

**STATEMENT OF WORK
ARBOR E&T, LLC
(NORTHSIDE)
WORKFORCE SERVICES
NOVEMBER 1, 2018 – JUNE 30, 2019**

The Contractor does hereby agree to provide and comply with the conditions for Workforce Services as described herein.

I. Period of Contracted Services:

The Contractor shall provide Workforce Services for the effective period of **November 1, 2018, through June 30, 2019.**

II. Performance:

The Contractor shall be responsible for achieving the performance as set forth in:

- Exhibit A–Statement of Work:
 - Attachment 3–Exhibit A–CSSF Balanced Scorecard Performance Requirement; and
 - Attachment 4–Exhibit A–CSSF Specifications for Workforce Services Balanced Scorecard Report.
- Exhibit D–Payment Provisions:
 - Attachment 1–Exhibit D–Payment Provision Table.

III. Contractor Responsibilities:

- A. The Contractor shall deliver services in accordance with **Exhibit AA, Program Design and Service Delivery.**
- B. The Contractor shall maintain an establishment, in accordance with **Article II, Section V-CareerSource Center and Furniture Maintenance** of this Contract that meets the needs of employers and job seekers as well as providing outreach activities to the community.
- C. The Contractor shall provide workforce services in the areas of, but not be limited to, job placement, job creation, job retention, self-sufficiency determination, career management, and follow-up to employers and job seekers to ensure long-term success through self-sufficiency, while achieving the contracted performance outcomes.
- D. The Contractor shall deliver a fully integrated menu of workforce development services to employers and a host of potential job seekers to include, but not be limited to, the universal job seeker, Temporary Assistance to Needy Families (TANF) eligible individuals/Career Advancement Program (CAP) participants, Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T) participants, Workforce Innovation and Opportunity Act (WIOA) Adults and Dislocated Workers, Re-employment Assistance (RA) formerly Unemployment Compensation, Reemployment Services and Eligibility Assessment Program (RESEA), (UC) claimants, Veterans, Young Adults transitioning from foster care, individuals seeking specialized services such as professionals, and Trade Adjustment Act (TAA).
- E. The Contractor shall oversee the activities of approved partners in the CareerSource center and coordinate all specialized programs designed to deliver services in the most efficient and cost

effective manner. This shall include coordination with the region's Access Points to provide workforce services.

- F. The Contractor is solely responsible for determining eligibility for services under this Contract as set forth in **Exhibit AA, Program Design and Service Delivery**, applicable federal and state laws, and the South Florida Workforce Investment Board's (SFWIB) Policies and Procedures. Services rendered to ineligible individuals are subject to disallowance as set forth in **Article IV, Section D-Return of Funds** of this Contract.

IV. Staffing Requirements:

A. Contractor Staff:

- 1. In order for Centers to deliver maximum value to workforce services participants, the revised Workforce Services Staffing Procedure Transmittal shall be adhered to as it ensures the hiring of qualified staff, the Transmittal may be accessed at CareerSource South Florida's web site by selecting the Resources tab and then selecting "Supporting Documents", click on "Transmittals and Directives" (<http://www.careersourcesfl.com/resources/>).
- 2. In an effort to deliver maximum value to workforce services participants, the SFWIB may deem it necessary to provide facilities outside of the center where workforce services participants can access Workforce Services. The Contractor shall be responsible for the management of all staff assigned to facilities where Workforce Services are provided.

B. SFWIB Assigned Staff:

- 1. The Contractor shall be responsible for the management of Florida Department of Economic Opportunity (DEO) staff and expressly agrees that DEO staff shall provide Wagner Peyser (WP) employment services. Failure to comply with this provision may result in the removal/reduction of DEO staff from the Contractor's Center.
- 2. The SFWIB may deem the assignment of supplementary personnel as operationally necessary to support the employment and training services of the Contractor. The SFWIB shall be responsible to recruit, screen, select, and hire supplemental staff that includes, but is not limited to: TANF/RET and DEO OPS. The SFWIB shall pay the employee placed in service for straight-time wages or salaries (no overtime), as applicable for up to and including forty (40) hours per week, per employee. The SFWIB shall determine the employee hourly rate of pay and work location.
- 3. Straight-time wages are payments for straight-time work hours. Straight-time work hours are defined herein as regularly scheduled work hours that are not subject to overtime or bonus pay. The SFWIB shall not pay for hours worked in excess of forty (40) hours per employee, per week. Any payment for hours worked in excess of the forty (40) hours per employee, per week shall be the sole responsibility of the service provider.
- 4. The SFWIB shall not reimburse or pay Contractors for any DEO employee benefits, overtime or bonus pay.

C. Training of Staff:

The Contractor shall ensure that center staff is trained on:

- o All Operational Reports, implementation strategies that maximize performance outcome potentials to be cost-efficient, and utilizing dual enrollment or other strategies for optimal service delivery;
- o Required Participant File Contents;
- o Required training in serving Limited English Proficiency (LEP) customers;

- Required credentialing and skills standards; and
- Tier 1 Certification.

The Contractor shall:

1. Ensure that new staff is trained and that program specific trainings (i.e. WIOA, CAP, WP, etc.); other required trainings (i.e. Tier 1, Security Awareness, Hurricane Preparedness, etc.); set forth in **Article III, Section O-Training of Staff** of this Contract and in the SFWIB Credentialing and Skills Standards Policy, are conducted in a timely manner;
2. Ensure that all WIOA funded staff are Tier 1 certified within ninety (90) days of hire date. Attainment of the Tier I certificate requires completion of individual course work, as well as taking and passing each module test as required by DEO;
3. Coordinate all CareerSource center program trainings and the SFWIB's required trainings with the SFWIB's Training Coordinator;
4. Post all trainings on the SFWIB's internal training calendar;
5. Submit the Monthly Training Report updated with all programs and required trainings to the SFWIB's Training Coordinator by the **10th day of every month** (See **Exhibit E, Reporting Requirements**); and
6. Follow the SFWIB's training priorities as identified by the SFWIB's Training Coordinator.

V. Program Service Locations:

The Contractor shall operate and manage the SFWIB CareerSource center(s). The location of the aforesaid CareerSource center(s) shall be subject to change by the SFWIB at any time for any reason, at the sole discretion of the SFWIB. If the location of the CareerSource center changes, the Contractor shall operate and manage that CareerSource center from the new location identified by the SFWIB. The SFWIB will be responsible for all relocation cost.

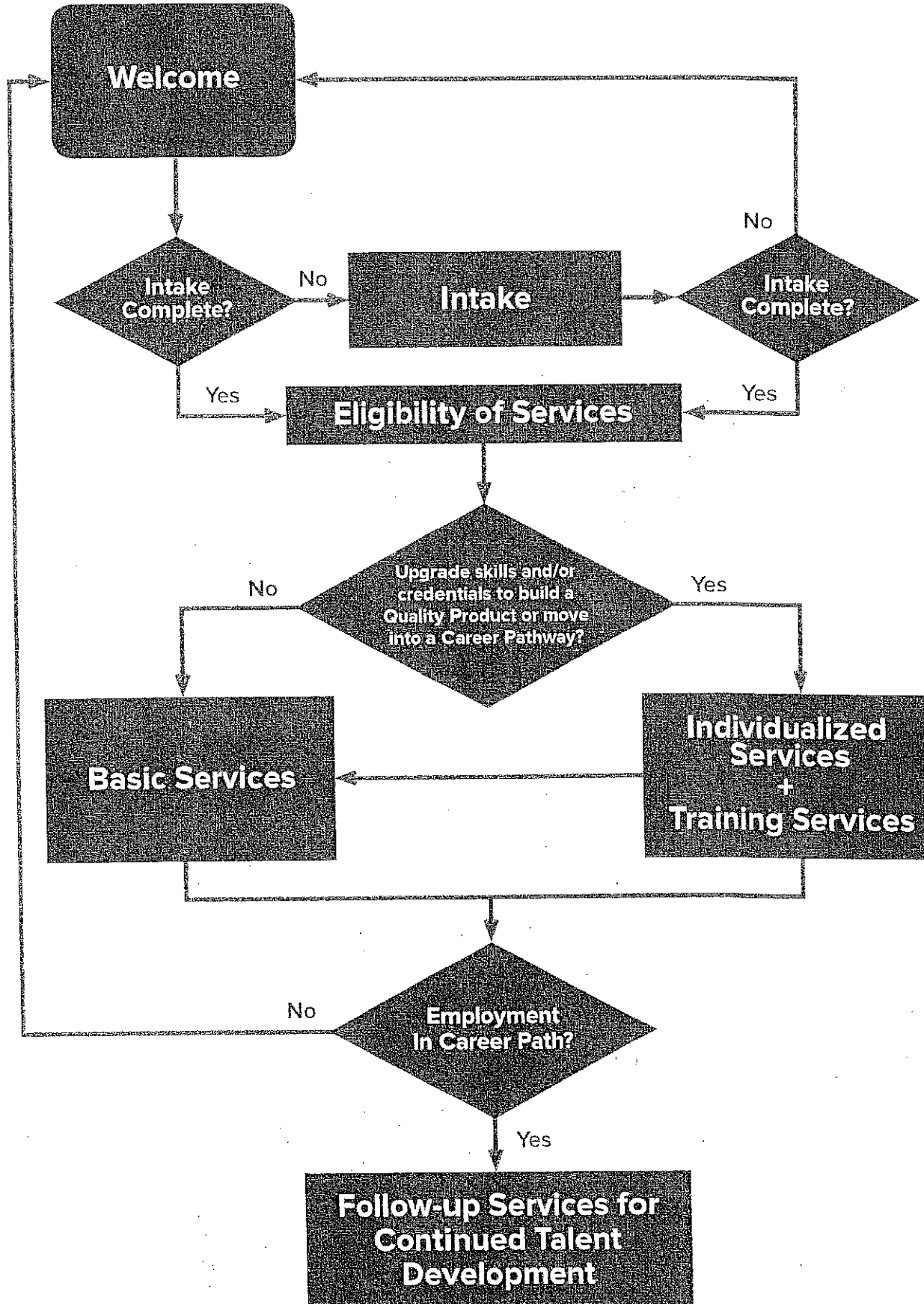
The Contractor shall operate the following CareerSource center location(s):

- Northside CareerSource center: 7900 NW 27th Avenue, Suite 200, Miami, Florida 33147.

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TALENT DEVELOPMENT FLOW CHART





EMPLOYMENT VERIFICATION

Date: _____

CSSF/each
Service Provider / Training Location _____ Address _____ City _____ State _____ Zip Code _____

Staff Name / Title _____ Office Number _____ Ext _____ Fax Number _____

Federal Law requires the collection of wage and employment data on workforce participants. The following information is needed:
Please complete each section:

SECTION I - GENERAL INFORMATION

Name of Employee: _____ Social Security Number: XXX-XX-
(Last 4 digits only)

Job Title: _____ No. Hours Worked Per Week: _____

Start Date: _____ Date of Hire (If Different Than Start Date): _____

How Often Is/Was the Employee Paid? Daily Weekly Bi-Weekly Monthly

Rate of Pay: \$ _____ per Hour _____ Other: _____
(Hourly/Daily/Weekly/etc.) (Explain)

Employment Type: Temporary (Less than 150 days) Seasonal (Less than 150 days) Permanent (150 days or more)

Does / Did Employee Receive Tips? Yes No If Yes, What is the Average Weekly Amount? \$ _____

Is The Person Currently Employed? Yes No If No, Provide Employment End Date: _____

Is/Was Employment Seasonal? Yes No Is / Was the Employee Covered By Health Insurance / Fringe Benefits Yes No

SECTION II - EMPLOYER INFORMATION

Company's Name: _____
Address _____ City _____ State _____ Zip Code _____

Employer Telephone Number: _____ E-Mail Address _____

By signing below I hereby affirm that the above information is correct; and that I am a duly authorized representative for this company.

Signature of Representative _____ Print Name of Representative _____

Title of Representative _____ Date Completed _____

SECTION III - WORK NUMBER (IF APPLICABLE) **SERVICE PROVIDER USE ONLY**

Employee Number: _____ Hire Date: _____ Verified By: _____

SECTION IV - VALIDATION OF EMPLOYMENT INFORMATION ABOVE **SERVICE PROVIDER USE ONLY** SOW Section IV - Item D, E, F and G

Validated By: _____
Print Name _____ Signature _____ Agency/Service Site _____ Date _____

Verified With: _____ Method of Verification: Telephone E-Mail
Name and Title of Employer Representative _____

CSSF Balanced Scorecard Performance Requirement

Arbor E&T, LLC
Northside

Performance		
	Process Quality Measures	Standard
1	Training Completion Rate	70%
2	Training Completion Placement Rate	70%
3	Training Related Placements Rate	70%
4	Training Enrollments Rate	16
5	CAP All Family Participation Rate	50%
6	Career Advancement Program (CAP) Entered Employment Rate (EER)	40%
7	Wagner Peyser (WP) Entered Employment Rate (EER)	50%
8	WIOA Adult & Dislocated Worker EER	98%
9	Short-Term Veterans EER	50%
10	Employers Served (Employer Penetration Rate)	202
11	Employer Serviced with Level 1 Services	132
12	Jobs Openings Filled Rate	65%
13	Referral Job Skills Match Average	80%
	Outcome Measures	
14	Employment (Obtained Employment and Direct Job Placements)	406
15	Employed 2nd Quarter After Exit	90%
16	Employed 4th Quarter After Exit	90%
17	Average Days to Employment	145
	17a DJP Average Days to Employment	60
	17b Obtained Average Days to Employment	167
18	Employment/Job Placement Average Wage	\$14.58
19	Cost Per Placement	\$681.44
20	Net Economic Benefit	\$30,326.40
21	Return on the Investment	\$43.50

QUALITY ASSURANCE	PROCESS KEY INDICATORS	Standard	WORKFORCE ENHANCEMENT REPORT/TOOL
1	Outreach to Jobseekers	80%	Incomplete Registration Report
2	Work Registration - Initial Assessment	80%	Incomplete Registration Report
3	Work Registration - EMD/EM Complete Registrations	80%	Incomplete Registration
4	Quality of Job Seeker Referrals to Jobs	35%	Referral to Placement Ratio
5	Follow-up with Jobseeker Referrals to Jobs	10% or less	Referral to Placement Ratio
6	Manage Exits/Follow-up	55%	Soft Exits Application/Report
7	Manage Job Orders/Follow-up with Employers	90%	Job Order Report
8	Average Duration of Jobseekers Unemployed	12 months	Incomplete Registration Report/UI Tool
9	Manager TANF/CAP Caseload	80%	CAP Review Tool
10	Outreach to Employers-Employer Penetration Report	50% Increase	Employer Penetration Report
11	SNAP Engagement	20%	OSST



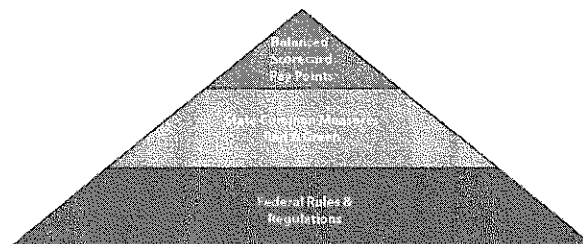
CSSF Specifications for Workforce Services Balanced Scorecard Report

I. PURPOSE

The purpose of the 2018-2019 South Florida Workforce Investment Board's (SFWIB) Balanced Scorecard Report is to strengthen and make the SFWIB's workforce service delivery system more effective and efficient by simplifying complex measures systems, integrating multilevel performance indicators and focusing on the basics such as employment outcome and self-sufficiency. The Balanced Scorecard Report includes a comprehensive Job Placement performance measure that is also used as a payment structure to improve employment opportunities for all jobseekers and increase local businesses' competitive advantage in a global economy.

