IowaWORKS system.

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.

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

*Revised Retrain & Retain Policy

Reason - Voted on at Business Committee, now for final approval by Executive Committee

Documents Included - Policy with revisions tracked.

Action Requested - The request is to update the language to add nonprofit hospitals, add the use of the interest form, and the application is considered the contract. Remove the application timelines replacing them with rolling option to apply until the funds are expended.



Mississippi Valley Workforce Development Board

RETRAIN & RETAIN GRANT PROGRAM POLICY, GUIDELINES, AND PROCEDURES

Approved Date: 11/21/2022

Effective Date: 1/1/2023

Amended Date: 4/5/2023

PURPOSE

The Mississippi Valley Workforce Development Board (MVWDB) establishes this local policy, guidance, and procedures for the Workforce Innovation and Opportunity Act (WIOA) Incumbent Worker Training (IWT) Program as outlined in WIOA Section 134 et.al. [29 U.S.C. 3174]. This program will be referred to as the Retrain & Retain (R&R) Grant Program in the Mississippi Valley Workforce Area (MVWA).

BACKGROUND

Incumbent Worker Definition - An Incumbent Worker is a person who is currently employed and could benefit themselves and their employer by upgrading their skills through training. The training should give the employee the opportunity for advancement and wage gains within their company. Incumbent Workers will be referred to in the R&R Grant Program as “employees.”

R&R Grants are designed to meet the special requirement of an employer to retain a skilled workforce or avert the need to lay off employees by assisting the workers in obtaining the skills necessary to retain employment. Grants provide both workers and employers with the opportunity to build and maintain a quality workforce. Mississippi Valley R&R Grant Program is a business-driven program designed to meet the needs of an employer or group of employers. There is an expectation that the employee will be promoted or retained by the company after they receive training. Ideally, this would also create additional back-fill opportunities for other workers.

The program is intended to offset a portion, via reimbursement, of the business’s cost to train and upgrade the skills of its employees. Eligible businesses must demonstrate that by receiving funding assistance through the program, their business will not only improve the skills of their workers but also improve their business processes and competitiveness and decrease the risk of permanent layoffs.

PROGRAM OVERVIEW

Grant funds are limited and therefore will be awarded through an application process. The maximum award per grant, per year, is \$10,000 and the initial training agreement duration may not exceed 12 months. The maximum award may be adjusted based on funding availability, each program year. **The total amount of funding available for all training projects from July 1, 2022 – June 30, 2023, is \$50,000. A notification will be posted on www.mississippivalleyworkforce.org**

Commented [M51]: Remove from policy but need to discuss funding deadlines for PY23 and suggest a specific amount to hold back for grant.

when funds are no longer available. Grant deadlines are as follows for the current available funding:

Applications Accepted	Due Date	Award Notification
February 1, 2023 – March 1, 2023	March 1, 2023	March 15, 2023
March 1, 2023 – April 1, 2023	April 1, 2023	April 15, 2023
April 1, 2023 – May 1, 2023	May 1, 2023	May 15, 2023

When workers lack necessary training and businesses experience skill gaps, the company’s ability to compete, expand and retain workers can be compromised. Mississippi Valley R&R Grant Program addresses such needs. The Grant Program is to provide funding for continuing education and training of employees at existing Iowa businesses with physical locations in the MVWA. The program will provide reimbursement grants to businesses that pay for preapproved direct training-related costs.

The program helps established MVWA businesses to upgrade the skills of current employees, which provides enormous benefits including:

For employers:

- Increased Competitiveness
- Skilled Workforce
- Increased Productivity
- Increased Profits
- Company Growth
- Reduced Turnover

For employees:

- Advancement Opportunities
- Increased Job Opportunities
- Industry Recognized Credentials
- Job Retention
- Transportable/Transferrable Skills
- Improved Morale and Work Culture

ELIGIBLE EMPLOYEES

An eligible employee is one who is directly employed by the company at a facility located within the MVWA and meets these requirements:

1. Employee must be at least 18 years of age.

2. A citizen of the United States or a non-citizen whose status permits employment in the United States
3. Iowa resident
4. Employee must work at least 32 hours per week
5. Employee must have an established employment history with the employer for six months or more and receives a W-2.
6. Employee must be committed to attending all trainings.
7. Employee must earn an hourly wage above the state minimum wage.
8. Employee must agree to cooperate with data collection requirements.

