

**SUB-RECIPIENT FUNDING AGREEMENT BETWEEN  
SOAR CAREER SOLUTIONS  
AND  
CITY OF DULUTH  
FOR THE  
STATE OF MINNESOTA  
DEPARTMENT OF EMPLOYMENT AND ECONOMIC DEVELOPMENT  
WORKFORCE DEVELOPMENT DIVISION  
  
PATHWAYS TO PROSPERITY  
CONNECTIONS TO CAREERS IN HEALTHCARE AND CONSTRUCTION**

**THIS AGREEMENT**, effective as of the date of attestation by the City Clerk (“Effective Date”), by and between the **CITY OF DULUTH**, (the "City"), and **SOAR CAREER SOLUTIONS**, (the "Grantee").

**WHEREAS**, the City has entered into a Master Grant Agreement with the State of Minnesota, acting by and through its Department of Employment and Economic Development, Workforce Development Division ("DEED") to apply for and receive funds to provide employment and training services offered through the City’s Workforce Development Department; and

**WHEREAS**, under the Master Grant Agreement, in cooperation with Grantee, the City applied to and received approval for funds in the amount of Three Hundred Seventy-Eight Thousand Five Hundred Dollars and no/100 (\$378,500) from DEED under its Pathways to Prosperity Program (the "Program Grant") to support healthcare and construction industries’ workforce needs and address employment disparities in Duluth and northeast Minnesota. This program will prepare individuals with the skills needed to enter into employment in the healthcare and construction fields and/or access additional education (“the Project”). The Project Specific Plan (“PSP)/Work Plan/Budget is attached as *Exhibit A* and the grant award letter is attached as *Exhibit B*; and

**WHEREAS**, the City desires to award a portion of the Program Grant (the "Subgrant") to Grantee, and Grantee agrees to accept and utilize such proceeds for the Project.

**NOW, THEREFORE**, the parties agree to the following terms:

1. **AWARD**. The City awards a Subgrant to Grantee in the amount of Sixty-Four Thousand Six Hundred and Ninety-Six Dollars and no/100<sup>th</sup> (\$64,696) for Grantee’s performance of its obligations under the Program Grant including:

- A. Perform the duties specified in the PSP/Work Plan/Budget, which is attached as *Exhibit A* and incorporated into this Agreement.
- B. Fulfill the roles and responsibilities as outline in the P2P Partner Roles and Responsibilities Summary, *Exhibit C*.
- C. Follow all DEED policies and procedures including participating in Workforce One training provided by DEED, and entering all program data into Workforce One within the required timeframes.
- D. Provide quarterly reports two weeks prior to the reporting due date and/or any other reporting required by DEED, including Workforce One reporting and the Connections to Careers in Healthcare and Construction Project data.

- E. Submit invoice outlining services provided with supportive documentation to City Director as described in section 5. Examples of documentation for services include detailed receipts and timesheets.
- F. Coordinate with City staff on scheduling for services and/or workshops.
- G. If applicable and as requested, provide evaluations, attendance and completion information for services, trainings or workshops.
- H. Facilitate City's Fiscal and Program Monitoring and assist in the completion of the DEED Jobs Bill Grant Minnesota Pathways to Prosperity Monitoring Guide, attached hereto as **Exhibit E**. Fiscal sub-recipient monitoring will be conducted once per state fiscal year ("SFY"); Program monitoring will be conducted once per quarter.
- I. Sign Grantee Obligation Checklist, attached as **Exhibit F**.
- J. Develop and maintain ongoing communication with City staff.

Notwithstanding anything to the contrary, the Grantee understands and agrees that any reduction or termination of the Program Grant may result in a like reduction or termination of the Subgrant, and that any material change in the timeline or scope of the Program must be approved in writing by the City and DEED. The City reserves the right to cancel or postpone training class start dates due to lack of enrolled participants or other circumstances.

**2. PERFORMANCE.** The Grantee must comply with all requirements applicable to the City in the Master Grant Agreement and/or Project Specific Plan. Grantee's default under the Project Specific Plan will constitute noncompliance with this Agreement. If the City finds that there has been a failure to comply with the provisions of this Agreement or that reasonable progress on the Program has not been or will not be made, the City may take action to protect its interests, including refusal to disburse additional funds and requiring the return of all or part of the funds already disbursed. If action to correct substandard performance is not taken by the Grantee within 60 calendar days (or such longer period specified by the City) after written notice by the City, the City may terminate this Agreement.

**3. TIME OF PERFORMANCE.** Grantee must start the Program upon execution of this Agreement and complete the Program on or before June 30, 2021. The City is not obligated to pay for any Program costs incurred after that date or any earlier termination, whichever occurs first.

**4. CONDITIONS PRECEDENT TO DISBURSEMENT.** The following requirements are conditions precedent to the City's disbursement of any of the Subgrant proceeds.