The SFWIB's performance structure is derived from local, state and federal mandated measures. The comprehensive multilevel performance measures system was used to distinguish the organization's goals and define the Balanced Scorecard measures. This system shall assist the Area in exceeding performance and serving all participants. The graph below illustrates the vertical integration of the multilevel performance measures system.

The Balanced Scorecard Report, along with the other operational reports, acts as a measurement system, strategic management system, and communication tool. It provides a compass for resource allocation to the SFWIB Contractors by sorting and prioritizing dozens of state and federal mandates. It simplifies the complex and perplexing Workforce performance system, which in turn enhances Contractors' ability to allocate human capital and financial resources in areas that shall collectively benefit Workforce Area 23's performance.



This document describes the specifications for the Balanced Scorecard Report 1) selection criteria, 2) the reporting elements, and 3) logic that shall be used to obtain the different reporting elements. It is organized in three sections; Job Placements, CSSF Balanced Scorecard Performance Requirement, and Quality Assurance (QA) Key Indicators based on the contract requirements.

II. REPORT METHODOLOGY

Listed below are the SFWIB's methodologies used to define and calculate the performance accountability requirements for Workforce Area 23. Data will be obtained from the One-Stop Service Tracking (OSST), Employ Miami-Dade (EMD)/Employ Monroe (EM) and Workforce Management System (WFMS) data warehouse and computed using the following listed methodologies.

Acronyms	Systems	Programs
OSST	One-Stop Service Tracking	Career Advancement Program and Supplemental Nutrition Assistance Program (SNAP)
EMD/EM	Employ Miami-Dade/Employ Monroe	WIOA Adult (WIOA AD), WIOA Dislocated Worker (WIOA DL), Reemployment and Eligibility Assessment (REA), and Wagner Peyser (WP) Programs
WFMS	Workforce Management System	All Programs

A. JOB PLACEMENTS

1) *Wagner-Peyser (WP) Obtained Employment (OE)*

A Wagner-Peyser (WP) Obtained Employment (OE) refers to those fully (complete and accurate) registered individuals who secure employment within 180 calendar days of receiving one or more services which are wholly or partially funded by the state employment service agency, but the placement does not meet the federal definition for a "WP Placement." Credit for an OE may be claimed for any fully registered participant who has received any WP staff assisted reportable service(s) and has a job start date, where both service and start date fall within 180 days from the date the obtained employment is recorded. A participant must also have a full EMD/EM registration in the database before the start date of the obtained employment. Complete EMD/EM registration is defined as a complete and accurate registration for work (to include a valid telephone number and e-mail address) consisting of the background (education profile and employment history) and the participants resume must be active (updated and viewable) in EMD/EM. Staff must verify that the jobseeker has started working prior to taking credit for an OE. Notification of a hire date will not suffice for securing OE credit. All participants, as part of their initial EDM/EM registration, will be encouraged to create an email address for use in job placement. If a participant does not have an email address, the process to create an account will be instructed at the designated CareerSource center Resource Room.

Data Source: The data will be obtained from EMD/EM. EMD/EM OE Service Codes: 880, 881, 882, and 883.

2) *Wagner-Peyser (WP) Universal Direct Job Placement (DJP)/ Direct Employment*

The SFWIB refers to a WP Placement as a Wagner-Peyser (WP) Direct Job Placement (DJP). A WP Placement as defined by 20 CFR 651.10 is the hiring by a public or private employer of a fully registered individual referred by the employment office for a job or an interview, provided that the same employment office completed all of the following steps in sequential order from ii to vi:

- i. Prepared a job order form prior to referral, except in the case of a job development contact on behalf of a specific applicant;
- ii. Made prior arrangements with the employer for the referral of a fully registered individual or individual(s);
- iii. Referred a fully registered individual in Employed EMD/EM database (i.e., Background (Education Profile + Employment History), and active (viewable to employers) Resume, valid telephone number and email address) who may or may not have been specifically designated by the employer, except for referrals on agricultural job orders for a specific crew leader or worker. The registration must be completed prior to the referral;
- iv. Verified from an acceptable source (i.e. New Hire Report, Wage Credit, Work Number or Paystub), signed employment verification from the employer that the individual had entered on a job (for staffing agencies the job seekers must have been assigned to a worksite and have earned wages);
- v. Appropriately recorded the placement and submitted a signed employment verification to SFWIB/CSSF at the time of invoicing; failure to submit employment verification at the time of invoicing will result in an automatic disallowance of unverified placements. Submitting falsified verifications will be a disallowance and may lead to a loss of Contract;
- vi. If the DJP is with a staffing agency, the provider must also provide documentation (i.e. pay stub or payroll register) that authenticates the participant was assigned to a worksite and earned wages. The first pay stub after start date is preferred; and
- vii. If a participant has been placed in employment by a refugee provider (Direct or Self Placement) in the same program year, that participant cannot be entered as a Direct Job Placement.

The SFWIB requires that the above step ii through vii be completed in sequential order and by the same office; failure to comply will result in the placement being disallowed. If a placement is disallowed that placement will be removed from the CSSF Balance Scorecard Performance Requirement (Attachment 3 of Exhibit A) and all other SFWIB Reports.

A WP DJP includes a Wagner-Peyser (WP) Job Development Placement. The Code of Federal Regulations, specifically Title 20 Part 651.10 provides that a job development means the process of securing a job interview with a public or private employer for a specific applicant for whom the local office has no suitable opening on file.

If there is no suitable opening on file in the Job Bank system, staff should make job development attempts (contacts) on behalf of the job seeker. The job development attempt should be recorded on the job seeker's activity service plan in EMD/EM. Job development attempts should be documented on the job seeker's case notes screen by listing the employer's name.

If staff later learns that the jobseeker was hired on the job to which a job development attempt was made, then the staff person should write a job order and take credit for the placement. Once the job order is written to reflect the hire, it must be matched against the job development referral that was previously entered on the job seeker's services screen.

Data Source: The data will be obtained from EMD/EM. EMD/EM Service Codes: 750, 752, 753, 754, 760, 762, 764, 766, 770, 772, 774, 776, 780, 850, 852, 854, 856, 860, 862, 864, 866, 870, 872, 874, and 879.

Note: A DJP for Payment is referred as a Direct Employment

3) *Conditions of Job Placements (OE or DJP)*

Conditions of Job Placements (OE or DJP) defined in the **Payment Provisions (Exhibit D)**.

4) *Types of DJP (Direct Job Placement)*

i. *Universal*

A Universal DJP refers to a fully registered WP jobseeker in EMD/EM that secures a job placement by meeting the federal definition for a "Direct Job Placement," it is not a WIOA enrolled participant and does not meet the criteria for any of the other seven types of DJP. The WP DJP must be recorded in EMD/EM during the reporting period. The WP referral create date must be on or prior to the employment start date.

Note: If the DJP is a WP Job Development, then the job development contact (activity code 123) must be on or prior to the hire date.

Data Source: The data will be obtained from EMD/EM WP.

ii. *WIOA Individualized Adult/Dislocated Worker (DW)*

A WIOA Individualized Adult or DW DJP refers to an eligible fully registered WIOA Adult or DW Participant in EMD/EM that secures a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. The WP DJP result date must be recorded in EMD/EM WIOA during the WIOA participation period before the program's exit. The referral and placement must be to a full-time job greater than 150 days in duration.

Note: If the DJP is a WP Job Development, then the WIOA eligibility/enrollment date must be prior to the job development contact (activity code 123).

Data Source: The data will be obtained from EMD/EM WP and WIOA.

iii. *WIOA Individualized Job Seekers with Disabilities*

A WIOA Individualized Job Seeker with a Disability refers to an eligible fully registered WIOA Adult or DW Participant that is identified in EMD/EM to have a disability and secures

a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. The WP DJP result date must be recorded in EMD/EM WIOA during the WIOA participation period before the program's exit. The referral and placement must be to a full-time job greater than 150 days in duration.

Note: If the DJP is a WP Job Development, then the WIOA eligibility/enrollment date must be prior to the job development contact (activity code 123).

Data Source: The data will be obtained from EMD/EM WP and WIOA.

iv. *WIOA Individualized Veterans or Ex-Offenders*

A WIOA Individualized Veteran or Ex-Offender refers to an eligible fully registered WIOA Adult or DW Participant that is identified in EMD/EM as a Veteran or an Ex-Offender and secures a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. The WP DJP result date must be recorded in EMD/EM WIOA during the WIOA participation period before the program's exit. The referral and placement must be to a full-time job greater than 150 days in duration.

Note: If the DJP is a WP Job Development, then the WIOA eligibility/enrollment date must be prior to the job development contact (activity code 123).

Data Source: The data will be obtained from EMD/EM WP and WIOA.

v. *WIOA Individualized Reemployment Assistance (RA) Claimant or Homeless Person (HP)*

A WIOA Individualized Reemployment Assistance (RA) Claimant refers to an eligible fully registered WIOA Adult or DW Participant that is identified in EF or the State RA system as a recipient of Reemployment Assistance and secures a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. A Homeless Person refers to an eligible WIOA Adult that is identified in EMD/EM as meeting the United States Department of Housing and Urban Development's definition of a Chronically Homeless Person at the time of registration and secures a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. The WP DJP result date must be recorded in EMD/EM WIOA and occur within six months of the WIOA application date. The referral and placement must be to a full-time job greater than 150 days in duration.

Note: If the DJP is a WP Job Development, then the WIOA eligibility/enrollment date must be prior to the job development contact (activity code 123).

Data Source: The data will be obtained from EMD/EM WP and WIOA.

vi. *WIOA Individualized TANF/Career Advancement Program (CAP) or Supplemental Nutrition Assistance Program (SNAP)*

A WIOA Individualized TANF/Career Advancement Program (CAP) or Supplemental Nutrition Assistance Program (SNAP) DJP refers to an eligible fully registered WIOA Adult or DW Participant that is identified in OSST as a CAP or SNAP participant and secures a DJP with the WP referral creation date established after the WIOA eligibility/enrollment date. Additionally, the hire date and referral create date and/or the WIOA eligibility/enrollment date do not occur on the same date. The WP DJP result date must be recorded in EMD/EM WIOA during the WIOA participation period before the program's exit. The referral and placement must be to a full-time job greater than 150 days in duration.

Note: If the DJP is a WP Job Development, then the WIOA eligibility/enrollment date must be prior to the job development contact (activity code 123).

Data Source: The data will be obtained from EMD/EM WP, EMD/EM WIOA, OSST CAP, and OSST SNAP.

Criteria for a WIOA Individualized TANF/CAP DJP: Employment information shall also be recorded in OSST and the hire date must be after a full month of CAP mandatory participation period before the CAP program's closure and during the reporting period. If the placement occurs during the first month in CAP then at least one hour of participation must be recorded in OSST.

Criteria for a WIOA Individualized SNAP DJP: SNAP participants with employment hire date on or after being actively engaged in a qualifying SNAP component with at least one JPR hour recorded in OSST during the reporting period. Employment information shall also be recorded in OSST.

vii. *Training Related Milestones/Placements*

A Training Related Milestone/Placements is defined as the successful completion of an approved training program with a contracted training vendor. Milestones consist of a participant achieving any of the following:

- Program Completion
- Credential Attainment (earning one of the following):
 - Diploma
 - Post-Secondary Educational Certificate
 - College Degree

- Milestone/Placement payments will be paid as follows:
 - Program completion-Twenty percent (20%) of total placement category payment amount (cost per placement) at the time of completion.
 - Credential Attainment-Thirty percent (30%) of remaining balance of placement category.
 - Job Placement in a full-time job (a minimum of thirty (30) hours per week and greater than 150 days in length and related to the course of study as defined by ONET Code) - Remaining unpaid balance for placement category less than 90 days or greater than 90 days as applicable.
 - Job Placement in a full-time job (a minimum of thirty (30) hours per week and greater than 150 days in length and **NOT** related to the course of study) - The Universal Placement Rate after the first quarter.

B. CSSF BALANCED SCORECARD PERFORMANCE REQUIREMENT

1) *Training Completion Rate*

Training Completion Rate reflects the number of WIOA, Trade Adjustment Assistance (TAA), and CAP participants who completed training in WFMS divided by the number of participants who enrolled in training in WFMS and received a training voucher that was paid with a completion or any of the closure reasons.

A training account with a paid training voucher and one of the following completion reasons "Never Attended (NE), Training Program Transfer (TT), or Cancelled Enrollment (CE)" shall be in the denominator as follows:

- NE – If a training account ends with completion reason of NE and the participant received a training voucher that was paid for by the same training account, then the training account shall be calculated in the denominator.
- TT – If a training account ends with completion reason of TT and the participant is not enrolled in training on or after the actual end date of the transfer, then the training account shall be calculated in the denominator.
- CE – This option is no longer available in WFMS. However, if a training account ends with completion reason of CE, then the training account shall count in the denominator.

The total # of participants who completed training in WFMS with a paid training voucher

Divided by total # of participants who show a completion or any of the closure reasons with a paid training voucher

Data Source: The data on the completion of the training is collected and analyzed using WFMS.

2) *Training Completion Placement Rate*

Training Completion Placement Rate reflects the number of participants who completed training and obtained employment within 180 days of training completion divided by the number of

participants who completed training within 180 days of training completion during the reported period.

The total # of participants who completed training and obtained employment within 180 days of training completion

Divided by the total # of participants who completed training within 180 days of training completion

Data Source: Training completion information is collected and analyzed using WFMS. The placement information is obtained from EMD/EM, OSST, and WFMS.

3) *Training Related Placements Rate*

Training Related Placement Rate reflects number of participants who completed training, obtained employment and have been placed in a training related occupation within 180 days of training completion divided by the number of participants who completed training and were placed within 180 days of training completion during the reported period.

The total # of participants who completed training, obtained employment and have been placed in training related occupation within 180 days of training completion during the reported period

Divided by the total # of participants who completed training and obtained employment within 180 days of training completion during the reported period

Data Source: Training completion and training occupational codes are collected and analyzed using WFMS. The placement information and occupational codes (O*Net) codes are obtained from EMD/EM and WFMS systems. The O*Net codes are used to map the training occupations with the placement occupations.

4) *Training Enrollments Rate*

Training Enrollments Rate reflects the number of WIOA eligible participants enrolled and attended in qualified WIOA ITAs, On-the Job Training (OJT), and Paid Work Experience (PWE) in EMD/EM and WFMS for the reporting period.

Data Source: The data will be obtained from EMD/EM and WFMS.

5) *CAP All Family Participation Rate*

CAP All Family Participation Rate reflects the total number of families (mandatory participants) receiving TANF including a work eligible adult or minor head-of-household who is engaged in work activity for the month divided by the total number of mandatory participants receiving Temporary Cash Assistance (TCA).

The total # of CAP mandatory participants engaged in a Federal allowable countable activity

Divided by the total # of CAP mandatory participants receiving TCA

Data Source: The data shall be obtained from the OSST.

6) *Career Advancement Program (CAP) Entered Employment Rate*

Career Advancement Program (CAP) Entered Employment Rate reflects the number of all CAP mandatory cases that close with employment divided by the total number of closures within the reporting period.

The total # of all mandatory cases that close with employment

Divided by the total # of mandatory cases that close within the reporting period

Data Source: The data shall be obtained from the OSST system.

7) *Wagner Peyser (WP) Entered Employment Rate*

Wagner Peyser (WP) Entered Employment Rate reflects the number of all Wagner-Peyser participants unemployed at enrollment that were placed at exit divided by all the WP participants unemployed at enrollment that have exited. Exits are defined as participants who have not had a service within three (3) months from the last reportable service.

The total # of all WP participants placed at exit

Divided by the total # of all WP participants who exit

Data Source: The data shall be obtained from the EMD/EM WP.