*An employee does not have to meet the eligibility requirements for participation in career and training services for Adults and Dislocated Workers under WIOA unless they are also enrolled as a participant in the WIOA Adult or Dislocated Worker program.

**There is an exception to the six-month requirement: In the event, R&R funding is being provided to a cohort of employees, not every employee in the cohort must have an established employment history with the employer for six months or more, as long as a majority (at least 51%) of those employees being trained meet the employment history requirement.

***R&R funding can also be used for underemployed if workers if the use of the funding focuses on increasing skills for underemployed frontline workers in an effort to advance these workers to more skilled positions with the same employer; or workers who would prefer full-time work but are working part-time for economic reasons.

INELIGIBLE EMPLOYEES

- Anyone who receives a 1099 Form: or
- Those who are placed through a temporary agency.

EMPLOYER ELIGIBILITY

Employers applying for an R&R Grant must meet the following criteria:

- Financially viable, private sector employers and certain nonprofit and local government entities (e.g., a nonprofit or county hospital) are eligible to receive R&R funds.
- The business or businesses must have been in operation for 12 months, not currently or recently experiencing bankruptcy, be current on all local, state, and federal tax obligations, and not appear on any federal suspensions or debarment lists.
- An eligible business must be located in Iowa and registered with the Iowa Secretary of State Office and have a physical location in the Mississippi Valley Workforce Area (MVWA).
- Businesses are encouraged to provide training to a group of employees and not individual training, although the number of employees in the company will be taken into consideration.
- Businesses should also demonstrate a commitment to retain or avert the layoff of employees receiving training.

Companies that are in the process of a layoff or have had a layoff in the last six months are not eligible for the R&R Grant Program (excludes temporary hires or contract workers.) If a layoff occurs in a company while they have an open R&R Grant, the current workers will be able to complete the training.

MULTIPLE BUSINESS APPLICATIONS

A group of employers who need the same training for their workers may submit a joint application. Multiple businesses can collaborate and apply for a collaborative training grant. The proposal for the common request must:

- Train employees of at least two different businesses, with one of those businesses designated as the Lead Applicant.
- Include employees of the Lead Applicant in the training.
- Include training descriptions and outcomes that address the employees from all businesses impacted by the proposed common training
- Include information on each business that will be part of the training.

A business may be treated as a single company or multiple companies depending on the number of locations and Federal Employer Identification Number (FEIN). If each location operates under a different FEIN, each location will be considered a separate company and will need to submit separate applications to receive separate awards. If the locations operate under one FEIN, it will be considered one company and will therefore need to join its training efforts, submit one application, and receive one award.

INELIGIBLE EMPLOYERS

The following businesses are not eligible to apply for funds under this program:

- Not-for-profit agencies or organizations. [Note: This does not apply to hospitals operated by local government entities in the State of Iowa or nonprofit hospitals]
- Entities whose administrations only comprise volunteers.
- Local Workforce Development Boards and their administrative entities.
- Labor unions.
- Federal, state, county, or city governmental entities [Note: This does not apply to hospitals operated by local government entities in the State of Iowa or nonprofit hospitals]
- Businesses that received an R&R Grant award in the current program year.

Commented [ATAD2]: Rearranged wording to add "nonprofit hospitals"

Commented [ATAD3]: Rearranged wording to add "nonprofit hospitals"

FUNDING CONSIDERATIONS

Funding considerations shall be given to the following:

- Businesses that provide employees with opportunities to acquire new or improved skills by earning a credential.
- Businesses whose grant proposals represent a significant upgrade in employee skills.
- The characteristics of the participants in the program, specifically the extent to which

they historically represent individuals with barriers to employment as defined in WIOA sec. 3(24), and how they would benefit from retention or advancement.