- A. The Grantee must have provided the City with evidence of compliance with the insurance requirements of Section 7(G) herein.
- B. The Grantee must have provided to the City such evidence of compliance with all of the provisions of this Agreement as the City may reasonably request.

**5. DISBURSEMENT.** It is expressly agreed and understood that the City will pay Grantee under this Agreement \$32,348 in the SFY 2020 and \$32,348 in SFY 2021 with the total amount not to exceed \$64,696. City will pay Grantee for all services performed under this Agreement. Grantee's proposed budget is attached as **Exhibit D**. Invoices may be submitted on a monthly basis or other timeframe approved in writing by the Workforce Development Director, but must be submitted at a mid-point, and at the conclusion of the training contract. For SFY 2020, a final

invoice must be received by July 30, 2020; for SFY 2021 a final invoice must be received by July 30, 2021. Payment for services will be sent within 45 days of receipt of invoice.

**6. NOTICES.** Communication and details concerning this Agreement must be directed to the following Agreement representatives:

**City:** City of Duluth  
Elena Foshay, Director  
Workforce Development Department  
402 W. 1<sup>st</sup> Street  
Duluth, MN 55802  
218-730-5241

**GRANTEE:** SOAR Career Solutions  
Emily Edison, Executive Director  
205 West 2nd Street, Suite 101  
Duluth, MN 55802  
218-722-3126

**7. GENERAL CONDITIONS.**

- A. **General Compliance.** The Grantee agrees to comply with all applicable federal, state and local laws and regulations governing the project and funds provided under this Agreement.
- B. **Civil Rights Assurances.** Grantee and City, and their respective officers, agents, servants and employees, as part of the consideration under this Agreement, do hereby covenant and agree that:
1. No person on the grounds of race, color, creed, religion, national origin, ancestry, age, marital status, status with respect to public assistance, sexual orientation and/or disability shall be excluded from any participation in, denied any benefits of or otherwise subjected to discrimination with regard to the services provided under this Agreement.
  2. That all activities to be conducted pursuant to this Agreement shall be conducted in accordance with the Minnesota Human Rights Act of 1974, as amended (Chapter 363), Title 7 of the U.S. Code and any regulations and executive orders which may be affected with regard thereto.
- C. **Independent Contractor.** Nothing contained in this Agreement is intended to, or may be construed in any manner, as creating or establishing the relationship of employer/employee between the parties. The Grantee will at all times remain an independent contractor with respect to the services to be performed under this Agreement. The City is exempt from payment of all unemployment compensation, FICA, retirement, life and/or medical insurance and workers' compensation insurance because the Grantee is an independent contractor.
- D. **Liability.** Each party hereto agrees that it will be solely liable for any liability arising out of any acts or omissions of itself or its officers, agents, servants, employees or subcontractors in the performance of its respective obligations under this Agreement.

Nothing herein shall be deemed to create any liability on behalf of either party not otherwise existing as to such party under the provision of the Minnesota Municipality Limitation of Liability Statute, Minnesota Statute Section 466 *et. seq.*, or to extend the amount of liability of either party to amounts in excess of that specified in said Chapter.

- E. **Indemnification.** Grantee will indemnify, defend, and hold harmless the City, its officers, agents, and employees, from any claims or causes of action, including attorney's fees incurred by Grantee arising from the performance of this Agreement by Grantee, or its officers, agents or employees
- F. **Workers' Compensation.** The Grantee must provide workers' compensation insurance coverage for all employees involved in the performance of this Agreement.
- G. **Insurance.** Grantee shall procure and maintain continuously in force Public Liability Insurance written on an "occurrence" basis under a Comprehensive General Liability Form in limits of not less than One Million Five Hundred Thousand and No/100s (\$1,500,000.00) Dollars aggregate per occurrence for personal bodily injury and death, and limits of One Million Five Hundred Thousand and No/100s (\$1,500,000.00) Dollars for damage liability. If person limits are specified, they shall be for not less than One Million Five Hundred Thousand and No/100s (\$1,500,000.00) Dollars per person and be for the same coverages. The City shall be named as an additional insured therein. Insurance shall cover:
  - 1. Public liability.
  - 2. Independent contractors--protective contingent liability.
  - 3. Personal injury.
  - 4. Contractual liability covering the indemnity obligations set forth herein.

## 8. ADMINISTRATIVE REQUIREMENTS.

- A. **Accounting Standards.** The Grantee agrees to maintain the necessary source documentation and enforce sufficient internal controls as dictated by generally accepted accounting practices to properly account for expenses incurred under this Agreement.
- B. **Records.**
  - 1. *Retention.* The Grantee must retain all records pertinent to expenditures incurred under this Agreement until conclusion of the latest of (a) six years after the Grantee has completed the Program; (b) six years after the Grantee has expended all proceeds of the Subgrant; or (c) six years after the resolution of all audit findings. Records for nonexpendable property acquired with funds under this Agreement must be retained for six years after final disposition of such property. Records for any displaced person must be kept for six years after he/she has received final payment.
  - 2. *Inspections.* All Grantee records with respect to any matters covered by this Agreement must be made available to the City, DEED or their designees at any time during normal business hours, as often as the City or DEED deems necessary, to audit, examine, and make excerpts or transcripts of all relevant data.
  - 3. *Audits.* If requested by the City, the Grantee must have an annual financial compliance audit conducted in accordance with the City's requirements. The Grantee