8) *WIOA Adult and Dislocated Worker Entered Employment Rate*

WIOA Adult and Dislocated Worker Entered Employment Rate reflects the percent of those WIOA Adults and Dislocated Workers participants unemployed at registration and placed at exit divided by all the Adults and Dislocated Workers participants unemployed at registration who exit.

The total # of all Adult participants placed at exit

Divided by the total # of Adult and Dislocated Worker participants who exit

Data Source: The data shall be obtained from the EMD/EM WIOA.

9) *Short-term Veterans Entered Employment Rate*

Short-term Veterans Entered Employment Rate reflects the number of exiting Veterans who were placed in EMD/EM in the 90 days following their exit date divided by the number of Veteran participants who were unemployed at their date of participation and were exited after 90 days.

The total # of exiting Veterans who were placed within 90 days of the exit date

Divided by the total # of Veteran participants who were unemployed at their date of participation and were exited after 90 days

Data Source: The data shall be obtained from the EMD/EM.

10) *Employers Served (Employer Penetration Rate)*

Employers Services (Employer Penetration Rate) reflects the total number of new Employers that have received (for the first time during the program year for the Region) at least one of the following levels of service and recorded in EMD/EM:

- Level 1 (Highest Service Level): Includes services such as pre-screening; job orders; veteran services; customized training; job referrals/placements, job fairs; on-site workshops for recruitment/retention.
- Level 2 (Mid-Level Services): Includes services such as referrals of qualified applicants; work readiness certifications; employer notifications of potential applicants.
- Level 3 (Lowest Level of Service): Includes services such as employer contacts; promotional calls; providing information packages; business incentive information.

Data Source: The data will be obtained from EMD/EM WP.

11) *Employers Served with Level 1 Services*

Employers Services with Level 1 Services reflects the total number of the new Employers that have received a Level 1 Service that is recorded in EMD/EM for the first time during the Program Year (PY) for the Region.

Data Source: The data will be obtained from EMD/EM WP.

12) *Jobs Openings Filled Rate*

Jobs Openings Filled Rate reflects the number of (staff and employer initiated job openings filled) from the job orders in the Job Order Index measure divided by the total number of (staff and employer initiated job openings) in the job orders. The job orders to be excluded in the measure are: those on hold or are still open.

The total # of job openings filled in the job orders

Divided by the total # of job openings in the job orders

Data Source: The data will be obtained from the EF system.

13) *Referral Job Skills Match Average*

Referral Job Skills Match Average reflects the average number of the jobseekers skills that match the skills requested in the job order. This applies to all staff issued referrals during the reporting period.

Data Source: The data will be obtained from the EMD/EM system.

14) *Employment (Obtain Employment and Direct Job Placements)*

Employment (Obtain Employment and Direct Job Placements) reflects the total number of Direct Job Placements (DJP) and Obtained Employment (OE) in EMD/EM during the reporting period.

Data Source: The data will be obtained from EMD/EM.

15) *Employed 2nd Quarter After Exit*

Employed 2nd Quarter After Exit reflects the number of WIOA participants who exit and are employed in the second quarter after exiting. It is divided by the number of WIOA participants who exit during the reported period.

The total number of WIOA participants who obtained employment at the 2nd Quarter mark, post exit.

Divided by the total # of WIOA participants who exit during the reporting period.

Data Source: EMD/EM, Work number, wage credit.

16) *Employed 4th Quarter After Exit*

Employed 4th Quarter After Exit reflects the number of WIOA participants who exit and are were employed in the fourth quarter after exiting. It is divided by the number of WIOA participants who exit during the reported period.

The total number of WIOA participants who obtained employment at the 4th Quarter mark, post exit.

Divided by the total # of WIOA participants who exit during the reporting period.

Data Source: EMD/EM, Work number, wage credit.

17) *Average Days to Employment*

Average Days to Employment reflects is defined as the total number days its takes a job seeker to attain employment after registering in EMD/EM. The measure will consider both Direct Job Placements and Obtain Employment, after the WP EMD/EM registration/participation date. All hire dates shall be within the reporting period.

Data Source: The data shall be obtained from the EMD/EM systems.

18) *Employment /Job Placement Average Wage*

Employment/Job Placement Average Wage reflects the sum of the hourly wages of all the WP Job Placements (DJP's only) divided by the number of WP Job Placements in EMD/EM during the reporting period.

The sum of the hourly wages (DJP's only)

Divided by # of WP job placements

Data Source: The data will be obtained from EMD/EM WP DJPs.

19) *Cost Per Placement*

Cost Per Placement reflects the total contract award earned plus the WFMS allocations (obligated and paid) and share of facilities cost divided by the total number of Job Placements.

The total contract award earned plus the WFMS allocations (obligated and paid) and share of facilities cost

Divided by the total # of Job Placements

Data Source: The job placement information is obtained from EMD/EM.

20) *Net Economic Benefit*

Net Economic Benefit reflects the Annual Placement Average Wage subtracted by the Cost per Placement.

(Placement Avg. Wage x 2080 hours) - (Cost per Placement) = (The Net Economic Benefit per Placement)

Data Source: The job placement information is obtained from EF.

21) *Return on the Investment*

Return on the Investment reflects the Net Economic Benefit per Placement divided by the Cost per Placement.

The Net Economic Benefit per Placement

Divided by the Cost per Placement

Data Source: The placement information is obtained from EMD/EM.

C. QUALITY ASSURANCE (QA) KEY INDICATORS

1) *Outreach to Jobseekers*

Outreach to Jobseekers reflects the number of jobseekers enrolled in EMD/EM with at least one (reportable) staff assisted service recorded in EMD/EM.

Data Source: The data will be obtained from the WP Incomplete Registration Report.

2) *Work Registration – Initial Assessment*

Work Registration-Initial Assessment reflects the number of jobseekers enrolled in EMD/EM with an Initial Assessment Application (IAA) full registration for work divided by the number of jobseekers enrolled in EMD/EM with at least one staff assisted service recorded.

Data Source: The data will be obtained from the WP Incomplete Registration Report.

3) *Work Registration – EMD/EM Complete Registrations:*

Work Registration-EMD/EM Complete Registrations reflects the number of fully registered jobseekers enrolled in EMD/EM with at least one recorded staff assisted service divided by the total number of jobseekers (full and partial registration) enrolled in EMD/EM with at least one staff assisted service recorded.

Note: Complete EMD/EM registration for work consists of the Background (Education Profile and Employment History) and active (viewable to employers) Resume, valid telephone number and email address.

Data Source: The data will be obtained from the WP Incomplete Registration Report.

4) *Quality of Jobseeker Referrals to Jobs:*

Quality of Jobseeker Referrals to Jobs reflects the number of jobseekers referred to job orders EMD/EM by staff divided by the number of staff referrals made to job orders in EMD/EM.

Data Source: The data will be obtained from the WP Referral to Placement Ratio Report.

5) *Follow-up with Jobseeker Referrals to Jobs:*

Follow-up with Jobseeker Referrals to Jobs reflects the number of EMD/EM WP job orders that are "Expired, Fully Referred, or on Hold" and the total number of EMD/EM WP job orders that are "Open".

Data Source: The data will be obtained from the WP Job Order Report.

6) *Manage Exits/Follow-up*

Manage Exits/Follow-up reflects the number of jobseekers exiting EMD/EM WP with employment divided by the number of jobseekers exiting EMD/EM WP.

Data Source: The data will be obtained from the WP Soft Exit Application/Report.

7) *Manage Job Orders/Follow-up with Employers*

Manage Job Orders/Follow-up with Employers reflects the number of EMD/EM WP job orders that are "Expired, Fully Referred, or on Hold" and the total number of EMD/EM WP job orders that are "Open".

Data Source: The data will be obtained from the WP Job Order Report.

8) *Average Duration of Jobseekers Unemployed*

Average Duration of Jobseekers Unemployed reflects the average length of time all the WP Jobseekers were unemployed since the WP enrollment date with no job placement on its current EMD/EM Application ID history.

Data Source: The data will be obtained from the WP Incomplete Registration Report and Unemployment Tool.

9) *Manager TANF/CAP Caseload*

Manager TANF/CAP Caseload reflects the number of items met on the CAP Review Tool divided by all the items on the CAP Review Tool.

Data Source: The data will be obtained from the CAP Review Tool.

10) *Outreach to Employers Report – Employer Penetration Report*

Outreach to Employers Report-Employer Penetration Report reflects the percent increase of new employers served for the first time during the program year divided by last program year's total number of new employers served.

Data Source: The data will be obtained from the Employer Penetration Report.

11) *Supplemental Nutrition Assistance Program (SNAP) Engagement*

Supplemental Nutrition Assistant Program (SNAP) Engagement reflects the number of SNAP participants referred by Department of Children and Families (DCF) that are assigned to countable activities and have a minimum of one JPR hour logged in OSST.

Data Source: The data will be obtained from OSST.

**PROGRAM DESIGN AND SERVICE DELIVERY
WORKFORCE SERVICES
NOVEMBER 1, 2018 – JUNE 30, 2019**

I. INTRODUCTION

The Contractor shall provide access to workforce services that increase the employment, retention, and earnings of customers and meet the workforce preparation needs of the region through a menu of services that may be accessed through one, two, or more programs with dual enrollment strategies to optimize service delivery.

Workforce Services shall be provided in accordance with the Workforce Innovation and Opportunity Act (WIOA), Public Law (P.L. 113-128), Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (P.L. 104-193), Family Self Sufficiency (Chapter 414 F.S.) and all other applicable federal, state and local laws and regulations.

II. WORKFORCE SERVICES

A. Workforce Services to Businesses

Workforce Services to businesses is a critical component of the Workforce Services delivery system. The Workforce Services provide a direct value to a business while enhancing the ability of the workforce system to achieve optimal levels of job placement and job placement assistance. The Workforce Services provided to a business shall be designed to increase the employer penetration rate, increase the repeat business customer rate, and increase the retention rates with the same employer while improving job development and matching processes for jobseekers. "Job Placement" shall be the main focus.

The Contractor's Employer Services staff (i.e. Employer Specialists and Placement Specialists) shall be focused on business development, major job fairs (i.e. identifying, attending, obtaining and providing space for on-site interviews and skill matching), specialized recruitments, mass hiring, promotion of business incentives including Customized Training Programs (CT), Employed Worker Training (EWT), On-the-Job Training (OJT), Paid Work Experience (PWE), Transitional Jobs (TJ), and Entrepreneurial and Self-Employment Training (ESET).

The Contractor's Employer Services staff shall interact with the business community to address its current and anticipated labor needs, educate the business community about the services available through the SFWIB, and continually assess said needs for timely service delivery.

The Contractor's Employer Services staff shall partner with and/or join economic development agencies, chambers of commerce, industry focus groups, major job fairs, promotion of EWT, CT and implement the SFWIB's Strategic Plan.

1. The Contractor shall:
 - a. Conduct outreach and provide employer services to new (not served within current Program Year) businesses to increase employer penetration rate;
 - b. Conduct outreach and provide employer services to existing businesses to increase the repeat business customer rate;
 - c. Enter employer contact information into Salesforce and record all services provided to employers in Employ Miami-Dade (EMD)/Employ Monroe (EM), the Customer Relationship Management (CRM) system, and other systems as designated by the SFWIB;
 - d. Submit a Salesforce survey business plan to the SFWIB/CSSF Business Services Unit before the end of the first quarter of the program year;
 - e. Ensure that the designated CareerSource center staff develops job placement opportunities for jobseekers and converts these opportunities into job orders;
 - f. Ensure the Center Director and staff provides services to businesses in a professional manner, while utilizing the highest standards of ethics. Said services shall be appropriate and delivered timely under the direction and supervision of the Center Director;

- g. Participate in Salesforce training and webinars;
 - h. Send a Salesforce survey to each employer serviced utilizing the procedures as outlined on the Salesforce website;
 - i. Submit progress reports on survey activity on a quarterly basis to the SFWIB/CSSF Business Services Unit. Maintain a minimum of thirty percent (30%) employer response rate to surveys;
 - j. Provide customized services to meet the specific needs of each business;
 - k. Provide and maintain standardized service delivery in accordance with federal, state, and the SFWIB's Policies and Procedures;
 - l. Develop and coordinate training services for businesses;
 - m. Develop and coordinate community service and work experience worksites;
 - n. Develop and coordinate, at a minimum, three (3), specialized recruitments per month for businesses within the One Community One Goal (OCOG) targeted industries;
 - 1) Identify and prepare jobseekers to be job candidates by providing individualized services (i.e. work preparation activities);
 - 2) Prioritize submission of qualified candidate resumes to the SFWIB's Business Services Representative for time-sensitive special project and recruitment initiatives; and
 - 3) Develop and coordinate recruitments through the posting of job orders, conducting job fairs, providing space for on-site interviews and skill matching, etc.
 - o. Develop and coordinate opportunities for program participants through established relationships with businesses in Miami-Dade and Monroe Counties;
 - p. Provide skill testing and screen potential employees for employers through software tools to evaluate skill sets, abilities and qualifications that meet the business needs;
 - q. Job match qualified jobseekers and program participants who meet the business' minimum requirements;
 - r. Provide follow-up services to businesses to assess satisfaction with services received; document and share results with the SFWIB/CSSF Business Services Unit;
 - s. Provide leads of companies who may be interested in information on tax credits and financial incentives for available training services such as the EWT and OJT;
 - t. Coordinate with staffing agencies and other organizations that provide placement services to ensure adequate employment opportunities exist for jobseekers and program participants;
 - u. Coordinate with the SFWIB's Reemployment and Emergency Assistance Coordination Team (REACT) Coordinator to conduct rapid response activities for businesses that are faced with mass lay-offs, downsizing or closing;
 - v. Provide follow-up services on job orders using EMD/EM and document a case note in the system;
 - w. Promote and develop high-skill, high-wage employment opportunities, which meet the self-sufficiency standard for the region; and
 - x. Actively engage in and promote all regional industry/business initiatives as determined by the SFWIB.
2. For Other Training activities the Contractor shall:
- a. Track other training services including enrollment, training progress, completion, and reimbursement information by reviewing all systems pertinent to the program funding stream;
 - b. Thirty percent (30%) is allocated to OJT training and at a minimum forty percent (40%) shall be expended on the combined expenditures for OJT and PWE/TJ;
 - c. No more than ten percent (10%) of the training dollars can be expended for PWE/TJ;

- d. Ensure the Center Director fully reviews drafts of OJT agreements for accuracy, compliance, and accountability prior to execution;
- e. Ensure OJT agreements are not initiated within thirty (30) days of contract termination; any exceptions will be at the sole discretion of the SFWIB;
- f. Reimburse the business as set forth in the SFWIB OJT Policy (Section VIII (C) (10)) and the SFWIB's OJT Procedures;
- g. Reimburse the business at the time of completion for any CT, EWT and ESET certificates awarded as set forth in the SFWIB's Policies and Procedures;
- h. Obtain the appropriate signatory for the business on all agreements, including, but not limited to, CT, EWT, OJT, PWE, and ESET as set forth in the SFWIB applicable Policies and Procedures;
- i. Cooperate with the SFWIB/CSSF Business Services Unit to reconcile discrepancies and other training services-related issues;
- j. Be solely responsible for ensuring the participant(s) is eligible for the applicable funding stream in accordance with federal and state laws, and the SFWIB's Policies and Procedures;
- k. Be solely responsible for ensuring the business is eligible to enter into an SFWIB-funded agreement in accordance with federal and state laws, and the SFWIB's Policies and Procedures;
- l. Be solely responsible for payment to the business with whom the agreement was entered into by the Contractor; in the event the Contractor refers ineligible program participants to any SFWIB-funded OJT, EWT, TJ, CT, PWE, or ESET agreement; and
- m. Be solely responsible for payment to the business with whom the agreement was entered into by the Contractor, in the event the Contractor fails to enter the required participant information into the appropriate Management Information Systems (MIS) for the SFWIB-funded OJT, EWT, CT, TJ, PWE, or ESET agreements.