- The employees' advancement opportunities along with wages and benefits (both pre-and post-training earnings).
- The existence of other training and advancement opportunities provided by the employer.
- Layoffs averted because of the training.
- Utilization as part of a larger sector and/or career pathway strategy; or
- Employer size

While these considerations do not include an increased reimbursement percentage, applications that meet one or more of these conditions will receive priority during times of limited funding.

EMPLOYER'S COST-SHARING REQUIREMENT

Businesses will be required to provide a portion of the training costs dependent upon the size of the business and the number of employees either through direct cost contribution or in-kind contributions.

- At least 10% of the cost for employers with 50 or fewer employees.
- At least 25% of the cost for employers with 51 to 100 employees.
- At least 50% of the cost for employers with more than 100 employees.

The business must disclose cash and in-kind contributions. Examples of in-kind contributions, in addition to any direct costs, may include expenses associated with the use of space and equipment during the training project and trainee wages (including benefits) of employees during the training.

PERFORMANCE ACCOUNTABILITY

The employer must agree to provide performance records and keep accurate records of the project's implementation process and certify that all information provided, to request reimbursements and report training activity, is accurate and true, including evidence that the business has paid the training expenses in accordance with the terms of the agreement prior to requesting reimbursement of allowable training costs. During the grant and/or the completion of the grant, businesses will be asked to provide the following:

- Employer will collect and supply all trainee documentation (e.g., proof of SSN, proof of citizenship/right to work, and proof of physical address, etc.) to MVWDB (before the start date of the training).
- All training sessions must have signed attendance sheets or digital confirmation of attendance. Trainee participation is required.
- Employee satisfaction surveys
- The business must submit to MVWDB copies of all credentials, certificates of completion, or other documentation of the employee's participation within 60 days of the end of training to be considered eligible for reimbursement.

- R&R Grant projects require monthly communication with a Business Services staff member on the status of the project.
- Upon training completion, each project requires one year of follow-up to track project outcomes (e.g., providing updated trainee wages and promotions).
- Employers submitting an R&R Grant application are agreeing to provide this information.

ALLOWABILITY OF USE OF R&R FUNDS

With proper documentation allowable costs for R&R Grants include (but are not limited to):

- Training/Course Registration
- Instructors/Trainer Salaries
- Curriculum Development
- Textbooks and Manuals
- Materials and Supplies
- Tuition Expenses
- Off-site Training Space (e.g., classroom rental)

Non-reimbursable costs include (but are not limited to):

- Administrative Costs
- Trainee's Wages
- Purchases of Capital Equipment or Capital Improvement
- Purchases of items or services that will be used primarily outside of the R&R program
- Travel Expenses for Trainers or Trainees
- Assessment, Testing, or Certification Fees
- Advertisement or Recruitment
- Annual Membership for Online Courses

TRAINING SERVICES

The R&R Grant Program provides flexibility regarding the type(s) of training and the training provider(s). Based on the needs of the company and its overall workforce development needs, the company chooses its training and training provider that provides employees with opportunities to acquire new or improved skills.

Training can include, but is not limited to, industry or employer-specific work skills, basic job skills, technical computer skills, new manufacturing technologies, equipment operation training, changes in production processes, and skills such as leadership, teamwork, communication, conflict resolution, and management skills if the employer can document the

need and effect on employee production and/or retention with the company.

Employers will determine and select the types of training and training provider(s) that meet their business and training requirements before submitting a grant application for consideration.

All proposals must show an end date that completes training within 12 months of the award date. All training should have specific start and end dates.