must submit two copies of such audit report to the City. Any deficiencies noted in such an audit report or an audit/monitoring report issued by the City or its designees must be fully resolved by the Grantee within a reasonable time period after a written request from the City. Failure of the Grantee to comply with the provisions of this paragraph will constitute a violation of this Agreement and may result in the withholding of future payments or the requirement for Grantee to return all or part of the funds already disbursed.

4. *Data Practices Act.* The Grantee must comply with the Minnesota Government Data Practices Act, Chapter 13.

5. *Close-Outs.* The Grantee's obligation to the City does not end until all closeout requirements are completed. Activities during this close-out period include: making final payments, disposing of program assets (including the return of all unused materials, equipment, unspent cash advances, program income balances, and receivable accounts to the City), determining the custodianship of records and resolving audit findings.

C. **Payments.** The City will pay to the Grantee funds available under this Agreement based upon information submitted by the Grantee and consistent with any approved budget and City policy concerning payments. Payments may be adjusted at the option of the City in accordance with advance funds and program income balances available in Grantee accounts. In addition, the City reserves the right to liquidate funds available under this Agreement for costs incurred by the City on behalf of the Grantee.

D. **Procurement.** The Grantee must maintain an inventory record of all nonexpendable personal property procured with funds provided under this Agreement. All unexpended program income must revert to the City upon termination of this Agreement.

## 9. MISCELLANEOUS.

A. **Assignability.** The Grantee may not assign or transfer any interest in this Agreement (whether by assignment or novation) without the prior written consent of the City; provided, however, that claims for money due or to become due to the Grantee from the City under this Agreement may be assigned to a bank, trust company, or other financial institution without such approval. Notice of any such assignment or transfer must be furnished promptly to the City.

B. **Copyright.** If this Agreement results in any copyrightable material, the author is free to copyright the work, but the City and/or DEED reserves the right to royalty-free, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, the work for government purposes.

C. **Relationship of the Parties.** It is agreed that nothing herein contained in intended or should be construed in any manner as creating or establishing the relationship of co-partners, joint ventures, or joint enterprise between the parties hereto or constituting either party as an agent, representative or employee of the other for any purpose or in any manner whatsoever.

D. **Governing Law.** This Agreement will be governed by, and construed in accordance with, the laws of the State of Minnesota.

E. **Counterparts.** This Agreement may be executed in two or more counterparts, each of which shall be deemed to be an original as against any party whose signature appears thereon, but all of which together shall constitute but one and the same instrument. Signatures to this Agreement transmitted by facsimile, by electronic mail in “portable document format” (“.pdf”), or by any other electronic means which preserves the original graphic and pictorial appearance of the Agreement, shall have the same effect as physical delivery of the paper document bearing the original signature.

**10. ENTIRE AGREEMENT.** This Agreement contains all negotiations and agreements between City and Grantee. No other understanding, agreements or understandings regarding the Grant Agreement, or this Agreement, may be used to bind either party

IN WITNESS WHEREOF, the parties have caused this Agreement to be duly executed intending to be bound thereby.

**CITY OF DULUTH**

**SOAR CAREER SOLUTIONS**

By \_\_\_\_\_  
Mayor

By \_\_\_\_\_

Attest:

Its: \_\_\_\_\_

\_\_\_\_\_  
City Clerk  
Date Attested: \_\_\_\_\_

By: \_\_\_\_\_

Countersigned:

Its: \_\_\_\_\_

\_\_\_\_\_  
City Auditor

As to form:

\_\_\_\_\_  
City Attorney

## ATTACHMENTS

**Exhibit A:** Project Specific Plan/Work Plan/Budget

**Exhibit B:** Award Letter

**Exhibit C:** P2P Partner Roles and Responsibilities Summary

**Exhibit D:** Grantee's Budget

**Exhibit E:** Jobs Bill Grant Minnesota Pathways to Prosperity Monitoring Guide

**Exhibit F.** Grantee Obligations Checklist

## EXHIBIT A

**STATE OF MINNESOTA  
PROJECT SPECIFIC PLAN  
ORIGINAL CONTRACT**

Master Contract # DULUTH2016M  
 Term of Master Contract 7/20/2016-6/30/2021  
 Master Supplier Contract # 109704  
 Contract ID # 9047800