B. Workforce Programs

1. Wagner-Peyser (WP)

The Wagner-Peyser Act of 1933, as amended by WIOA, stipulates specific guidelines regarding the registration of jobseekers and the provision of services to employers. WP employment services are based upon the general concept that the basic purpose of these services is to bring jobseekers and employers together to find suitable employment matches. The Contractor shall:

- a. Make available labor exchange services to all employers and jobseekers including, but not limited to, Re-employment Assistance (RA) claimants, veterans, migrant and seasonal farm workers and individuals with disabilities.
- b. Be responsible for the management of Florida Department of Economic Opportunity (DEO) staff as per **Article IV, Section B-SFWIB Assigned Staff of Exhibit A, Statement of Work**.
- c. Ensure that DEO staff provide and document service delivery to all jobseekers and employers regardless of the ability to meet wage and placement requirements. All jobseekers are entitled to a basic level of services.
- d. Submit the Wagner Peyser Complaint Resolution System Log, EMD/EM Center Referral to Placement Ratio Report, and EMD/EM Soft Exits Report by the 10th of each month to the Adult Programs Unit (**See Exhibit E, Reporting Requirements**).
- e. Have a Migrant Seasonal Farm Workers (MSFW) Outreach Worker at Career Centers where ten percent (10%) or more of the jobseeker population are MSFW. The MSFW Outreach Worker is responsible for the provision of MSFW services, the submission of MSFW Reports Log of Daily Activities and the MSFW Monthly Report by the 5th day of the following month to the Monitor Advocate.
- f. Be responsible for the provision of Reemployment Services and Eligibility Assessment services (RESEA) as follows:

- 1) The RESEA program is designed to help RA beneficiaries find jobs in an effort to shorten the duration of claims and lead to fewer erroneous payments, resulting in savings to the RA Trust Fund and Employer Taxes. RESEA Claimants require staff assistance.
 - 2) The Contractor shall provide documented service delivery to all RESEA participants. Staff will schedule appointments and conduct individual and in-person reemployment assessments as per applicable federal, state and SFWIB program guidelines, Policies and Procedures.
- g. Be responsible for the provision of the Veterans Employment Services program as follows:
- 1) Provide priority services to veterans, especially disabled veterans, and develop linkages with other agencies to promote employment opportunities for veterans, in accordance with **Article V, Section T-Veterans' Priority Provisions** of this Contract. The Contractor shall submit the Manager's Report on Services to Veterans by the **5th** day of the first month of each quarter to Adult Programs Unit (**See Exhibit E, Reporting Requirements**).
 - 2) Promote the Military Family Employment Advocacy Program, which provides military spouses and their families with career services to assist them when there is a service member on active duty with the armed forces and refers eligible program participants to the Area's Military Family Employment Program Advocate
- h. Intake and Eligibility for Services shall be conducted before receipt of Basic, Individualized, and Follow-up services. Each of these services shall be made available to eligible jobseekers. The Contractor shall provide these jobseeker services following the **Talent Development Flow Process (set forth in Attachment 1)** as follows:

1) Intake

Intake is the collection of required documentation from jobseekers. The intake process includes, but is not limited to:

- a) General orientation: provides the jobseeker with information pertaining to the services that are provided at the centers.
- b) Initial application: basic demographic and background information is collected; it also identifies employment barriers and specifies skill levels and gaps in specific areas. The initial application is accessible to the jobseeker through the kiosk. All new registrations should be via the kiosk and include the creation of an electronic case file.
- c) Full EMD/EM registration: requires the jobseeker to complete a registration in the EMD/EM database. Full EMD/EM registration is defined as a registration for work consisting of a complete and accurate Background (i.e., Education Profile + Employment History), and active (viewable to employers) Resume, valid telephone number and e-mail address.
- d) Literacy, numeracy, and skills testing will be determined using an assessment approved by the SFWIB.

2) Eligibility of Services

The Eligibility of Services is the determination of whether individuals are eligible to receive assistance under WIOA. Eligibility of Services is made upon reviewing documents collected during intake and shall be used to assist staff in determining if the participant is eligible for enrollment under WIOA. Staff should use all available resources to reduce the amount of information requested from the participant to determine eligibility (i.e. Suntax or Public Assistance Records). Referral to Services shall ensure emphasis is placed on identifying barriers to employment, opportunities to improve skills and ways to acquire credentials and assist in the development of career pathways for talent pipelines, which results in better job candidates and employment outcomes.

The Contractor shall be responsible for the eligibility determination for each of the SFWIB-funded programs (i.e. WIOA and TANF). The Contractor shall only have SFWIB Workforce

Programs Eligibility certified (trained and approved by the SFWIB) staff conduct Workforce Programs' Eligibility.

2. WIOA

The Workforce Programs to be provided shall be in accordance with WIOA. WIOA supersedes the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973. WIOA brings together, in strategic coordination, the core programs of Federal Investment in skill development: 1) employment and training services for adults, dislocated workers, and Wagner-Peyser employment services administered by the Department of Labor (DOL) through formula grants to states; and 2) adult education, literacy programs and Vocational Rehabilitation state grant programs that assist individuals with disabilities in obtaining employment administered by the Department of Education (DoED).

In addition, WIOA authorizes other programs administered by DoED and the Department of Health and Human Services for specific vulnerable populations, including the Job Corps, YouthBuild, Indian and Native Americans, and Migrant and Seasonal Farmworker programs. WIOA is designed to help jobseekers access employment, education, training, and support services to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy. The Contractor shall:

- a. Provide a continuum of services to adults and dislocated workers that, depending on the needs of the participant, may require varying levels of individualized career services and follow-up activities. CareerSource centers **are required** to conduct regular follow-up activities prior to the second and fourth quarter after the participant exits. Availability of funds, in conjunction with an individual's needs and eligibility guidelines, shall determine the appropriate combination of services to provide to individuals.
- b. Be responsible for the WIOA eligibility determination and verification, collection of the required supporting documentation, completion and submission of all necessary eligibility documents and maintenance of documentation.
- c. Utilize the WIOA Adult/National Emergency Reserve (NER) funds as part of the WIOA Adult employment and training services/activities following the WIOA Adult Program Policies and Procedures, if funds are allocated.
- d. Utilize the WIOA Dislocated Worker/Rapid Response Supplement in order to address rising unemployment rates and increased demands for assistance and training, following the WIOA Dislocated Workers Policies and Procedures.

Ensure that a Center representative works with Workforce Area 23's REACT Coordinator and, when necessary, is on-site at the scheduled date and time to provide the affected employees with the necessary information about services available. The REACT assists workers who have been or will be dislocated from their jobs due to a business or plant closure, a major employer downsizing, natural disasters, such as floods, fires, hurricanes, tornadoes, or other acts of nature that cause the dislocation of fifty (50) or more workers. The REACT Coordinator in Workforce Area 23 responds when notices are received under the Worker Adjustment and Retraining Notification (WARN) Act or when requested by an employer.

A. WIOA Eligibility

Eligibility determination and registration shall include: (1) completed WIOA Application; (2) verification of the information provided in the application; (3) determination that the applicant meets the eligibility criteria established by WIOA and the SFWIB; and (4) entry into the EMD/EM Management Information System.

1. Adult (and NER)

All adults shall meet the WIOA Adult eligibility criteria listed below:

- a. 18 years of age or older; and
- b. Is a resident of Miami-Dade County or Monroe County; and
- c. A citizen of the United States; or

- d. An eligible non-citizen who is authorized by the U.S. Citizenship and Immigration Services; and
- e. In compliance with the Selective Service Act (only relevant for males at least 18 years of age and born after December 31, 1959); and
- f. Provide the highest grade completed; and
- g. Provide proof of veteran status, if applicable; and
- h. If employed, determined low income as defined by the SFWIB.
 - A maximum of ten percent (10%) of all WIOA new enrolled participants can be employed at participation.

i. Homeless Person (HP)

Homeless Person refers to an eligible WIOA Adult that is identified in EMD/EM as meeting the United States Department of Housing and Urban Development's definition of a Chronically Homeless Person at the time of WIOA Application, which includes:

- A participant who resides in places not meant for human habitation, such as cars, parks, sidewalks, and abandoned buildings.
- A participant who resides in an emergency shelter.
- An unaccompanied homeless individual with a disabling condition who has either been continuously homeless for a year or more or had at least four episodes of homelessness in the past three years. A disabling condition is defined as "a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability including the co-occurrence of two or more of these conditions.

2. Dislocated Workers (and Rapid Response)

All Dislocated Workers shall meet the WIOA Dislocated Worker eligibility criteria listed below:

- a. 18 years of age or older; and
- b. Is a resident of Miami-Dade County or Monroe County; and
- c. A citizen of the United States; or
- d. An eligible non-citizen who is authorized by the U.S. Citizenship and Immigration Services; and
- e. In compliance with the Selective Service Act (only relevant for males at least 18 years of age and born after December 31, 1959); and
- f. Provide the highest grade completed; and
- g. Provide proof of veteran status, if applicable; and
- h. Demonstrate that employment could not be obtained prior to eligibility.

In addition to the above general eligibility factors to qualify as a Dislocated Worker, an individual shall meet one or more of the following criteria:

- a. Terminated or laid off or received notice of termination or layoff, and is eligible for or has exhausted entitlements to RA formerly Unemployment Compensation (UC), and is unlikely to return to previous industry or occupation;
- b. Attached to workforce but not eligible for or not entitled to RA, or the employer is not covered under the state UC law, and is unlikely to return to previous occupation or industry;
- c. Terminated, Laid-off or Notified of Permanent Closing of Plant or Facility, Substantial Lay-off;
- d. General announcement of facility closing, date required;

- e. Previously self-employed (including employment as a farmer, a rancher, or a fisherman), but is unemployed as a result of general economic conditions or natural disasters in the community that the individual resides; or
- f. Displaced homemaker: An individual who has been providing unpaid services to family members in the home and has been dependent on the income of another family member, but is no longer supported by that income; or is the dependent spouse of a member of the Armed Forces on active duty and whose family income is significantly reduced because of a deployment, or a call or order to active duty, or a permanent change of station, or the service-connected death or disability of the member; and is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment;
- g. The spouse of a member of the Armed Forces on active duty who has experienced a loss of employment as a direct result of relocation to accommodate a permanent change in duty station of such member; or

The spouse of a member of the Armed Forces on active duty who is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

B. WIOA Services

WIOA Services can be informational in nature or service intensive. Staff should make every attempt to enroll eligible participants in WIOA to help increase the possible options that could be available for that participant. WIOA services include but are not limited to:

1. Labor exchange services: This service provides jobseekers with job search and placement assistance, and in appropriate cases, career counseling, which includes information on in-demand industry sectors and occupations. Additionally, these services provide jobseekers with information on non-traditional employment and specialized recruitments targeting specific occupations or industries.
2. Current Labor Market Information (LMI): Jobseekers are provided the most current labor market information available in an easy to understand and readily accessible format. The information includes job vacancy listings, job skill requirements necessary to obtain the job, information relating to local opportunities and earnings, and opportunities for advancement in such occupations.
3. Information and referrals on specific programs and services available in the community: Referrals are made to and activities are coordinated with other programs and services including other service or resource partners and vendors, to provide ancillary services within the one-stop delivery system and in appropriate cases, other workforce development programs; referrals shall be done through the Universal Referral Form.
4. Information and assistance regarding filing RA: The Contractor must provide meaningful assistance to individuals seeking assistance in filing an RA claim. Meaningful assistance means: (a) providing assistance on-site using staff well trained in Unemployment Compensation claims filing and the rights and responsibilities of claimants; or (b) providing assistance through trained and available staff, by phone or via other technology, within a reasonable amount of time. Assistance must be made available to jobseekers who come into the CareerSource centers for assistance in filing an RA claim and jobseeker have been identified as having barriers to filing a claim without assistance, such as those individuals who have been identified as having limited English proficiency or disabilities.
5. Performance, cost information: Information about performance accountability measures and any additional performance information relating to the center's delivery system is provided in usable and understandable formats and languages.
6. Supportive service information: This service provides referrals to resources available through the SFWIB and/or the community to help reduce and/or eliminate barriers to employment. These services include: transportation, child care, dependent care, housing and needs-related payments that are necessary to enable an individual to participate in authorized activities.

7. **Comprehensive Assessment:** Each jobseeker who is eligible for services shall receive comprehensive and specialized assessments of their skill levels and service needs, which include diagnostic testing and in-depth interviewing and evaluation to identify employment barriers and appropriate employment goals. This process is intended to assist participants in identifying strengths, transferable skills, interests, work values, and priorities. This comprehensive objective assessment process underlies the development of an employment plan, which serves as each participant's road map to services and should include the participant's employment goals.
8. **Individual Employment Plan:** An individualized employment plan will be developed to identify the employment goals, achievement objectives, and appropriate combination of services or steps for the participant to achieve employment goals. The employment plan includes information on eligible training services providers and career pathways to attain career objectives.
9. **Prevocational Services (Employability Skills):** Short-term prevocational services include assisting the participant in developing any the following: learning skills, communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training opportunities.
10. **Out-of-area Job Search:** This service provides jobseekers with out-of-area job search and relocation assistance.
11. **Internship/Work Experience:** An internship is when a participant works in an organization, sometimes without pay, in order to gain work experience or satisfy requirements for a qualification. Contractors may coordinate internship opportunities within the private for profit sector, non-profit sector, or public sectors. Regardless of the sector chosen, labor standards will apply in any work experience setting where there is an employee/employer relationship, as defined by Fair Labor Standards Act.
12. **Workforce Preparation:** This service includes activities, programs, or services designed to help an individual acquire a combination of basic academic, critical thinking, digital literacy, self-management skills, and competencies in utilizing resources, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education, training or employment.
13. **PWE:** This is career preparation for participants at a worksite. It is designed to expose participants to careers and jobs, help participants develop pre-employment and work maturity skills and build occupation knowledge and technical skills by doing real work. This work facilitates active learning, exploration of interests; development of research and project based skills, development of teamwork skills, assists participants with making connections between workplace duties and related coursework, and provides participants with training about workplace safety and other issues.
14. **Financial Literacy Services:** This service provides participants with information pertaining to creating household budgets, initiating savings plans, and making informed financial decisions about education, retirement, home ownership, wealth building, and other savings goals. This service affords jobseekers with the opportunity to learn effective spending management methods, including addressing credit card debt. Financial Literacy Services include activities that address the financial literacy needs of non-English speakers, including the development and distribution of multilingual financial literacy and education materials.
15. **English Language Acquisition:** If it is determined that the jobseeker needs the interpretive services to utilize the resources of CareerSource South Florida then an appropriate referral shall be made. The Contractor shall provide services in accordance with the SFWIB's Limited English Proficiency Policy.
16. **Support Services:** The Contractor shall provide, coordinate, and pay for support services for jobseekers when a funding source so allows, but the Contractor shall only be authorized when: (1) a need has been identified; (2) the program participant is in compliance with all program requirements; (3) the participant will not be successful without this service(s); and (4) no other funding is available to pay for such services. The provision of support services shall be managed in a cost efficient manner. Referrals for support services shall be made to community agencies when the funds are not available. These services are subject to funding availability in accordance

with the SFWIB's established Policies and Procedures. Referrals shall be done through the Workforce Management System (WFMS). Supportive services may include, but are not limited to, transportation assistance, training materials or other SFWIB approved items.