INELIGIBLE TRAINING

- New hire orientation
- Degree programs
- Training that takes place where food and/or beverages are included in the cost
- Training that includes the purchase of equipment (such as iPads or other equipment/ supplies/devices that can be used outside of training) in the cost of the training
- Self-paced learning
- Non skill related assessments
- Mandated safety training (such as OSHA)
- Regularly provided annual training
- English as a second language
- Basic skills or remedial education
- Non-job-related training

ELIGIBLE TRAINING PROVIDERS AND ACTIVITIES

Public or private educational institutions, trade associations, community-based organizations, economic development agencies, unions, government agencies, or subject matter experts may provide R&R, and training can be conducted at the business facility, at the training provider's facility, online, or a combination of sites.

MVWDB CRITERIA

The MVWDB reserves the right to accept or reject any or all grant applications submitted.

MVWDB does not commit to pay for any cost incurred before any award notification or the execution of any contract. All grant applications and their accompanying attachments will become the property of the MVWDB after submission, and materials will not be returned. Costs incurred by a contracted entity in the delivery of services shall be reimbursed based on mutually agreed-upon conditions and delivery schedules with the submission of appropriate documentation.

Exceptions

Any exceptions to this policy must be approved by the MVWDB Executive Director in consultation with the Business Committee Chair and must be documented in IWT file and a copy of the waiver form saved..

GRANT PROGRAM PROCEDURES

APPLICATION PROCESS

Eligible businesses can apply during the time periods listed above until funds are fully expended. The R&R Program Grant Interest Form should be completed and a meeting scheduled to determine training needs and eligibility prior to completing the application. The application is the only document that may be used to apply for the R&R Grant. Applications should be submitted at least 30 business days before the start date of the training. However, submittal within this timeframe does not guarantee that the approval date will be on or before the training start date.

Commented [ATAD4]: Interest form completion and meeting prior to submitting application

APPLICATION RECEIPT

The business will receive a notification email that the application has been submitted within 48 hours. If the business does not receive this, the application was not received. A holiday or a large influx of applications may cause a delay in the sending of this email. Incomplete applications will delay the approval process, and the application will return to the queue.

REVIEW AND APPROVAL

Upon receipt of a completed R&R Grant Application, the grant application will be reviewed to determine the employer's eligibility for R&R funding by board staff. More information may be requested from the employer to determine eligibility. The business committee will review all applications and make award decisions.

GRANT CONTRACT

Once the application has been finalized and signed it will be considered the contract due to it containing all assurances and needed information. Within two weeks of the grant approval, the required grant documents will be sent to the applicant. Required self-registration on IowaWORKS must be completed prior to the start date of the R&R training. Funding cannot be provided for any costs for an R&R program that starts before the training has been completed. These forms will include:

Commented [ATAD5]: Wording changed to make more sense with the application being considered the contract as well as self-registration prior to training starting

- Trainee Data Submission Form
- Reimbursement Request Form
- Trainee Roster
- Training Expense Summary Report
- Final Training Evaluation Form

Commented [MS6]: Update to say grant documents will be sent as the application is used as the contract since it contains all assurances and needed information.

REIMBURSEMENTS

The first reimbursement can be requested once the has been executed by MVWDB. Businesses

may request reimbursement as frequently as needed during the 12-month period. Reimbursements will be made in direct correlation with the business's training progress. The percentage of funds reimbursed must stay equal to or less than the percentage of trainees that have been trained to date. All reimbursements must be submitted within 60 days of the contract end date. Reimbursement requests received after the 60-day cutoff will not be processed. Before an invoice can be paid, the Reimbursement Request Form must be completed and submitted to the MVWDB. Before the final payment can be processed the Final Training Evaluation form must be completed.