GRANTOR / STATE	GRANTEE
MN Department of Employment and Economic Development Employment and Training Programs (ETP) Division 1 <sup>st</sup> National Bank Building 332 Minnesota Street – Suite E200 Saint Paul, MN 55101-1351	City of Duluth Workforce Development 402 W. First St. Duluth, MN 55802
GRANT MANAGER (Contact)	GRANTEE CONTACT
Name: Ann Meyers Title: Adult Career Pathways Grant Coordinator Telephone Number: 651-259-7174 Email: <a href="mailto:ann.meyers@state.mn.us">ann.meyers@state.mn.us</a>	Name: Elena Foshay Title: Director Telephone Number: 218-730-5241 Email: <a href="mailto:efoshay@duluthmn.gov">efoshay@duluthmn.gov</a>

**Required Attachments:**  
 Attachment 1: Work Plan  
 Attachment 2: Budget  
 Attachment 3: Terms and Conditions

**SUBMITTED BY GRANTEE:**

I certify that the information contained in the attached Work Plan and Budget, labeled attachment 1 and Attachment 2 respectively, is true and accurate to the best of my knowledge and that I am authorized to submit this Project Specific Plan on behalf of the Grantee.  
 (Signature) Date: 11/14/19

Printed Name and Title of Authorized Representative: Elena Foshay

**APPROVED BY (GRANTOR / STATE)**

I have reviewed and approved the attached Project Specific Plan which is referenced in and incorporated as an amendment to the Master Grant Contract indicated herein.  
 (Signature) Date: 11/15/19

Printed Name of Authorized Representative: Marc Majors  
 Title: **Interim Director**, Employment and Training Programs (ETP) Division  
 Agency: Minnesota Department of Employment and Economic Development

**FOR DEED OFFICE USE ONLY**

Program Name:		
Contract Start Date:	11/15/2019	Original Contract Amount: <u>\$ 189,250</u>
Contract End Date:	6/30/2020	
Match/Leverage Required?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
Procure-It #	SWIFT Contract ID	SWIFT PO Number #
50483	169211	3000391537
NGA #	SWIFT Vendor Number + Location	
<u>19-9</u>	0000197681-001	

AFS Signature:

Encumbrance Date: 11/14/19



Indirect Cost Rate  
RPR

(Not Applicable at this time)

NGA # 19-9

### Notice of Grant Action (NGA)

Minnesota Department of Employment and Economic Development  
Master Grant Agreement #DULUTH2016M

SC #109704

Effective Master Grant Agreement Date: July 20, 2016 - June 30, 2021  
DUNS #: 077627883

**GRANTEE:**

City of Duluth  
Workforce Development  
WDA #4  
402 West First Street  
Duluth, MN 55802-1102

**GRANTOR-STATE:** MN Dept of Employment and Economic Development

Employment and Training Programs (ETP) Division  
1st National Bank Building  
332 Minnesota Street, Suite E200  
Saint Paul, MN 55101-1351

**FUNDING SUMMARY**

1	2	3	4	5	6	7	8	9	10	DEED USE	
Title ID/Name	Performance Period	Grant ID #	Prior Level	Obligation with this Action	New Level	Total Award/Amount	CFDA #	CFDA Name	NGA #	SWIFT P.O. #	SWIFT Contract ID
<b>FEDERAL</b>											
PY19 WIOA Youth Formula Grant	04/01/2019 - 03/31/2021	9043600	\$331,191.00	\$0.00	\$331,191.00	\$331,191.00	17.259	WIOA Youth	1,6	3-369574	157007
PY19/FY20 WIOA Adult Mod #1 (2nd Allotment)	07/01/2019 - 06/30/2021	9043100	\$236,851.00	\$0.00	\$236,851.00	\$236,851.00	17.258	WIOA Adult	4,8	3-379102	163316
PY19/FY20 WIOA DW Mod #1 (2nd Allotment)	07/01/2019 - 06/30/2021	9048000	\$83,373.00	\$0.00	\$83,373.00	\$83,373	17.278	WIOA DW	4,8	3-379427	163660
Senior Community Service Employment Program (SCSEP)	07/01/2019 - 06/30/2020	0045100	\$102,361.00	\$0.00	\$102,361.00	\$102,361.00	17.235	SCSEP	5	3-380502	164446
<b>OTHER</b>											
SFY 20 MN Youth Program	07/01/2019 - 06/30/2020	0046400	\$143,623.00	\$0.00	\$143,623.00	\$143,623.00	N/A	N/A	2	3-373488	159106
SFY 20 Youth at Work Competitive Grant Program	07/01/2019 - 06/30/2020	0048801	\$60,000.00	\$0.00	\$60,000.00	\$60,000.00	N/A	N/A	3	3-378627	162756
PY19/FY20 State DW	07/01/2019 - 06/30/2021	9048500	\$146,195.00	\$0.00	\$146,195.00	\$146,195.00	N/A	N/A	4	3-379198	163353
SFY20 Higher Education Career Adviser Program (HECAP)	10/16/2019 - 06/30/2020	0046301	\$23,000.00	\$0.00	\$23,000.00	\$23,000.00	N/A	N/A	7	3-388504	167671
SFY20 Pathways to Prosperity WDF	11/15/2019 - 06/30/2020	9047800	\$0.00	\$189,250.00	\$189,250.00	\$189,250.00	N/A	N/A	9	3-391537	169211
<b>TOTAL</b>			<b>\$1,126,594.00</b>	<b>\$189,250.00</b>	<b>\$1,315,844.00</b>	<b>\$1,315,844.00</b>					

APPROVED BY:

*Chris Ortega by ggs*  
Chris Ortega, Director  
Employment and Training Programs (ETP) Division

DATE ISSUED:

*11/18/19*

The approved Project Specific Plan, along with this NGA, and attached workplan and budget are releasing funding under the DULUTH2016M State/Federal Master Grant Agreement with DEED.