17. Contractors may assist jobseekers in obtaining training at any approved training vendor and that training shall be paid through an Individual Training Account (ITA).

a. Individual Training Accounts (ITA)

- 1) The Contractor shall provide training services to individuals who: (1) meet the eligibility requirements after an interview, evaluation or assessment, and career planning; (2) has demonstrated employment could not be retained nor obtained; (3) are determined to be in need of training services by only receiving career services; (4) has the skills and qualifications to successfully participate in a selected program, that are directly linked to employment opportunities in the region; and (5) are unable to obtain other grant assistance or need assistance above the levels provided by such other grants. Training services shall be administered in accordance with the SFWIB's ITA Policies and Procedures.
- 2) The Contractor shall adhere to the SFWIB's procedures regarding WFMS data reconciliation between Training Vendors and Workforce Services Contractors.
- 3) The Contractor shall individually assess eligible participants for training prior to the issuance of an ITA voucher. In an effort to assist participants in selecting a training program that he/she is likely to succeed in, which would ultimately contribute to the attainment of economic self-sufficiency, consideration will be given to a participant's academic and employment background as well as short- and long-term career interests during the assessment process.
- 4) Upon the participant's selection of an occupational training area, the Contractor shall furnish him/her with a Consumer Report Card showing the performance (e.g., completion, placement, and training-related placement rates) of Training Vendors' programs linked to that occupational training area.
- 5) The Contractor shall ensure that all participants requesting training using an ITA apply for the Pell Grant (Title IV) by completing the Free Application for Federal Student Aid (FAFSA).
- 6) The Contractor shall inform the participant if he/she is not Pell eligible, the school is not Title IV eligible or will be required to obtain student loans and/or other financial aid to cover the cost of the program not covered by the ITA.
- 7) The Contractor shall issue vouchers for training within the same Program Year in which service(s) was/were rendered.
- 8) The Contractor shall track participants' training progress, including enrollment, completion, and placement information, in the applicable MIS.
- 9) To promote the entry of consistent and accurate data in the WFMS, the Contractor shall cooperate with Training Vendors to resolve and reconcile discrepancies in participant's data in the Reconciliation Tool. The contractor shall conduct a monthly review/reconciliation of all ITA's. Trainings offered include, but are not limited to
 - i. Vocational/Occupational Skills Training (OST); and
 - ii. Adult Education and Literacy Combined with Vocational/OST Training.
- 10) Upon completion of training services, the Contractor shall assist participants in securing employment in the field that he/she was trained, or a related field.

It is the sole responsibility of the Contractor to ensure that participants are eligible to receive ancillary services and have been entered into the appropriate MIS prior to referral.

b. Other Training Services

The Contractor shall offer an array of training services to eligible jobseekers and employed workers. The Contractor shall administer training services in accordance with the SFWIB's applicable Policies and Procedures.

Trainings offered include, but are not limited to:

- 1) EWT is provided to an employer's current staff to improve workforce quality through enhanced skills attainment, productivity and competitiveness. The employer may be reimbursed a percentage of the total training costs for workers that successfully complete training (as set forth in the SFWIB's Policy for EWT).
- 2) CT is designed to meet special requirements of an employer(s) that is conditioned on a commitment from the employer(s) to employ, or continue to employ an individual. Upon successful completion of the training, the employer pays a percentage of the training costs (as set forth in the SFWIB's Policy for CT).
- 3) OJT provides an opportunity for participants to learn necessary job skills through paid full-time employment.
- 4) PWE is another form of work-based training authorized by WIOA. PWE jobs are subsidized, time-limited transitional work experiences in the public, private or nonprofit sectors, for individuals with barriers to employment who are chronically unemployed or have an inconsistent work history, which are combined with comprehensive career and supportive services.
- 5) ESET provides the basics of starting and operating a small business.

c. Training Participation Requirement

The Contractor agrees to expend one-hundred percent (100%) of the WIOA funds allocated for authorized training. Authorized training may include: EWT, CT, OJT, PWE, and ITA expenditures. ITA training expenditures are limited to tuition, books and fees of Training Vendors and other training services prescribed and authorized by the WIOA and the SFWIB. Any unearned funds will be pooled and disbursed equally amongst providers who exceeded their target training goals set forth in **Attachment 3-CSSF Balanced Scorecard Performance Requirement**.

3. Trade Adjustment Assistance (TAA)

The Trade Adjustment Assistance (TAA) under the Trade Adjustment Assistance Reauthorization Act of 2015 (TAARA 2015), Title IV of the Trade Preferences Extension Act of 2015 (Public Law 114-27) is designed to assist workers who have been laid off or whose jobs have been threatened as a result of foreign competition. Workers covered under a certified Trade Act petition are eligible to receive an array of services and benefits, which include training, reemployment services, job search, relocation allowances, Trade Readjustment Allowances (TRA) and Wage Subsidy for older workers.

- The Contractor shall manage the TAA training and employment services and shall follow federal and state program policies and guidelines as well as the SFWIB's Policies and Procedures.
- The Contractor shall provide documented service delivery to all TAA participants, including the initial assessment, referrals to training, career management and documentation for TRA, which is support income for participants in training.

4. Career Advancement Program (CAP)/Temporary Assistance to Needy Families (TANF)

TANF dollars may be utilized for individuals who are eligible for TANF, but are not currently receiving cash assistance. On a local level, TANF is administered through the Career Advancement Program known as CAP. TANF dollars shall only be utilized to serve one of the four purposes of TANF, which are described herein. Individuals shall be screened for TANF eligibility prior to the provision of services.

Under TANF, a "family" shall include a pregnant individual or a parent with one or more minor children or a caretaker with one or more minor children. Note: Minor child means a child living at home with the

parent or caretaker, or under nineteen years of age if the child is a full-time student in a secondary school, or at the equivalent level of vocational or technical training and does not include anyone who is married or divorced. TANF eligible families can be:

Applicants (which means that they are applying to receive cash assistance);

Current participants (which means they are currently receiving cash assistance);

Former participants and currently earning up to 200% of the poverty level;

Eligible families who have never been on cash assistance are TANF eligible as described above and are earning up to 200% of the poverty level; or

A non-custodial parent of a child who is TANF eligible.

The **Four (4) purposes** under the TANF Guidelines are:

- ✓ **Purpose 1-** To “provide assistance to needy families so that the children may be cared for in their homes or in the homes of relatives.”
- ✓ **Purpose 2-** Is intended to “end the dependence of needy parents on government benefits by promoting job preparation, work and marriage.”
- ✓ **Purpose 3-** Is intended to “prevent and reduce the incidence of out-of-wedlock pregnancies and establish annual numerical goals for preventing and reducing the incidence of these pregnancies.”
- ✓ **Purpose 4-** Is intended to “encourage the formation and maintenance of two-parent families.”

a. CAP Eligibility

The Contractor shall be responsible for managing the CAP caseload including, but not limited to, Work Registration of TANF applicants, assessment of and assignment to work activities that lead to employment, daily management of CAP participants towards self-sufficiency, weekly system tracking of participation in the One-Stop Service Tracking (OSST), timely requests of sanctions for non-participation, follow-up to determine appropriate disposition, managing requests for hardship exemptions to mandated time limits, developing and/or updating employment plans, and good cause deferrals from program participation.

As a management tool, the Contractor shall conduct a review of all the CAP mandatory open cases during the reporting month utilizing the **TANF/CAP Performance Desk Review Tool** and shall meet the required standards.

b. CAP Services

The Contractor shall:

- a) Follow the Talent Development Flow Process for Intake and Eligibility for Services for all applicants and mandatory participants **prior** to assigning them to a countable work activity.
- b) Establish career pathways ensuring that assignments into countable work activities focus on providing the participants with the opportunity to acquire skills and/or credentials that will lead to positive employment outcomes. This shall include validating the skills and credentials needed for the participant to fill talent pipelines and providing work based training and learning opportunities.
- c) Conduct additional assessments as needed and establish an Individual Employment Plan if the participant is in need of Individualized Services. The plan shall include long and short term employment goals, objectives that are necessary for accomplishing the goals, and an outline of the steps necessary to assist the jobseeker with achieving self-sufficiency, as required by federal, state and local procedures and using the SFWIB approved assessment tools.
- d) Dually enroll a minimum of **fifty percent (50%)** of active CAP participants in the WIOA Adult program prior to engagement in countable work activities. This **fifty percent (50%)** may also include cases in follow-up; this measure will be reviewed monthly and contracted providers will be required to maintain this level throughout the program year.
- e) Collect supporting documentation for CAP participation for Job Participation Rate (JPR) updates on a weekly basis.

- f) Provide consistent monitoring of each participant to ensure that adequate and appropriate referrals are made to services available in the center or within the community.
- g) Provide consistent monitoring of each participant to ensure that adequate and appropriate referrals are made to countable work activities and document the participation of each referred individual in accordance with the SFWIB's established Policies and Procedures for each activity.
- h) Develop paid and unpaid opportunities for participants utilizing On-the Job Training (OJT), Community Service (CS), Work Experience (WE) and/or Subsidized Employment.
- i) Document CAP communication and participation in the OSST and in the participant's case file. All instructions provided to the participant regarding program participation and requirements shall be outlined and signed by the participant and center staff, as well as recorded in the Plan Development - Steps to Sufficiency.
- j) Track the CAP participant's failure to participate in a timely manner in accordance with federal, state, and local procedures. Requests for sanctions on CAP participants must be submitted to the Department of Children and Families (DCF) in accordance with DCF guidelines.
- k) Prior to imposing a Level (3) sanction, document contact with the participant using case notes in OSST or conduct a pre-sanction home visit within the ten (10) day pre-penalty period.
- l) Ensure Pre-Penalty Reengagement-Activities shall remain open. Consistent monitoring and tracking of a CAP participant's progress shall continue until the family is no longer receiving cash assistance. If the participant is receiving cash assistance, a daily telephone call prior to the expiration of the ten day penalty period shall be attempted and documented in OSST case notes and an appointment letter e-mailed with a delivery receipt. A copy of the delivery receipt should be printed and placed in the participant's case file or electronic file. In the event e-mail communications fail, then a letter should be mailed. After three failed attempts to contact the participant (telephone contact information is not current or the telephone is disconnected, e-mail address incorrect or no response to e-mail, a weekly home visit is required in lieu of the daily telephone contact. Case notes shall be entered in OSST for every attempt until the participant is no longer receiving cash assistance.
- m) Ensure Sanction Reengagement-Activities shall remain open. Consistent monitoring and tracking of a CAP participant's progress shall continue until the family is no longer receiving cash assistance. Actual hours of participation shall be updated. A weekly telephone call, an appointment e-mailed or letter mailed to the participant and for level three sanctions a minimum one home visit is required. A weekly reengagement case note shall be entered in OSST.
- n) Assess and recommend hardship extension(s) and record information in OSST in accordance with local procedures.
- o) Make accessible TANF/CAP Additional Program Services-Cash Assistance Severance, Relocation Assistance, Up-Front Diversion Services, and Transitional Services shall be available for individuals who meet specific criteria in accordance with federal, state, and local procedures.
- p) Develop an Alternative Responsibility Plan (ARP) to manage deferrals from program participation.

5. Supplemental Nutrition Assistance Program Employment and Training (SNAP E&T)

SNAP E&T is Florida's Plan to establish work provisions and participation requirements for non-exempt Able-Bodied Adults without Dependents (ABAWD). Program engagement allows the participant to gain the skills necessary to obtain and maintain employment at a living-wage. SNAP recipients are required to engage in work activities as a condition of receiving food assistance.

A minimum of **fifty percent (50%)** of actively engaged SNAP cases shall be dually enrolled in WIOA by the Contractor. This measure will be reviewed monthly and contracted providers will be required to maintain this level throughout the program year. The Contractor will also be required to follow the program policies and guidelines located at the DEO website:<http://www.floridajobs.org/local-workforce->

development-board-resources/programs-and-resources/program-resources and the South Florida Workforce Investment Board's (SFWIB's) established Policies and Procedures.

a. SNAP Eligibility

The Contractor shall be responsible for managing the SNAP E&T program caseload and engaging SNAP recipients identified as able-bodied adults without dependents (ABAWDs) in work-related activities as required by the Federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996. To maximize the ABAWDs opportunity to obtain skills, access training and work experience to enhance their employability and become self-sufficient, the Contractor shall ensure participants complete the work registration and a comprehensive assessment(s) prior to referral to SNAP E&T components.

b. SNAP Services

ABAWDs can meet work requirements in a variety of ways, and shall be assigned to eighty (80) hours of activities in the following components:

- 1) Workfare
- 2) Work Experience
- 3) Education
- 4) Vocational Training
- 5) Services offered through the WIOA and TAA programs

The Contractor is responsible for the daily case management in the OSST system, ensuring ABAWDs are meeting their work requirements each month, and timely submission of sanction requests for non-compliance.

6. Reemployment Services and Eligibility Assessment Program (RESEA)

a. RESEA Program Description

The DEO administers the **Re-employment Services and Eligibility Assessment Program (RESEA)** program, which provides temporary wage replacement benefits to qualified individuals who are out of work through no fault of their own and who are able and available to work. The Contractor shall be responsible for the provision of RESEA services.

The Contractor shall:

- Identify RESEA claimant by obtaining and reviewing the report from EMD/EMs interface with RESEA;
- Contact the RESEA claimant for employment services; and
- Ensure the RESEA claimant has completed work registration.

b. RESEA Compliance

Provide RESEA services including, but not limited to: claim filing methods; assisting customer with claim filing; providing the toll free telephone number and web address for the RA office; and providing the RA booklet

C. Ancillary Services

The Contractors shall offer an array of services to eligible jobseekers and employed workers. The Contractor shall administer

1. Services to Individuals with Disabilities

The Contractor shall provide services to individuals with disabilities as set forth in **Article II, Section U-Persons with Disabilities and Accessibility of Facilities**, of this Contract, the SFWIB's Services to Individuals with Disabilities Policy, and as set forth below:

- a. The Contractor shall assure that programs and activities under this Contract are accessible to and does not discriminate against individuals with disabilities;
- b. The Contractor shall ensure that the physical facilities utilized under this Contract are accessible to individuals with disabilities;
- c. The Contractor shall designate a Disability Coordinator to establish and implement internal procedures to ensure the Contractor and operational staff are knowledgeable about and comply with the **Article II, Section U-Persons with Disabilities and Accessibility of Facilities**, of this Contract; and
- d. The Contractor shall upload the Disability Coordinator's Report onto the SFWIB's Intranet no later than the 5th of each month. (See **Exhibit E, Reporting Requirements**).

2. Professional Placement Network (PPN) Workshops/Seminars

The Professional Placement Network (PPN) is a program designed to transition professional jobseeker(s) into the workforce or to a meaningful career change:

The Contractor shall designate one employee to actively engage, track, and refer qualified individuals to PPN workshops, and provide job-matching, job referrals, job development, and follow-up services for professionals. PPN designated staff will coordinate activities with the Re-employment Assistance Specialist (REA) and actively join/assist the SFWIB's PPN Coordinator with the PPN workshops and provide outreach to professionals at community colleges, universities, or other educational institutions.

3. Follow-up/Retention Services

After a service(s), the Contractor shall follow-up with participants to ensure that they are on track with their employment plan and offer additional service(s) to retain employment. The Contractor shall provide at least one follow-up service within every ninety (90) days and as required by federal, state, and the SFWIB's Policies and Procedures. These services are offered to help participants overcome any barriers to employment and place them into employment that will lead to self-sufficiency.

After job placement, the Contractor shall follow-up with participants to ensure that they are employed and retain employment. Job retention assistance shall be provided for not less than twelve (12) months after the first day of employment. These services are offered to help participants placed into employment overcome any problems that may arise during this critical period and to ensure further progress toward long-term employment and, therefore, self-sufficiency.