CONTRACT TERMS

The contract will set forth all processes and expectations for administering, implementing, and completing the training. If the contract is not executed within a 45- day time frame, the grant award becomes null and void unless permission is granted by the MVWDB. In the contract the employer will agree to and assure the following:

- The business will disclose whether they are currently receiving training funds, either directly or indirectly, from Iowa state government. (If an employer is receiving training funds from Iowa state government, they are not eligible to receive R&R funds as it would be a duplication of funding).
- Employer will assure they are not presently debarred, suspended, proposed for disbarment, and declared ineligible, or voluntarily excluded from participation in transactions by USDOL or the State of Iowa.
- Employer will assure they do not have any outstanding tax liability to the State of Iowa and will disclose outstanding tax liabilities with any other state(s).
- Employer will assure they will not make offers of gratuities or favors to any officer, employee, or board member, or to any subcontractor staff of the MVWDB.
- Employer will assure they have not relocated from any location in the U.S. until the date that is 120 days after the date on which business commences operations at a new location if the relocation of such business or part of a business results in a loss of employment for any employee of such business at the original location and such original location is within the United States.
- Employer will assure that all records relating to activities covered under the R&R (Incumbent Worker Training Program) will be available and accessible, upon request, during normal business hours and as often as deemed necessary by state and federal duly authorized representative(s), for the purposes to include monitoring, reviewing, verification, audit, and/or investigation. This shall include authorization to make excerpts or transcripts from all applicable records.
- The employer will agree to monitoring by the MVWDB, Iowa Workforce Development, U.S. Department of Labor, or other such related agencies of training records to ensure compliance with rules and regulations.
- The Employer must agree to not discriminate against any participant because of age, race, creed, color, religion, political belief or affiliation,

sex, national origin, ancestry, or disability.

- The Employer must agree to comply with the Americans with Disabilities Act of 1991, Public Law 101-336, or as amended and associated code of federal regulations published in the Federal Register as applicable to the Employer directly or indirectly as recipients of contracted funds for the State of Iowa.
- The employer will assure that all employees will receive a copy of the completion record for the training that each employee successfully completed.

LENGTH OF CONTRACT

Training must be completed within 12 months from the date of approval. From there, the company will have 60 days to submit final reimbursement requests for training completed during the contract period.

EXTENSIONS

There is no provision in the contract for extensions. A business is expected to have carefully assessed its training needs so that it will apply only for the funds needed for training that can be completed in a 12-month timeframe.

AMENDMENTS

If there is an extenuating circumstance that leads to a need to request a change to the approved training, the business must contact the MVWDB to discuss the best alternatives. Changes in the training(s) may not necessitate a new application, but the business will need to complete an amended training form and submit it to the MVWDB as soon as possible. If necessary, the MVWDB may convene the grant review committee to review these changes as it relates to the purpose of this grant. The training will still need to be completed within the one-year time frame.

TECHNICAL ASSISTANCE

The MVWDB staff is available to provide technical assistance throughout the process, from the application stage through contract execution, contract management, and fiscal closeout. An individual or organization may assist a business or group of businesses in the application process; however, that individual/organization may not be compensated with grant funds.

OTHER TRAINING RESOURCES

There are additional training programs at the local and state level designed to support Iowa businesses by providing training grants. A business can also apply for a State of Iowa grant through Future Ready Iowa's [Employer Innovation Fund](#)

The Iowa New Jobs Training Program (260E) was developed to assist businesses that are creating new positions or new jobs. If the company is expanding operations or relocating to a new facility in the state, the 260E program can provide flexible funding to meet a wide variety of training and employee development needs.

The Iowa Jobs Training Program (260F) provides job training services to current employees of eligible businesses.

- Helps companies train current employees with new skills.

- Eligible businesses collaborate with the local community college, which will assess training needs, determine funds available and provide training.
- Valuable employee training for little to no cost

Other local options for funding include customized training which is designed to meet the specific requirements of an employer or group of employers, with the commitment that the employer(s) will retain current employees or hire individuals who successfully complete the training or an On-the-Job Training grant (On-the-Job Training is training conducted by an employer that is provided to a paid participant while engaged in productive work in a job that provides knowledge or skills essential to the full and adequate performance of the job) through the MVWDB. Contact MVWDB for more information about customized and On-the-Job Training options.

Equal Opportunity Programs/Employer

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

*Contract Management and Authorization Policy

Reason - new policy to identify authorized individuals for contract execution.