See Attachment 3 for DEED's Contacts and Additional Terms and Conditions.

RPR = Reimbursement Payment Request

For questions, contact JoAnne Beaudry at 651-259-7577 or joanne.beaudry@state.mn.us

## Pathways to Prosperity Grant Summary Sheet

<b>Grantee: City of Duluth</b>		<b>Grant #: 9047800</b>	
1. Organization Name:	City of Duluth Workforce Development		
2. Physical Address	402 W. First St, Duluth MN 55802	8. Mailing Address	402 W. First St, Duluth MN 55802
3. Director Name and Title:	Elena Foshay, Director	9. Program Contact Name:	Betsy Hill, Employment Technician
4. Director Telephone:	218-730-5241	10. Program Contact Telephone:	218-730-5228
5. Director Email:	efoshay@duluthmn.gov	11. Contact Email:	bhill@duluthmn.gov
6. Workforce One Primary Contact Name:	Betsy Hill	12. Workforce One Primary Contact Information:	Same as above
<b>Program Information:</b>			
12. Project Name:	Duluth Career Pathways Program		
13. Project Summary:	This project will train 90 individuals through three career pathway options: Certified Nursing Assistant, Health Services, and Transportation for the construction industry. Through our On-ramp, Bridge, and Integrated components, participants will have multiple entry and exit points and Navigator support to ensure their success in training and employment.		
14. Model Awarded:	3		
15. Target Population Served:	Individuals with one or more barriers to employment: People of color, low-income adults, individuals with a criminal background, individuals with disabilities, long-term unemployed, individuals who lack stable housing, individuals with limited English or math proficiency		
16. Amount of Award:	SFY 20: \$189,250. SFY 21: \$189,250.		
17. SFY 20 Participants Enrolled:	32		
18. SFY 21 Participants Enrolled	58		
19. Total Number of Participants Enrolled:	90		
20. Training Providers:	Lake Superior College, American Red Cross		
21. Compensated Partners:	ISD709 Adult Basic Education, Lake Superior College, SOAR Career Solutions, American Red Cross		
22. Adult Basic Education Partner:	ISD709 Adult Basic Education		
23. On-Ramp Certificate(s): (Model 1 and 3 only)	CareerQuest, Mind Over Matters, North Star Digital Literacy, Creative Job Search, CareerForce work readiness classes		
24. Bridge Credential(s): (Model 2 and 3 only)	Commercial Driver's License, Certified Nursing Assistant, Health Services certificate		
25. Integrated Credentials: (Model 3 only)	<p><b>CDL:</b> 10 credits which can be applied towards the Advanced Truck Driving Certificate (16 credits) or as electives towards any other LSC degree.</p> <p><b>CNA:</b> 4 credits that meet a pre-requisite for LPN and RN programs.</p> <p><b>Health Services:</b> 4 credits (3 for Medical Office Procedures and 1 for Medical Terminology) which meet requirements for many health career programs.</p>		

## Attachment 1. Work Plan

Complete the Work Plan as applicable to your proposal. Use additional pages as necessary. Please see the [General Definitions](#) for information regarding the performance measures required in the Work Plan table. Data entered must be numeric and must be cumulative from quarter to quarter. "Average Increase in Wage/Earnings" is the difference between the average enrollment wage and average exit wage, as documented in the *Demographic Summary Report* in Workforce One-this is an average of all enrolled participants.

	Quarter 1: Grant Start Date through 12/31/19	Quarter 2: Grant Start Date through 03/31/20	Quarter 3: Grant Start Date through 06/30/20
Total participants enrolled	0	25	32
Total participants enrolled in training	0	22	30
Total Participants completing training	0	0	22
On-Ramp Certificates attained (Model 1 & 3)	0	5	10
Bridge Credentials attained <sup>1</sup> (Model 2 & 3 )	0	0	18
Integrated Credentials attained (Model 3) <sup>1</sup>	0	0	18
Average Increase in Wage/ Earnings	0	0	\$5.50
Exits to employment	0	0	10
All exits-Total	0	3	18

<sup>1</sup> Providers of credentialed training must be [Minnesota Office of Higher Education compliant](#)

Form 4A. Partnership Chart-Uncompensated Partners

List all partner organizations that will contribute resources, staff, or time to the proposed services without compensation.