III. PERFORMANCE REQUIREMENTS

Applicable workforce performance requirements are established by federal and state laws, CareerSource Florida and the SFWIB.

The Balanced Scorecard Report, along with the other operational reports, acts as a measurement system, strategic management system, and communication tool to assist the Area in exceeding federal performance requirements and the State of Florida Common Performance Measures as well as serving all individuals seeking assistance. The purpose of the Operational Reports is to strengthen the workforce service delivery system and increase its effectiveness and efficiency by simplifying complex measuring systems, integrating multilevel performance indicators and focusing on the basics such as employment outcomes and self-sufficiency.

- A. The Contractor shall ensure that center staff is trained on all Operational Reports, implements strategies that maximize performance outcome potentials to be cost-efficient, and utilizes dual enrollment or other strategies for optimal service delivery.
- B. The SFWIB shall track the performance of the Contractor against established and approved performance standards as described in **Attachment 3-CSSF Balanced Scorecard Performance Requirement and Attachment 4-CSSF Specifications for Workforce Services Balanced Scorecard Report**. If the Contractor does not satisfy a minimum of **sixty-five percent (65%)** of the performance measures (standards) for the reporting period, the SFWIB, in its sole discretion, may allow a reasonable period, not to exceed 3 months, for the Contractor to correct performance deficiencies. If the Contractor fails to improve or correct performance

deficiencies, is not meeting **sixty-five percent (65%)** of the performance measures (standards) within the prescribed time, and if Contractor cannot demonstrate, to the SFWIB's satisfaction, that the deficiencies are caused by extenuating circumstances, the SFWIB shall terminate the contract. If the Contractor fails to meet at least **sixty-five percent (65%)** of the **PY'2018-2019** performance measures by the end of the contract period, the SFWIB will not consider the Contractor for contract renewal and/or future contract consideration for a period not to exceed five years. The SFWIB has the sole authority to determine whether the extenuating or mitigating circumstances are valid. The Job Placements performance measure maximum standard, the CAP mandatory participation rate, and the CAP and SNAP dual enrollment rates are all **"no fail"** measures, which means the provider must achieve successful performance on **sixty-five percent (65%)** of the required Balance Scorecard Measures in addition to the **"no fail"** measures.

- C. Operational Reports can be accessed through <https://iapps.careersourcesfl.com/sfwreports/>, include but are not limited to:
1. Consumer Report Card
 2. CSSF Balanced Scorecard Performance Requirement
 3. Review Tool-CAP
 4. WP Performance
 - a) Incomplete Registrations
 - b) Job Orders
 - c) Referral to Placement
 - d) Soft Exit Application
 5. Performance Analysis
 - a) Monthly Placement Targets
 - b) Monthly Placement Actuals
 - c) Monthly Targets vs Actuals
 - d) Targets, Actuals and Referrals
 - e) EMD/EM Job Search
 - f) DJPOE Diminished Earnings

D. Job Placements

The main goal of Workforce Services is Job Placement either in the form of a Direct Job Placement (DJP), Job Development (JD) or OE.

1. **Wagner-Peyser (WP) Obtained Employment (OE)**
Wagner-Peyser (WP) Obtained Employment (OE) defined in the **Attachment 4-CSSF Specifications for Workforce Services Balanced Scorecard Report**.
2. **Wagner-Peyser (WP) Universal Direct Job Placement (DJP)/Direct Employment**
Wagner-Peyser (WP) Universal Direct Job Placement (DJP)/Direct Employment defined in **Attachment 4-CSSF Specifications for Workforce Services Balanced Scorecard Report**.
3. **Wagner-Peyser (WP) Job Development Placement**
Wagner-Peyser (WP) Job Development Placement defined in the **Attachment 4-CSSF Specifications for Workforce Services Balanced Scorecard Report**.

IV. OPERATIONAL REQUIREMENT

A. Data Entry Responsibilities

The Contractor shall:

1. Utilize the Atlas Kiosk (Initial Application), EMD/EM, OSST, and the WFMS to document the provision of services as part of the jobseeker tracking process.
2. Ensure that the WIOA data is entered within **five (5)** days of participant contact or services being delivered and that the TANF/CAP data is entered weekly.
3. Cooperate with the SFWIB-approved Training Vendors to ensure the timely entry of consistent and accurate participant training-related data in the SFWIB's Reconciliation Tool.
4. Enter WFMS data in accordance with the WFMS process.
5. DJP's and OE's achieved for the purpose of payment during any month shall be verified and recorded in EMD/EM by the **last day** of the said month. **Participants must be fully registered (complete background/work history, education, active resume, valid phone number and e-mail address) in EMD/EM to eligible for payment.**

Enter all data in EMD/EM for **Attachment 3-CSSF Balanced Scorecard Performance Requirement** achieved during a given month by the **5th day** of the following month.

B. Employment/Placement Verification

The following Employment Verification shall be utilized for all the SFWIB's programs, including but not limited to: WP, RESEA, TANF, CAP, SNAP E&T, WIOA Adult or Dislocated Workers, Rapid Response, TAA and Refugee.

The Contractor shall verify full or part time unsubsidized employment through the use of one of the following appropriate options as per local operating procedure:

1. **Employment Verification Form (Attachment 2)** completed by the employer; or
2. **Employment Verification Form with Training Vendor logo** completed by the employer and validated by Contractor; or
3. For companies that use The Work Number system, attach the employer's printout to the **Employment Verification Form**; or
4. Pay stub in conjunction with documented employer contact, or Employment Offer Letter; or
5. New Hire Report in conjunction with documented employer contact to indicate actual start date of employment; or
6. The RA system and/or SunTax with documented employer contact; or
7. For Self-Employed individuals, attach Form 1099 – Misc. (Miscellaneous Income) and/or Form W- 4, and a copy of the sunbiz.org printout showing the name of the business.

A completed **Employment Verification Form (Attachment 2)** will be required for **ALL** employment/placement verification along with any supportive documents if applicable (C – G). **Employment verifications from staffing agencies must also include a paystub or payroll registry showing that the jobseeker has been placed at a work site and has earned wages.** The Contractor shall submit an **Employment Verification Form** for **EACH DJP** listed on the Contractor's monthly invoice in the APIP System at the time of submission of said invoice in the APIP system. Employment Verifications should be submitted electronically to the Wagner-Peyser Program Manager. Failure to submit employment verification will result in an automatic disallowance of unverified placements. Submitting falsified verifications will be a disallowance and may also lead to a loss of contract.

C. Quality Assurance (QA)

The purpose of the QA strategy is to facilitate self-assessment reviews to ensure accuracy of data reported and collected. Participant files (hardcopy and/or electronic) and data systems shall also be reviewed to: (a) ensure data integrity and continuous improvement of system operations; (b) reduce the error rate of Workforce Area 23 to **three percent (3%)** or less; and (c) ensure compliance with federal, state and local laws, transmittals, directives, policies, procedures and regulations. Failure to comply with this provision will result in penalties as set forth in **Exhibit D-Payment Provisions, Article III, Section 1-Error Rate Policy.**

- A. The Contractor's QA process shall include, but is not limited to the following:

1. Ensuring the Contractor's staff collaborates with the SFWIB's staff;
2. Ensuring staff is trained and implements concepts learned in training and from technical assistance;
3. Ensuring staff conducts ongoing systems and desk reviews to confirm Policies and Procedures are being followed and information systems and case files are properly updated and documented;
4. Conducting monthly Supervisory QA Reviews, as set forth in **Exhibit E, Reporting Requirements**, of ten percent (10%) or twenty-five (25) cases (whichever is less) of all SFWIB's Programs with activities during the review period, which include, but is not limited to, WIA, CAP, WP, RESEA, and SNAP E&T. This Supervisory QA Review shall be reviewed and approved by the Center Director;
5. Ensuring the Contractor reconciles the ITA monthly to submit for review to QA. The files should coincide with the information submitted to the ITA Reconciliation Tool in the reports;
6. Using the approved QA Monitoring Tools to complete the required monthly Supervisory QA Reviews. The monitoring tools are updated and maintained on the SFWIB's intranet, under Required Reports in the Monitoring Tool Template folder or refer to the following URL for access:

<http://intranet.18112/sites/intranet/requiredReports>

If the monitoring tools cannot be accessed, the Contractor shall contact the Office of Continuous Improvement (OCI) QA Coordinator and request an electronic copy of the approved QA Monitoring Tools;

7. Reviewing and analyzing participants' files based upon a selected sample;
 8. Reviewing, examining, and assessing qualitative and quantitative system participant data;
 9. Comparing the previous SFWIB monitoring report to determine the extent to which the SFWIB's concerns have been addressed;
 10. Reviewing eligibility for program services;
 11. Reviewing supporting documentation maintained in the case file;
 12. Reviewing, examining, and assessing the quality and the quantity of the services provided;
 13. Systematically approaching/reviewing caseload per Career Advisor ratio; and
 14. Monitoring of and adherence to Equal Employment Opportunity (EEO) requirements.
- B. The SFWIB QA Strategy involves a multi-layer process as follows:
1. At the conclusion of the case file review, the SFWIB will discuss the findings with the Center's staff and provide him/her with a copy of the completed review tool instrument. The discussion will include the strengths and deficiencies found during the review. The Contractor's Center Director will be provided an electronic copy of the completed review tool utilized by QA.
 2. The Contractor shall be required to submit a Plan of Corrective Action (POCA) **within ten (10) calendar days** from receipt of the QA Report, if the stipulated **three percent (3%) or less error rate** is not met. The Contractor shall be required to submit supporting documentation for all deficiencies noted, regardless of the error rate, in order to complete the QA file review process.
 3. Failure to submit an acceptable POCA and/or failure to comply with previously accepted POCA and the measures outlined may result in placement on a Performance Improvement Plan (PIP). Placement on a PIP will require the Contractor to submit weekly QA updates to the SFWIB's staff. The specific content required in these weekly updates will be presented in a formal PIP letter; the updates will provide the SFWIB with confirmation that center staff is making every effort to follow federal, state and local policies, while minimizing errors and preventing deficiencies.
 4. If, at any time, the SFWIB identifies a deficiency, a Contractor may be placed on a PIP. A PIP includes, but is not limited to: setting up a schedule of ongoing review of cases; on-site QA reviews; providing written and/or on-site technical assistance for improvement until the errors identified have been corrected, and an acceptable level of improvement has been demonstrated in the QA process

and/or the SFWIB PIP identified reduction in the error rate is met. It is the Contractor's responsibility to implement best practices, develop corrective actions plans, and correct and prevent deficiencies.

5. If the Contractor is on a PIP, the SFWIB's staff will conduct a follow-up review (file and/or system) and provide a QA Report in order to identify training, provide technical assistance and conduct follow-up reviews to ensure that Policies and Procedures are correctly implemented.
6. Failure to demonstrate compliance with the PIP during the specified timeframe may result in an extension of the PIP or a breach of contract as determined by the SFWIB's staff.

V. CENTER PARTNERS

A critical function of the Contractor is to work toward the establishment of a system that is the choice for all employers and jobseekers throughout Miami-Dade and Monroe Counties. The CareerSource center is a resource that provides a valuable service that benefits the universal jobseeker regardless of their economic status. In order to fulfill this concept, mandated partners and resources within the system shall be well coordinated and used as efficiently as possible.

A. The Center staff shall collaborate with the following mandated partners:

• WIOA T-1 Adult, DW, Youth	• Wagner-Peyser
• Migrant Seasonal Farm Workers	• Native American Programs
• Jobs for Veterans State Grants	• Adult Education and Literacy
• Youth Build	• Vocational Rehabilitation
• CSBG (Community Action) E/T	• Career, Technical Education
• HUD E/T	• Title V Older Americans Act
• Unemployment Compensation	• Job Corps
• Second Chance	• TANF

Contractor shall obtain the SFWIB's prior written approval to allow any persons or entities, other than the Contractor, of any kind whatsoever, to utilize in any way or manner any Center to provide information, or services or products of any kind whatsoever to anyone.

The Contractor shall reference **Article II, Section F-Breach of Contract, and Items 24, 25, and 26** of the executed contract to ensure compliance with its collaboration of mandated partners. Failure to comply with this provision will result in penalties as set forth in **Exhibit D-Payment Provisions, Article III, Section 3-Center Partners**.

CODE OF BUSINESS ETHICS AFFIDAVIT

Code of Miami-Dade County Section 2-8.1(i)

I, being duly sworn, hereby state and certify that this firm has adopted a Code of Business Ethics that is fully compliant with the requirements of Section 2-8.1(i) of the Code of Miami-Dade County as amended. I further acknowledge that failure to comply with the adopted Code of Business Ethics shall render any contract with Miami-Dade County voidable, and subject this firm to debarment from County work pursuant to Section 10-38(h)(2) of the Code of Miami-Dade County as amended. I further acknowledge that failure to submit this affidavit shall render this firm ineligible for contract award.

By: [Signature] 12/18 2018
Signature of Affiant Date

Mark Douglas President 416-01510181417101
Printed Name of Affiant and Title Federal Employer Identification Number

Arbor EIT, LLC d/b/a ResCare WorkSpace Services
Printed Name of Firm

805 N Whittington Parkway Louisville Ky 40222
Address of Firm

SUBSCRIBED AND SWORN TO (or affirmed) before me this 18 day of December 2018

He/She is personally known to me or has presented Driver's License as identification.
Type of identification

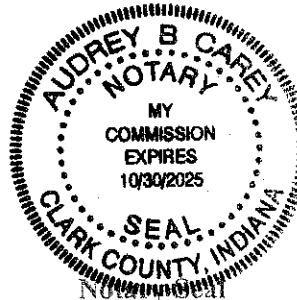
[Signature]
Signature of Notary

707062
Serial Number

Audrey B. Carey
Print or Stamp Name of Notary

10/30/25
Expiration Date

Notary Public -- State of Indiana



**ADMINISTRATIVE CHECKLIST FOR CONTRACT COMPLIANCE
SELF-ASSESSMENT QUESTIONNAIRE**

Program Year: _____

Agency's Fiscal Year Ending: _____

Agency name, address, e-mail, telephone and fax numbers:

This certification is to assure CareerSource South Florida (CSSF) that the contracted Agency has adequate administrative procedures in place to ensure that funds disbursed by CSSF will be safeguarded as outlined in the Office of Management and Budget (OMB) Circulars and the Code of Federal Regulations (CFR). This certification is not a waiver concerning Administrative, Programmatic, or Quality Assurance Monitoring. CSSF reserves the right to conduct on site monitoring of contracted Agencies, as it deems necessary.

Please answer all questions by checking off the applicable box. If you need to provide additional information or cannot respond to a question, please attach an explanation on a separate page or contact Dulce M. Quiñones, CFE, CFSA, FCWP-1, Contracts Compliance Supervisor, CSSF Office of Continuous Improvement (OCI) at (305) 929-1530.

A letter precedes each of the items in this tool as follows:

- M =** Mandatory or required item denotes items that are the minimum standards and for which full compliance is required.
- R =** Recommended item or denotes best practice items that, while not required, are considered best practice in the administration of grants.

Please provide a brief explanation on any negative response indicated.

Prior Assessments & Corrective Actions

Objective:

To determine the Agency's prior performance and its ability to implement new procedures as needed to improve management and meet contractual requirements.

M – Review last year's assessments of the Agency's Administration and answer the following questions:

M - Were the prior assessment results shared with management? Yes No N/A

M - Was A Corrective Action Plan submitted by the Agency? Yes No N/A

M - Was the Corrective Action Plan submitted on time? Yes No N/A

M - Were the proposed corrective actions acceptable to the funding agency? Yes No N/A

M - Were the corrective actions implemented? Yes No N/A

If Yes, when? _____

If No, please elaborate (attach additional pages as needed)

M - Did the corrective actions implemented correct the problem(s)? Yes No N/A

If No, please elaborate (attach additional pages as needed)

M - Are there any findings, areas of concerns, or other issues that need to be revisited or reviewed during the current year? Yes No N/A

If Yes, please elaborate (attach additional pages as needed)

Additional Comments:

Administration and Governance

Board of Directors (BOD)

Objective:

To determine the capabilities, cultural competency and involvement of the Agency's Board of Directors (BOD) to serve the target populations and that their procedures follow those recognized as best practice.