Documents Included - draft policy

Action Requested - Approve the policy.



Mississippi Valley Workforce Development Board

Contract Management and Authorization Policy

Approved Date:

Effective Date:

Amended Date:

PURPOSE

The purpose of this policy is to satisfy the requirements of the Mississippi Valley Workforce Development Board (MVWDB) as the local grant recipient for the Mississippi Valley Workforce Area (MVWA) as designated by the Chief Elected Officials (CEOs) for Workforce Innovation and Opportunity Act ((WIOA) funds. This policy is intended to supplement, but not replace any applicable state or federal laws.

BACKGROUND

The CEOs have the ultimate legal authority and liability over fiscal matters involving WIOA funds but have granted MVWDB as the local grant recipient, giving MVWDB the authority for awarding, withdrawing from, or assigning contracts. The following decision-making matrix has been approved by the CEOs and MVWDB.

POLICY

Decision Making/Signature Authority

- The Executive Director will have the authority to enter into contracts on behalf of the MVWDB as the local grant recipient when contracts are approved by the MVWDB or designated committee, or other documents authorized in the annual operating budget, or to receive funds as outlined in Appendix A.
- The Executive Director will have the authority to serve as the signatory to approve expenditures and expend funds after the annual budget has been set by the MVWDB. Admin expenditures over the amount of \$2,000 will require prior written approval from the board chair that was not previously outlined in the annual operating budget.
- The Executive Director will have the authority to apply for funding and grants that do not have matching requirements without prior MVWDB approval.
- An authorized individual will not enter into any agreement with respect to MVWDB with any association, partnership, or company in which the individual has a financial interest without the prior written approval of the MVWDB.

CONTRACT MANAGEMENT

Timely Contract Execution/Use of Pre-Agreement Letters

As a standard operating procedure, subgrant funds are to be obligated and disbursed in accordance with a fully executed contract and/or subcontract. When the risks associated with having a fully executed contract are outweighed by the need to provide services, the use of a pre-agreement letter/letter of intent should be used to clarify expectations and/or provide estimated funding levels until a fully executed contract or contract modification/extension is finalized. Such costs are allowable only to the extent that they will be incurred after the beginning of the contract or extension period. The letter should be executed by the MVWDB before the program start date. At a minimum, the letter should contain the following information:

- A general description of the service to be provided.
- The estimated line-item budget for the project.
- The period of the proposed contract.
- A statement indicating that a fully executed contract or contract modification will be in place within a specified period, e.g., 60 days.
- Names, titles, and signatures of the individuals for both entities planning to enter the proposed contract or contract modification and agreeing to terms outlined regarding negotiated contract costs.

Contract Administration and Records

The MVWDB must maintain a system for contract administration to ensure that service providers and other contractors comply with the terms, conditions, and applicable performance requirements of contracts. The MVWDB must maintain a file on each executed contract sufficient to document the record of the contract, performance against the contract, and payments made.

Contract Renewal Process

Under WIOA Requests for Proposals (RFPs) must be completed every four (4) years for service provider contracts. Awards are normally made for one (1) year with three (3) possible one-year extensions. The executive committee will review contract extensions at the annual April meeting. The following list comprises various considerations before authorizing a contract renewal or extension:

- Request feedback on the provider's intent to continue the contract.
- Review the terms and conditions of the contract to ensure compliance.
- Conduct a spending analysis to determine the prior year's budgeted versus actual amounts.
- Present vendor with a list of concerns, which need to be resolved to see renewal (if applicable)
- Review common measures and achievement of deliverables.
- Review state and local monitoring reports.