Type of Organization (e.g. employer, educational institution, non-profit, etc.)	Name and Address of Organization	Type of Commitment: (time, staff, resources, space, referrals, etc.)	Key Contact Person and Telephone Number	Responsible for Workforce One Data Entry
Employer	Aftenro 510 W. College St Duluth, MN 55811	Time, staff, connection to employment	Shayla Drake, HR Coordinator 218-728-6600	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Employer	Essentia Health 407 E. 3 <sup>rd</sup> St. Duluth, MN 55805	Time, staff, connection to employment	Kim Burke, Workforce Development Specialist 218-786-4017	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Employer	St. Luke's 915 E 1 <sup>st</sup> St Duluth, MN 55805	Time, staff, connection to employment	Taylor McCormick, Recruiter 218-249-6973	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Employer	Ecumen Lakeshore 4002 London Rd. Duluth, MN 55804	Time, staff, connection to employment	Jena Evans, Community Relations Manager 218-625-7838	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Employer	Northland Construction 4843 Rice Lake Rd Duluth, MN 55803	Time, staff, connection to employment	Scott Kyrola, President 218-722-8170	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Employer	MNDot 1123 Mesaba Ave Duluth, MN 55811	Time, staff, connection to employment	Robin Jordan, HR Specialist 2 218-725-2712	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

## Form B. Partnership Chart-Compensated Partners

List all partners that will receive compensation from this grant. It is only necessary to include operational partners, **not vendors** such as "Office Supply Warehouse", "Nurse Uniforms R Us". Carefully review the federal definition of subgrantee (subrecipient) versus subcontractor and categorize your partners appropriately. **Subgrantees receiving \$50,000 or more will need to be monitored by your organization.**

Type of Organization (e.g. employer, business, educational institution, etc.)	Subgrantee or Subcontract	Name and Address of Organization	Services Provided: (Case Management, Training, Accounting, etc.)	Key Contact Person and Telephone Number	Responsible for Workforce One Data Entry	Anticipated total amount of compensation from grant
Educational Institution	<input checked="" type="checkbox"/> Subgrantee <input type="checkbox"/> Subcontract	Lake Superior College 2101 Trinity Rd Duluth, MN 55811	Technical Training	Tamara Arnott, Dean of Workforce Development 218-733-5923	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	\$132,900
Educational Institution	<input checked="" type="checkbox"/> Subgrantee <input type="checkbox"/> Subcontract	ISD709 Adult Basic Education 215 N 1 <sup>st</sup> Ave East Duluth, MN 55802	Integrated Instruction	Patty Fleege, ABE Manager 218-336-8790	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	\$45,930
Community Organization	<input checked="" type="checkbox"/> Subgrantee <input type="checkbox"/> Subcontract	SOAR Career Solutions 205 W 2 <sup>nd</sup> St Duluth, MN 55802	Recruitment, Case Management, Program Coordination	Emily Edison, Executive Director 218-722-3126	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	\$64,696
Training Provider	<input type="checkbox"/> Subgrantee <input checked="" type="checkbox"/> Subcontract	American Red Cross 431 18 <sup>th</sup> St NW Washington, DC 20006	Basic Life Support training	Kaitlin Clabaugh (800) 567-1474 x582348	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	\$2,540

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## Form C. Work Plan Narrative:

This information can be copied from your proposal, section 1-5 of the evaluation criteria. If making changes from awarded proposal, highlight all areas changed.

### **Section 1: Equity Analysis**

Duluth Workforce Development (DWD) has a strong commitment to serving individuals who continue to be excluded from economic progress. Employment and income disparities are some of our community's greatest challenges - at a time when unemployment is at an all-time low, hovering around 3% in Duluth, unemployment rates for African Americans and Native Americans are 23% and 13% respectively. Poverty rates in our community also remain high - a staggering 65% of African American households and 50% of Native American households have incomes below the poverty line.

While just 10% of Duluth's population are people of color, more than one third of those served at CareerForce in Duluth are African American, Native American, or bi-racial. Just under 30% of those served have a disability, and most of the clients served through our programs are low-income and face other barriers to employment. SOAR Career Solutions, our case management partner, specializes in serving individuals with criminal backgrounds, and all of their clients face multiple employment barriers.

The Duluth Workforce Development Board (DWDB) has made addressing employment disparities its top priority, and is working on a number of local and regional initiatives to address equity. Increasing diversity of both board membership and staff is also a key priority. Nine percent of DWDB members list a race other than white, and 4% of board members report having a disability. Among DWD staff, 6% are people of color and 6% have a disability. The DWDB Equity Committee has been working to build

strategic relationships and recruit new members who better represent the communities we serve, with specific interest in attracting and engaging members from the African American and Native American communities. We have also been making changes that will help increase diversity of staff, including revising job descriptions to remove the college degree requirement and making changes to our hiring process to remove opportunities for implicit bias. In addition, all CareerForce staff and board members in the Northeast region are participating in an Intercultural Development Inventory process that includes individual and group work to improve both our workplace culture and the way we deliver services.