M - Is there a complete and updated BOD list available? To be considered complete, the BOD list should include each member's position, field of expertise, direct contact information (address, phone, e-mail, and fax), gender, race, ethnicity, and expiration term of the position. Yes No N/A

R - Does the membership of the BOD include expertise that would promote the proper operation of the Agency and further the goals of the program? Yes No N/A
 The BOD should include individuals with experience in administration, contracts, and fiscal management. In addition, the BOD should include individuals with experience in pursuing the program goals (i.e. physician for health programs, a teacher for training programs, or child development expert for Head Start Programs)

R - Is the BOD ethnically representative of the populations served by the Agency? Yes No N/A

R - Does the Agency provide pre-service and in-service training to Board members? Yes No N/A

R - Does the BOD have a well-developed structure (committees)? Yes No N/A
 List the active committees and names of the members

_____	_____
_____	_____
_____	_____
_____	_____

R - Does the Agency have a clearly defined Strategic Plan? Yes No N/A

R - Does the BOD receive and review an Annual Report from the Agency's Staff? Yes No N/A

Additional Comments: _____

BOD Meetings, Minutes and Resolutions

Objective:

To determine the level of involvement of the Board of Directors; and that their procedures follow those recognized as best practice.

R - How often does the BOD meet? (Check one) Yes No N/A

Full Board	<input type="checkbox"/> Monthly	<input type="checkbox"/> Annually
	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annually
	<input type="checkbox"/> Other (specify) _____	
Executive Board	<input type="checkbox"/> Monthly	<input type="checkbox"/> Annually
	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annually
	<input type="checkbox"/> Other (specify) _____	
Committees	<input type="checkbox"/> Monthly	<input type="checkbox"/> Annually
	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annually
	<input type="checkbox"/> Other (specify) _____	

Please indicate the dates of the last three (3) BOD meetings:

M - Are meeting minutes detailed and complete? Yes No N/A

Exhibit C

	Yes	No	N/A
R - Do minutes indicate that budgetary, financial, and programmatic information is presented to the board?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does an authorized representative of the BOD sign the minutes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Are BOD resolutions properly executed and documented in the meeting minutes?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Are BOD resolutions signed by an authorized BOD representative?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

Comments:

Agency Policies

Objective:

To ensure that the Agency has a set of policies that establish proper operating procedures and adherence to the law governing its operations. A well developed set of policies and procedures safeguard the Agency and its funders by clarifying expected behavior. These policies may be included in the employee manual.

M - Does the Agency have a written Personnel Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have an Accounting Policy and Procedures Manual?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Drug-Free Workplace Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Equal Employment Opportunity Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Florida Clean Indoor Air Act Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Family and Medical Leave Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have written procedures to protect client confidentiality?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written policy regarding Nepotism?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have clear policies addressing access to public records?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have an Affirmative Action policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have written Client Grievance procedures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have written guidelines or a methodology to distribute incentive payments?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Code of Ethics?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written policy regarding Conflict of Interest?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
M - Does the Agency have a written Sexual & Unlawful Harassment Policy?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
R - Does the Agency have written emergency plans/procedures? (This may be a requirement for some funders)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

Exhibit C

M – Does the Agency have a written Health Insurance Portability and Accountability Act (HIPAA) Policy, to include information related to appropriate sanctions against workforce members who violate its privacy policies and procedures or the Privacy Rule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M – Does the Agency have a written Policy related to Florida Statute 112.3187 – the Whistleblower’s Act?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M – Does the Agency have a written Policy to include information related to the reporting knowledge or reasonable suspicion of abuse, neglect, or exploitation of a child, aged person, or disabled adults?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

Additional Comments:

Organizational Structure

Objective:
Availability and familiarity with the Agency’s By-Laws and Articles of Incorporation are considered best practices in the administration of a non-profit organization. In addition, a clear organizational chart provides an overview of the chain of command helpful both for the internal staff and outside reviewers.

M - Is the Agency registered with the State of Florida Secretary of State?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Are the Agency’s Articles of Incorporation available for review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Are the Agency’s By-Laws available for review?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Is there an organizational chart available that reflects the current organization of the Agency and provides clearly delineated chain-of-command?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Is there an organizational chart for the program(s) funded and does it provide a clearly delineated chain-of-command?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

Additional Comments:

Client Participation

Objective:
To identify the Agency’s efforts to involve the populations served in the operations of the agency and in the manner services are provided.

R - Does the Agency perform any Needs Assessment activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Does the Agency have a mechanism in place to monitor and respond to client comments and complaints in a systematic matter?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Does the Agency have procedures to involve the consumer in the decision making process? Check all that apply	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
___ Consumer representatives in BOD?	Yes	No	N/A
___ Community Advisory Board or Committee?			
___ Consumer Evaluation Survey?			
___ Other? Please explain:			

Additional Comments:

Personnel

General

Objectives:

These questions provide an overview of the capabilities of the Agency in managing human resources issues and establishing and following its own procedures as required by best practises.

- M** - Are the policies and procedures included in the Personnel Policy followed? Yes No N/A
- M** - Does the Agency have established Job Qualifications that adhere to CSSF contractual requirements? Yes No N/A
- M** - Are employee records securely stored (under lock & key)? Yes No N/A

- M** - Are Equal Employment Opportunity, Worker's Compensation, Family and Medical Leave Act, Child Labor Act, Fair Labor Standard Act, Minimum Wage, Migrant Seasonal Workers Protection, E-Verify and other mandated or relevant posters conspicuously displayed by the agency? Yes No N/A

- M** - Review staffing levels and current vacancies. Does the agency have problems with staff turnover? Yes No N/A

If Yes, has the agency taken steps to resolve the issue? Yes No N/A

Explain and provide documentation, if available, to document the Agency's efforts. (attach additional pages as needed)

Additional Comments:

Personnel/Employee File

Objective:

To ensure that the Agency properly documents how employees are screened for a particular position, how employees are informed of the policies governing their work and how they would be evaluated. In addition, these questions seek to determine the Agency's capability to maintain required documentation and abide by requirements regarding their staff such as testing, qualifications, licenses, and training.

Select a random sample of employee files and review them to determine whether the following documentation is present and current. Note that Agencies that subcontract with individuals must keep similar files for the subcontracted individuals and those are to be reviewed following the same guidelines as personnel files.

- M** - Signed job application (resume is not sufficient) or subcontract detailing the scope of services to be provided. Yes No N/A
- M** - Proof of education (copies of diplomas, degrees, and/or transcripts). Yes No N/A

Personnel/Employee File

M - Required licenses and/or certifications (if applicable, they must be current).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Background screening (must be renewed according to program requirements). This may be required for some staff working with children or youth.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Signed job description with performance standards.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Annual Performance/Employee Evaluation.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - U.S. Citizenship and Immigration Services Form I-9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Current W-4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Proof of achievement of required hours of training (i.e. Tier 1).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Proof of receipt of the Agency's Policy & Procedures by the employees.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Drug-free workplace statement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Evidence of Health Insurance Portability and Accountability Act (HIPAA) training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Evidence of Information Security Obligations training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Evidence of Privacy Policies and Procedures training.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

Additional Comments:

Payroll Records

Objective:

To determine if the Agency has appropriate procedures to track the payroll costs and that these coincide with those approved by the funding agency.

M - Does staff, including management, document their work hours through a time sheet or punch clock?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Are time records signed by both the employee and/or the supervisor?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M - Payroll Registers:			
- Do they include staff name, salary, hours worked, payroll period, and deductions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
- Do they reflect employee's time allocation among programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

M – Personnel Activity Reports (PARs) or equivalent forms:

- Reflect an after-the-fact determination of the actual activity of each employee?
- Account for the total activity for which employees are compensated?
- Completed at least monthly?

If No, please explain. (attach additional pages as needed)

M – Do employees' positions and salaries match the budget approved by the funding agency? Yes No N/A

M - For employees charged to the program, does the recorded time worked matches time paid as reflected in the payroll register? Yes No N/A

Additional Comments:

Payroll Taxes

Objective:

To ensure that the Agency is calculating and remitting all payroll taxes, including unemployment compensation, to the appropriate agencies in a timely manner.

M - Are withholding and FICA taxes deposited on a timely basis and in accordance with payroll register data? Yes No N/A

M - Was the Quarterly IRS Form #941 properly completed, submitted, and payroll taxes timely remitted to the regulatory agency? (Trace payment to bank statement) Yes No N/A

M - Was the Quarterly Florida Form #UCT-6 properly completed, submitted and Unemployment Compensation taxes timely remitted to the regulatory agency? (Trace payment to bank statement) Yes No N/A

M - Is the Yearly IRS Form #990 properly completed, submitted, and paid on time? (Trace payment to bank statement) Yes No N/A

M – Were all Tax or Insurance payments made on time (by due date)? Yes No N/A

If No above, were interest and penalties assessed against the agency? Yes No N/A

If interest and penalties were assessed, were these costs allocated to any public funding source? Yes No N/A

M - Are IRS W-2 Forms distributed in a timely manner to current and prior employees? Yes No N/A

M – Were the IRS 1090 Forms distributed in a timely manner to all contract employees? Yes No N/A

M – Was the Social Security filing done in a timely manner? Yes No N/A

Additional Comments:

Payroll Taxes

Other Personnel Related Payments

Objective: To ensure that fringe benefit payments are made in a timely manner that avoids penalties and ensures continued coverage and compliance with current regulations

M – Are payments to the following made in a timely manner?

- Health Insurance Provider Yes No N/A
- Life Insurance Provider Yes No N/A
- Dental Insurance Provider Yes No N/A
- Vision Insurance Provider Yes No N/A
- Other Insurance Provider(s). Please list: _____ Yes No N/A

M - If the Agency offers a retirement plan, are employee contributions and/or employer contribution deposited/submitted in a timely fashion? Yes No N/A

M – If the Agency offers a defined contribution retirement plan, and has at least 100 eligible (need not be participating) staff, was an audit of the plan completed? Yes No N/A

Additional Comments: _____

Fiscal

General

*Objective:
To obtain a picture of the Agency's overall fiscal capabilities.*

M - Are internal policies and procedures as listed in the Agency's Accounting Policy and Procedures Manual followed? This can be established by interviewing staff to gauge familiarity with the manual or by choosing a sample of policies and testing adherence to it. Yes No N/A

M - Review the distribution of fiscal duties (i.e. who approves the expense, who cuts the check, who mails the payment). Is the distribution of duties adequate to safeguard assets? Yes No N/A

M - Chart of Accounts:
– Does it include general ledger account codes, account descriptions and account status? Yes No N/A

– Does it support proper allocation by having revenue and expense categories properly identified by program? Yes No N/A

– Does it have an unallowable cost account code to properly identify unallowable costs? Yes No N/A

M - Indirect Cost.
– Is there a cost allocation plan in writing and is it representative of the allocation used? Yes No N/A

M - Review the Agency's cost allocation plan for reasonableness (i.e. are the indirect costs charged to the program representative of the program's size as compared to others operated by the agency?). Is it in compliance with the Title 2 Code of Federal Regulations, Subpart F, and Appendix IV to Part 200? Yes No N/A

Additional Comments:

Bank

Objective:

To ensure that the Agency has the appropriate cash flow to meet the needs of the program, that its management keeps abreast of the Agency's cash flow, and that it has taken steps to protect itself from fraudulent activities.

M - Review bank statements to determine the cash flow position of the Agency.

- Do bank statements reflect returned checks due to insufficient funds? Yes No N/A

- Do bank statements reflect a positive balance at the end of the month? Yes No N/A

M - Are bank statements reconciled monthly? Yes No N/A

M - Are adjustments properly documented and explained? Yes No N/A

M - Do the preparer and the immediate supervisor sign the reconciliation? Yes No N/A

M - Are checks pre-numbered? Yes No N/A

R - Do checks have an expiration date? To limit liability, it is recommended that check be marked with an expiration date, for example "Void after 90 days." (Some funders have guidelines and requirements as to what the valid period of a check may be.) Yes No N/A

M - Does Agency have a policy for signing checks (i.e. checks in excess of x amount require two signatures)? Yes No N/A
Note Agency's policy: _____

R - Are blank checks and the specimen signature stamp stored securely (under lock and key)? Yes No N/A

R - Are voided checks mutilated in some manner (i.e. signature section removed, perforated)? Yes No N/A

Additional Comments:

Journals & Ledgers

Objective:

To ensure that the Agency has an accounting system that properly tracks all financial activities for the program.

M - Does the Accounting System include these major components:

- Cash Receipts Journal? (i.e. deposit log, receipts book) Yes No N/A

- Cash Disbursements Journal? (i.e. check register) Yes No N/A

- Accounts Payable? Yes No N/A

Exhibit C

- Accounts Receivable? Yes No N/A
- General Ledger? Yes No N/A

M - Are entries to journals performed in a timely manner (approximately 30 days)? Yes No N/A

M - Are Receipts and Disbursements reconciled monthly with the General Ledger? Yes No N/A

M - Are adjustments properly documented and explained (journal entries)? Yes No N/A

Additional Comments:

Budget

Objective:

To ensure that the Agency's expenditures match those approved by the funder and that the budget matches the needs of the program.

M - Does the Agency maintain an agency-wide budget by funding source and expenditure category? Yes No N/A

R - Does the Agency prepare a cash-flow analysis (expenditures vs. revenues) at least quarterly? Yes No N/A

M - Does the Agency prepare a Budget Variance Report or otherwise track expenditures versus budgeted amounts on a regular (not more than quarterly) basis? Yes No N/A

M - Do expenditure rates follow those expected from the budget approved by the funder?
If No, can the Agency explain variances or is there a plan of action to reallocate resources? Yes No N/A
Yes No N/A

Additional Comments:

Accounts Payable

Objective:

To ensure that payments are properly documented and that the Agency have procedures to protect its assets from unnecessary expenditures such as penalties and duplicate payments.

Select a random number of charges from the general ledger provided and test to determine the following:

R - Are payments generated by an original invoice? Yes No N/A

M - Do invoices detail the number of units, description, unit cost, and total? Yes No N/A

M - Is payment approved by authorized staff/management? Yes No N/A

M - Are invoices effectively cancelled to avoid duplicate payments? (i.e. marked "Paid") Yes No N/A

M - Do check and invoice amounts agree? Yes No N/A

M - Are invoices paid in a timely manner? (i.e. within 30 days) Yes No N/A

- M** – Are cancelled or imaged checks (front and back) available? Yes No N/A
- M** – For Tax-exempt Agencies ONLY,
Is the Agency paying Sales Taxes? Yes No N/A
If YES, is the Agency filing for Sales Tax refunds from the State Department of Revenue? Yes No N/A

Comments: _____

Petty Cash

Objective:
 To ensure that cash expenditures are only used to meet small emergency needs and that the policies governing the petty cash are designed to safeguard the assets of the program and the Agency.

- M** – Does the Agency use a petty cash fund for any program expenses? Yes No N/A

If No or N/A, skip this section.