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

Appendix A - Local Grant Recipient – WIOA or OL Funding

Disbursement of Funds	Full MVWDB	MVWDB Executive Committee	MVWDB Executive Director	CEOs
Contracts from Iowa Workforce Development (IWD)	Informed	Informed	Review/ Signatory	Informed
Master contracts for Department of Labor (DOL) or WIOA service providers funded from WIOA annual program allocations	Ratification of Exec. Com. Approval	Approval	Signatory	Approval
All service provider contracts or modifications greater than \$250,001	Ratification of Exec. Com. approval	Approval	Signatory	Informed
All service provider contract modifications of \$25,001 to \$250,000	Informed	Approval	Signatory	Informed
All service provider contract modifications under \$25,000	Informed	Informed	Approval/ Signatory	Informed
Letters of intent for estimated funding allocations to service providers	Informed	Informed	Approval/ Signatory	Informed
Service provider contract extensions	Informed	Approval	Signatory	Informed
Service provider contract modifications per federal, state, or local policy changes	Informed	Informed	Approval/ Signatory	Informed
Agreements with contractors for projects identified in the annual budget	Informed	Informed	Approval/ Signatory	Informed

*Subaward Closeout

Reason - new policy to identify authorized individuals for contract execution.

Documents Included - draft policy

Action Requested - Approve the policy.



Mississippi Valley Workforce Development Board

Subaward Closeout Policy

Approved Date:

Effective Date:

PURPOSE

To establish Mississippi Valley Workforce Development Boards (MVWDB) policy and guidelines for the closeout of Workforce Innovation and Opportunity Act (WIOA) program activities and transition of the applicable closeout process.

BACKGROUND

Recipients and sub-recipients of the Department of Labor (DOL) and the Employment and Training Administration (ETA) grant awards are responsible for developing closeout procedures that will be used to close out their sub-awards and contract agreements and adequately account for the financial and programmatic activities related to any Federal or State award. Closeout procedures must provide directions to effectively close out grants/contracts and ensure that financial accounting and reconciliation of Federal funds is accomplished. The objective of the financial reconciliation/closeout is to achieve the status where allowable reported costs and payments are equal.

POLICY

MVWDB will initiate closeout procedures with all sub-recipients. All sub-recipients must submit a sub-award/ contract closeout package no later than 45 calendar days following the expiration of a sub-award term or when funds have been fully expended prior to the sub-award expiration date. Each sub-recipient is responsible for developing and maintaining an internal system of controls to comply with the closeout requirements specified in this policy.

Closeout is the process by which MVWDB determines that all applicable administrative actions concerning a sub-award, grant, or agreement (with the possible exception of the audit, which may be performed after closeout) have been completed by the contractor or the grant or agreement recipient and by MVWDB after the expiration of the period of performance of the sub-award, grant or agreement.

Sub-recipients must furnish evidence of their ability to satisfy the Federal, State, and local recordkeeping requirements. Federal regulations require that recipients or sub-recipients keep financial records, supporting documents, statistical records, and all other records created under the grant for five (5) years after the final expenditure report has been accepted. If any litigation, claim, or audit is started before the expiration of the 5-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved and final action is taken. MVWDB shall comply with the terms and conditions concerning the closeout of the sub-award in 2 CFR Part 200.

CLOSEOUT PROCEDURES

In an effort to perform contract/grant closeout management effectively and avoid cost overruns and deficits, MVWDB has established the following procedures:

1. Sub-recipients must terminate all activities and reconcile all financial activity related to the sub-award prior to closing the sub-award with MVWDB.
2. Unless authorized by MVWDB, sub-recipients must liquidate all accruals incurred under the MVWDB sub-award by the end of the closeout period.
3. Program income earned must be fully expended or submitted to MVWDB.
4. All refunds due to MVWDB must be submitted before or with the closeout package.
5. MVWDB reserves the right to further execute grant adjustments based on the reconciliation of a federally approved indirect cost rate or for audit findings after the closeout package is submitted. In the event a final audit has not been performed prior to the closeout of the grant/sub-award, MVWDB reserves the right to recover any amount after fully considering the recommendation(s) on disallowed costs resulting from the final audit or any other audit.
6. Sub-recipients must account for any property acquired with sub-award funds, or any property otherwise received from MVWDB. Sub-recipients must adhere to the following:
 - a. Upon completion/termination of contracts between MVWDB and its sub-recipients, all property acquired with sub-award funds whose unit cost exceeds \$100 (one hundred dollars) and has a useful life of one (1) years or more, must be returned to MVWDB, at MVWDB discretion, within ninety (90) days after the established completion/termination date of the sub-award agreement.
 - b. All tangible supplies and materials that are determined by MVWDB to be useable and/or whose aggregate value exceeds \$500 must be returned to MVWDB, at MVWDB's discretion, within ninety (90) days after the established completion/termination date of the sub-award agreement.
 - c. Allowable costs that are associated with the return of MVWDB tangible property may be delineated from the balance of the sub-recipient's unobligated budget.