Along with our partner organizations, we have been taking a close look at how to better ensure people of color and other underrepresented communities are present at tables where decisions are made and solutions are designed. We have been actively engaging with community organizations who serve and represent people of color, and will continue working to build stronger collaborative relationships through program implementation. Part of this proposal includes resources set aside to strengthen our recruitment of eligible populations and supporting long term employment retention after completing training.

## **Section 2: Proposed Services**

**Pathway Model** The proposed program is based on Model 3, and builds on our existing model offering a comprehensive and accessible training pathway linked to in-demand careers in our community. The program will serve a total of 90 participants across three pathway options: Certified Nursing Assistant (CNA), Health Services, and Commercial Driver's License (CDL). **On-ramp** (35 participants, approx. 40% of total served)

Participants testing at a 6<sup>th</sup> grade level or below, or who test higher but could benefit from this component, will be referred to ABE for reading and math remediation and basic digital literacy instruction, and to CareerForce Duluth and SOAR for pre-employment readiness training. Participants who complete the on-ramp will earn certificates for completing SOAR's CareerQuest and Mind Over Matters workshops, Creative Job Search or other employment readiness workshops at CareerForce, and/or Northstar Digital Literacy certificates through ABE. Participants will then exit to employment or continue on to Bridge training. **Bridge** (70 participants, approx. 80% of those served) Participants who test at or above a 7<sup>th</sup> grade level, or who have completed the on-ramp, will be enrolled in the Bridge. This includes 40 hours of contextualized instruction by ABE as well as instruction by Lake Superior College instructors and will result one of three industry-recognized certifications – Certified Nursing Assistant, Health Services Credential, or Commercial Driver's License. CNA participants will also earn a Basic Life Support certification. Health Services participants could also earn additional Northstar Digital Literacy certificates in Microsoft Office and email skills. Bridge participants who elect to take their classes for college credit will be enrolled in Integrated training. **Integrated** (70 participants, 80% of those served) Technical instruction will be taught by LSC, with in-class support provided by ABE. Students will earn college credit to be applied toward furthering their educations in their chosen career pathway. CDL students will earn 10 credits which can be applied towards the Advanced Truck Driving Certificate (16 credits), or the credits can be used to satisfy elective credits towards any degree. CNA students will earn 4 credits that meet a pre-requisite for LPN and RN programs. Health Services students will earn 4



credits (3 for Medical Office Procedures and 1 for Medical Terminology) which meet requirements for many health career programs.

We continue to choose these career pathways because they meet a critical need among employers, offer many opportunities for continued education and advancement, and are accessible to eligible populations we serve. Healthcare is the region's largest industry, with projected job growth of 10% in the next decade. Nursing Assistants and Health Information Technicians are both among the highest occupations in demand within healthcare. In the construction industry, more than \$1 billion in projects will break ground this year, including major highway and road construction projects. Truck drivers earn a good wage, and represent a top in-demand occupation in our region. There are approximately 300 individuals in the construction industry working in material transportation, and demand will grow as local construction contractors hire more drivers to transport materials to and from project sites. These projects, particularly the MNDoT Twin Ports Interchange project and upcoming City of Duluth road projects, carry women and minority hiring goals that will create opportunities for CDL graduates.

**Program Components** All seven required components are addressed in this model. The program aligns with our two regional sector strategies. Participants may enter at the On-ramp or Bridge, and may successfully exit to employment after completing the On-ramp, Bridge, or Integrated components. Partners will actively collaborate on implementation, and will meet regularly to ensure delivery is successful. Employers will also be actively engaged, attending Bridge and Integrated training to talk about job opportunities and long-term career pathway options and conduct mock interviews. Participants receive contextualized instruction at all levels, and will have the opportunity

to earn certificates, industry-recognized credentials, and college credit. Throughout training, participants will receive comprehensive support from skilled Navigators at SOAR and DWD. In addition to case management and job placement assistance, Navigators will serve as a consistent point of contact for both participants and instructors, intervening to problem solve early and often. Navigators will also make referrals as needed to other resources in the community and through LSC.

**Program Innovations** Using lessons learned from the previous round, we have made several improvements and innovations aimed at improving our effectiveness and the quality of services we provide. For the CNA pathway, we have further developed and strengthened bridge and integrated instruction, resulting in better collaboration between the ABE and LSC instructors in delivering the curriculum. We have also added the opportunity for some CNA graduates to earn their Trained Medication Aide certificate, which opens up additional, higher-paid employment opportunities. For the CDL pathway, we have adapted the program to new federal Department of Transportation rules, to ensure participants are getting the best and most up-to-date training available. This includes use of new simulators at LSC, where participants get additional practice before beginning the on-the-road portion. For Health Services, we have worked with employers to refine the curriculum and ensure it aligns with skills required for specific jobs. We have also added completion of Medical Office Procedures for 3 additional credits, and orientation toward a broader range of healthcare career pathways, including aging services and behavioral health. For all pathways, additional time is built in for regular check-ins between Navigators and instructors, to ensure participants are getting the best attention and support needed to complete training.