If Yes, review petty cash policies and procedures for the following:

- Is the petty cash fund balanced periodically? Yes No N/A
- Is petty cash used ONLY for small purchases (less than \$15)? Yes No N/A
- Does Agency have a policy to perform “surprise” checks on the fund? Yes No N/A
- Is there documentation that such policy is implemented? Yes No N/A
- Is the petty cash funding replenished ONLY by check? Yes No N/A
- Are the petty cash funds securely stored (under lock & key)? Yes No N/A
- Are the expenses authorized and signed by a person other than the custodian or person receiving money? Yes No N/A
- Is documentation available to back up the expenditures of the petty cash funds? Yes No N/A

Additional Comments: _____

Documentation Protocols

Objective:
 To ensure that the Agency has policies in place to protect itself and its clients by safeguarding its documentation and storing it as required by law.

- M** – Does the Agency have a policy to maintain and store documentation as required by law and the individual funders? Yes No N/A

Note that each program, funder, and the IRS have different storage requirements. In addition, fiscal documentation and client files may have different storage requirements under the same contract. When documents fall in more than one category, they must be stored for the longest period required.

- M** – Does the Agency have policies to safeguard client confidentiality? Yes No N/A

M – Are hard copy files kept under lock and key? Yes No N/A

Additional Comments:

Electronic Recordkeeping

M – Does the Agency have Electronic Recordkeeping Policies & Procedures? Yes No N/A

M – Do Electronic Recordkeeping Policies & Procedures include a narrative of the system, location and media in which electronic records are maintained and retention requirements? (F.A.C. Rule 1B-26.003 – Electronic Recordkeeping) Yes No N/A

M – Do the Agency’s electronic recordkeeping systems meet state requirements for public access to records in accordance with F.S. 119 – Public Records and 501.171 – Security of Confidential Information? Yes No N/A

M – Does the Agency back-up electronic records on a regular and consistent basis in accordance with F.A.C. Rule 1B-26.003 – Electronic Recordkeeping? Is it documented? Yes No N/A

M – Are electronic records stored in accordance with F.A.C. Rule 1B-26.003 – Electronic Recordkeeping? (i.e. away from magnetic fields, including generators, elevators, transformers, loudspeakers, microphones, headphones, magnetic cabinet latches and magnetized tools) Yes No N/A

M – Are electronic records labelled in accordance with F.A.C. Rule 1B-26.003 – Electronic Recordkeeping? (Should include at minimum: name of organizational unit responsible for the data, system title, special security requirements/restrictions on access and software used at time of creation.) Yes No N/A

M – Are the users of electronic recordkeeping systems sufficiently trained in the operation, care, and handling of the equipment, software, and media used in the system? Yes No N/A

M – Are the electronic records scheduled for destruction disposed of in a manner that ensures any information that is confidential or exempt from disclosure, including proprietary or security information cannot practicably be read or re-constructed? Yes No N/A

M – Are computerized records password protected? Yes No N/A

Additional Comments:

Procurement

Objective:

To ensure that materials and services purchased with grant funds are properly reviewed and approved and are utilized by the program incurring the expense. In addition, practices such as using products with recycled materials support socially desirable causes.

M – Does the Agency have written procurement policies (may be part of the Fiscal or Administrative Policy & Procedures manual), including emergency purchasing procedures? Yes No N/A

Procurement

M – Do the policies require written quotes for purchases? Yes No N/A
 Please specify the qualifying characteristic that, according to agency policies, triggers the need for written quotes (i.e. amount, type of equipment, sub-contract, etc.):

M – Do purchase orders clearly identify the program/center for which the purchase is being made? Yes No N/A

R – Do purchases require the approval of management? Yes No N/A

M – For State Contracts ONLY:
 – Per Chapter 946, Florida Statutes, the Prison Rehabilitative Industries and Diversified Enterprises (PRIDE) is considered as a source of goods. Yes No N/A
 – Where possible, products or materials with recycled content is used. Yes No N/A
 – Small and Minority Businesses are utilized, when possible, as sources of materials, equipment construction, and services per section 287.0945, Florida Statutes. Yes No N/A

Additional Comments:

In-Kind Contributions

Objective:
 To identify the Agency's efforts in collaboration and ensuring that in-kind requirements for each funding source are met and do not conflict with each other.
 To ensure that in-kind contributions are utilized in accordance with the intention of the contributor.

M – Does the Agency receive in-kind contributions? Yes No N/A
 If No or N/A, skip this section.
 If Yes, review for the following:

M – Does the Agency have procedures in place to record receipt of in-kind contributions (materials, services or cash)? Yes No N/A

M – Are in-kind contributions properly allocated to the program for which they are made? Yes No N/A

M – Are in-kind contributions utilized in accordance with the intent of the contributor? Yes No N/A

M – Are contributions reasonably valued? Yes No N/A

M – Are in-kind contributions reported to funders appropriately and accurately? Yes No N/A

M – Are the procedures utilized by the Agency sufficient to ensure that contributions are only reported once? Yes No N/A

Additional Comments:

Travel Expenses

Objective:
 To ensure that travel expenses are properly reviewed and approved and that reimbursement procedures comply with best practices and single audit requirements.

M – Does the Agency have policies and procedures in reference to staff travel? Yes No N/A

Travel Expenses			
M – Does out-of-town travel require prior approval by appropriate management staff and funding source?	Yes	No	N/A
M – Are travel expense reimbursement requests properly documented with original invoices, boarding passes, receipts, maps, and other documentation as applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M – Is the Agency using appropriate rates for items that have a fixed reimbursement rate such as per diem or mileage rates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M – Do forms used to claim local travel reimbursement provide at least the following:			
– Odometer reading for trip starts and finish.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Destination (including name and address)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Purpose/Reason	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Statement signed by employee that report is true and accurate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Supervisor approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
M – Is the agency following the Department of Economic Opportunities (DEO) State Travel Manual dated 9/26/11?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

N/A

Additional Comments:

Program Revenues			
<i>Objective:</i>			
<i>To ensure that revenues generated through the program are properly managed and re-invested in a manner consistent with the intent of the funder.</i>			
M – Does this program generate revenues?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If No or N/A, skip this section.	Yes	No	N/A
If Yes, review procedures to determine the following:			
– Does the Agency have procedures for collection of such revenue (i.e. fees, interests)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Are revenues promptly deposited in the bank account of the program (within 48 hours)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Does the Agency prepare a periodic (monthly or quarterly) revenue flow report?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
– Are these revenues re-invested in program activities or otherwise expended as allowed by the program funder?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A
R - Does the agency reconcile reimbursements received from funders against the amounts billed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No	N/A

Additional Comments:

Property			
<i>Objective:</i>			
<i>To ensure that the Agency properly documents, tracks, and safeguards the fixed assets purchased with public funds.</i>			

Property

Perform only if the Agency has been funded, in current or prior funding cycles, for fixed assets such as equipment, building, or building improvements. This test includes fixed price contracts where rates were based on calculations that included capital expenditures.

- M** – Does the fixed asset register include the following information and is signed and dated by the preparer:
 - Description of the equipment Yes No N/A
 - Manufacturer’s serial number, model number, or other identification number Yes No N/A
 - Acquisition date and unit acquisition cost Yes No N/A
 - Funding source that holds the title Yes No N/A
 - Location and condition of the equipment Yes No N/A
 - Custodian of the equipment Yes No N/A
 - Disposition data, including date and method of disposal Yes No N/A

- M** – Is a physical inventory taken and recorded on an annual basis? Yes No N/A

- M** – Are property records reconciled to the General Ledger at least once annually? Yes No N/A

- M** – Perform a physical inventory of a sample drawn from the fixed assets register. Do they agree? Note any discrepancies. Yes No N/A

- M** – Are fixed assets being used in accordance with funding intent? Yes No N/A

- M** – Are fixed assets paid for by the funders paid in full and free from liens? Yes No N/A

- M** – Do disposal procedures include prior approval from funder? Yes No N/A

- M** – Were fixed assets purchased within the contract period in which they were approved / funded? Yes No N/A

- M** – Does the agency have a written fixed assets policies and procedures? Yes No N/A

Additional Comments:

Sub-Contractors

Objective:
 To ensure that payments made to subcontractors and consultants are properly documented and supported by properly executed contracts and/or agreements. To ensure that work performed by agents outside the Agency meet the needs of the program and the intent of the funders.

Perform only if there are sub-contracts in place being paid with funding from the current contract year.
Note: Reviewer should differentiate between subcontracts for indirect and direct services (i.e. equipment maintenance versus medical treatment) in reviewing the following:

- M** – Are sub-contracts allowed under this funding? Some funding sources do not allow the use of sub-contracts to deliver direct services. Yes No N/A

- M** - Was the sub-contract submitted to the funding source for approval prior to entering into the contract if required? Yes No N/A

- Yes No N/A

Sub-Contractors

M - Do authorized individuals from both the Agency and the sub-contractor sign the sub-contract? Yes No N/A

M - Does the sub-contract include specific details regarding the scope of work and the payment method? Yes No N/A

R - Is the sub-contract subject to annual renewal? Yes No N/A

M - Are sub-contractors required to carry liability insurance? Yes No N/A

M- Does the sub-contract include language to allow the termination of the same before its expiration? It should include, at a minimum, language that allows termination due to lack of performance by the sub-contractor or due to funding cuts or termination. Yes No N/A

M- Does the sub-contract contain all clauses and provisions required by the program regarding record retention, privacy, access to records, and others? This test applies mostly to sub-contracts for direct services to clients/customers. Yes No N/A

Additional Comments:

Licenses & Accreditation

Objective:
 To ensure that the Agency has received the appropriate licenses and such to meet the needs of the program and comply with local, state, and federal statutes.

M - Are occupational licenses current and appropriate for the use? Yes No N/A

M - Do inspection reports show any areas of concern or non-compliance? Yes No N/A

If Yes, has the Agency taken steps to correct these areas? Yes No N/A

If No, please elaborate: _____

M - If the services offered require special operational licenses, are they current and appropriate? Yes No N/A

M - Required Licenses: _____ Expiration _____ Yes No N/A

_____ Expiration _____ Yes No N/A

_____ Expiration _____ Yes No N/A

_____ Expiration _____ Yes No N/A

Additional Comments:

Insurance

Objective:
 To ensure that the Agency has adequate insurance to cover its risk exposure in a manner that ensures continued operations regardless of lawsuits or catastrophes.

M - Review the Agency's Accord Form to determine which policies are in place. The Agency should have the following:

Insurance

- Commercial General Liability - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Property (only if capital equipment exists) - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Worker's Compensation - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Automobile Liability - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Professional Liability Insurance - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Director's & Officers - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A
- Fidelity Bond - Company Rating: _____
Expiration Date: _____ Amount: _____ Yes No N/A

Additional Comments: _____

Credit Card Transactions

Objective:

To ensure that the policies governing the use of corporate credit cards are designed to safeguard the assets of the program and the Agency and not used to circumvent normal purchasing policies.

Complete this section if corporate credit cards have been issued in the Agency's name:

- M** – Does the Agency perform monthly account reconciliation for all credit card accounts? Yes No N/A
- M** – Are original receipts attached to the statement? Yes No N/A
- M** – Review the number, size, and type of transactions. Are they reasonable and do not circumvent normal purchasing policies and controls? Yes No N/A
- M** – Does the Agency have a written agreement with employees who are issued a corporate credit card? If Yes, answer the following:
 - Does the agreement require the employee to submit original receipts for expenses charged to the card? Yes No N/A
 - Does the agreement require that the employee return the card at the end of employment or at any time prior to separation? Yes No N/A
 - Does the agreement include provisions to ensure that employees pay for personal items or other non-allowable expenses charged to the credit card? Yes No N/A
- M** – Does the Agency maintain a list of who has been issued credit cards and their corresponding credit card number? Yes No N/A
- M** – Are corporate credit cards that are loaned to employees controlled through a log or some other mechanism, indicating date loaned, person's name, purchase amount, and description, and date returned. Yes No N/A
- M** – Does the agency have written credit card policies and procedures governing the credit cards? If applicable. Yes No N/A

Additional Comments: _____

DECLARATIONS - TO BE COMPLETED BY ALL CONTRACTORS

1. Please provide a complete accounting of all transactions of business completed during the past twelve (12) months between your Agency and other entities or businesses owned or controlled by members of the Board of Directors and / or senior management. Please provide copies of representative invoices for these transactions and describe what steps were taken to ensure that the amounts paid were reasonable and competitive.

2. Are there any Board Members employed by any business or entity that has conducted any financial transactions with your Agency during the past twelve (12) months? If so, please provide an accounting and copies of representative invoices for these transactions; also explain what steps were taken to assure that the amounts paid were reasonable.

3. Please list all civil litigation pending against your Agency. If applicable, include a statement as to the amount of each claim, and whether the potential loss would be covered by the insurance policy.

4. Are any amounts or reports due to the Internal Revenue Service (IRS) and/or the State of Florida that have not been paid or filed? Specify amounts, reports, and due dates.

5. Please list all persons and their titles currently authorized to sign contract(s) with CSSF on behalf of your Agency.

6. Please list your independent auditor, contact person, office address, telephone, fax number, and e-mail address.

7. Has there been any change in structure / operations of your Agency over the past year? If yes, please describe in detail.

8. Has there been staff turnover in key positions? If yes, what are the affected positions and reasons for the turnover?

9. Has there been any client grievances / complaints filed against your Agency? If yes, what was the nature of the grievances, dates, and other pertinent information? Explain in detail.

10. Do you operate satellite sites? If so, how many locations? Is the management of the satellite offices decentralized or centralized?

CERTIFICATION:

I hereby certify that the answers provided in this self-assessment document are true and accurate to the best of my knowledge. I understand that falsification or misrepresentation of any form on any question is considered a breach of contract, which may lead to the immediate termination of all contracts with CSSF.

Signature -- President/Executive Director

Date

Print Name -- President/Executive Director

Signature - Chairperson of the Board

Date

Print Name - Chairperson of the Board

Signature - Controller/Fiscal Director

Date

Print Name - Controller/Fiscal Director

ATTACHMENT A

LIST OF DOCUMENTS TO BE PROVIDED FOR ADMINISTRATIVE DESK REVIEW

1. Most recent independent audit and Management Letter, if applicable. If already submitted to CSSF, please provide date submitted _____.
2. Most recent financial reports to management to include:
 - a. Current chart of accounts
 - b. Trial balance
 - c. Balance sheet
 - d. Income statement
 - e. Expenditure report
 - f. Budget variance report
 - g. Aging schedule of accounts receivable and payable
 - h. Agency-wide operating budget for Program year 17-18
 - i. Fixed assets trial balance.
 - j. The most recent agency-wide general ledger and the two preceding months.
3. Minutes of the three (3) most recent board of directors, finance committee, or any other committee meetings.
4. The two (2) most recent Employer's Quarterly Federal Tax Return submitted to the IRS (Form 941) and the Florida Department of Revenue Employer's Quarterly Report submitted to the State of Florida (Form RT-6), as well as copies of supporting documentation evidencing the deposit of payroll taxes and payment of Unemployment Compensation taxes.
5. A copy of check registers for each bank account for the most recent three (3) month period.
6. Complete copies of the bank statements and corresponding reconciliations for each account for the most recent three (3) month period.
7. Complete copies of the corporate credit card statements for each account for the most recent three (3) month period, if applicable.
8. Payroll registers for the last two (2) pay periods.
9. Cost Allocation Plan and Indirect Cost Rate Agreement, if applicable.
10. An employee roster that includes positions, titles, professional licenses/certifications, assigned departments, and percentage allocated to program funds, if applicable.
11. A current roster listing the members of the Board of Directors, to include position, addresses, telephone numbers, e-mail addresses, fax number, gender, race, ethnicity and term expiration.
12. Copies of any Subcontractor or Professional Agreements, whose costs have been charged in completely or in part, directly or indirectly, to CSSF funds.
13. Copies of current leases.
14. If program income was earned, please provide the allocation of the revenue to program funds or its disposition.

Note: If any item above is not applicable, please mark "N/A" next to the item and briefly explain why it is not applicable to the Agency.