ALLOWABLE CLOSEOUT COSTS

The following expenditures may be considered allowable closeout costs during the designated closeout period. Prior written approval from MVWDB is required. Sub-recipients terminating a relationship with MVWDB are typically allowed a 30-day period to incur allowable closeout costs. This period may be extended and will be determined by MVWDB and communicated to the sub-recipient in writing.

- Administrative fiscal personnel expenditures directly related to the closeout process.
- Administrative management personnel expenditures directly related to the closeout of contracts/ sub-awards.
- Programmatic personnel costs directly related to the closeout of client files and/or transfer of participants to applicable sub-recipients within the Mississippi Valley Workforce Area (MVWA).
- Administrative and operational costs that are incurred only during the designated closeout

period and are appropriately allocated, if applicable (e.g., administrative costs: audits; record retention), (e.g., operational costs: utilities; rent).

PROGRAM PARTICIPANT RECORDS

MVWDB will establish timelines whereby all program participant's records must be transferred to MVWDB and will inform sub-recipients of these timelines in writing. To ensure a continuation of service provision to program participants, these processes may commence prior to the sub-award(s) termination/ completion date. Sub-recipients must ensure that no new program participants will be registered, enrolled in any activity, or provided any services, once the closeout date has been established.

EXTENSION

MVWDB may extend the deadline for submission of the closeout package. Decisions will be made on a case-by-case basis. Requests for extension must provide evidence of the necessity for the extension and must be submitted to MVWDB no later than 30 days after the contracted date. Only under extraordinary circumstances will additional extensions be considered.

CLOSEOUT PACKAGE

MVWDB's closeout package will contain established closeout forms and instructions. All sub-recipients are responsible for ensuring compliance with the requirements of the closeout package. It is also the responsibility of each sub-recipient to issue closeout instructions to sub-contractors, if any, providing sufficient time to conduct an orderly closeout of the sub-award agreement. The closeout of a sub-award does not affect the following:

- The right of MVWDB to disallow costs and recover funds on the basis of a later audit or any other review.
- The obligation of the sub-recipient to return any funds due as a result of later refunds, corrections, disallowed costs, or other transactions.
- Record retention requirements, audit requirements, and property management requirements as established by Federal, State, and local statutes and/or regulations.
- MVWDB will not be liable for any costs the sub-recipient failed to pay before the closeout date. Furthermore, MVWDB will not be liable for any late claims received by sub-recipients. MVWDB will not have funds available for those claims.
- Sub-recipients must ensure that all program/grant liabilities are paid before the closeout date. No unpaid expenditure can be paid with federally awarded funds after the closeout process is completed. Any such expenditure must be paid by the sub-recipient from non-federal funds.

MVWDB may establish additional closeout requirements when there will no longer be a relationship with a sub-recipient. Sub-recipients are responsible for reviewing the closeout instructions, provided by MVWDB for specific items required for a complete closeout process.

REFERENCES

Public Law (P.L.) 113-128 Sec. 184; Uniform Administrative Requirements, Costs Principles and Audit Requirements for Federal awards, 2 CFR part 200; 2 CFR Part 200.333; 2 CFR Part 200.343; 2 CFR Part 2900.15; State Compliance Policy (SCP) 3.5; and SCP 3.3.