**Staffing Plan** DWD and SOAR each have dedicated staff who will be responsible for recruitment, assessment, enrollment, case management, job placement, and all Workforce One data entry. SOAR and DWD will also provide employment readiness training woven throughout the On-ramp, Bridge, and Integrated components. ABE teachers, all of whom have prior experience working with our three career pathways, will provide On-ramp, Bridge, and Integrated instruction. LSC instructors are industry professionals, and will provide credit-bearing technical instruction.

**Outcomes** Of the 90 individuals served through the program, 35 will participate in On-ramp training and 70 will enroll in the Bridge and Integrated components. Of those who begin Integrated training, 80% will graduate. Participants in the CNA pathway will earn 3 units of college credit, and will complete 140 hours of Bridge and Integrated technical instruction before passing the NATO exam. Participants in the Health Services pathway will earn up to 4 college credits, and will complete 224 hours of Bridge and Integrated technical instruction. Participants in the CDL pathway will earn 10 college credits, and will complete more than 260 hours of Bridge and integrated technical instruction. Across all pathways, 90% of those who graduate will be placed in employment, with an average increase in wage of \$5.50.

### **Section 3: Geographical Location**

This project will serve participants living in and around Duluth, and aligns with the two primary industry sectors outlined in our regional plan – construction and healthcare. There are employer-led sector initiatives for both, and each have identified both recruitment and retention as a significant challenge. Region-wide, there are just 0.7 jobseekers per vacancy, and the workforce shortage is putting pressure on all

businesses. According to LMIWise, our region projects 311 annual openings for Nursing Assistants, with a median wage of \$14.89 per hour; 121 annual openings for Medical Secretaries and Medical Records Technicians, with a median wage of \$17.97-\$21.61 per hour; and 500 annual openings for Heavy and Tractor-Trailer Truck Drivers, with a median wage of \$20.46 per hour. DEED data on racial disparities in employment outcomes after college shows that the wage gap between whites and individuals of other races shrinks when individuals complete a degree or certification and enter a high-wage, high-demand career pathway in hospitals or construction. Employers in both sectors have also expressed interest in improving recruitment and retention of people of color, and are open to new ideas in how to hire and support individuals with disabilities or barriers to employment as a way to address their workforce needs.

#### **Section 4: Partnerships and Collaborations**

There are many critical partnerships that will support implementation of this program. SOAR Career Solutions will assist in recruitment, case management, and placement of program participants. SOAR will also be an active partner in overall program coordination. Our local ABE office will manage TABE testing of all program applicants, and provide bridge and integrated instruction. Lake Superior College will provide technical instruction and classroom space for all training classes.

Employers are critical partners in this program. In addition to helping design training curriculum that teaches relevant skills, employers will engage with the class during training in a number of ways. All will visit the class to talk about a typical day on the job, and what it takes to succeed. All will assist with mock interviews to allow participants to practice their skills. Where possible, employers will also host visits to work sites so

participants may see work in action. And all employers are committed to considering graduates for open positions.

### **Section 5: Participant Recruitment, Intake, and Retention Strategy**

There are many lessons learned that have helped inform our approach to recruitment for this program. To start, LSC will ensure training for this round can be scheduled at times when parents are more available to attend, which will help with recruitment. Additionally, we will implement a number of new recruitment strategies:

- Launch of a marketing campaign, including website, marketing materials, and social media;
- Engagement sessions in partnership with community organizations serving people of color and delivered in a culturally relevant format;
- In-person outreach through churches, affordable housing complexes, and community social gatherings;
- Presentations to MFIP employment counselors from all community providers, with detailed information including Labor Market Information, wages, and career pathway opportunities;
- Partnership with YES Duluth, our youth program, to recruit graduating seniors.

Once interested individuals are identified, the client is assessed using a structured interview process based on MFIP employability measures to determine their likelihood to succeed in their chosen goal. This step may illuminate the need for referral to other agencies or resources to help achieve the stability needed to succeed. Reading and Math testing is administered to assess a grade level assessment of those skills, and determine whether the individual should start at the On-ramp or Bridge. At time of enrollment, an individual employment plan is written in cooperation with the client and revisited at least once per year. Participants take part in one-on-one and group employment readiness training, including SOAR's CareerQuest and Mind Over Matters

workshops and CareerForce employment readiness workshops for those enrolled in the On-ramp. Supportive services are available based on assessed need to provide things like transportation assistance and appropriate work clothes and shoes. We will utilize \$100 in supportive services funds per class to purchase refreshments for the graduations of all 6 classes at the conclusion of the bridge and integrated trainings. We have found these graduations to be very important to the students as it's a wonderful opportunity for their families, support systems and trainers to come together to honor their accomplishments. The funds will be used for refreshments for these graduations. During training, Navigators visit the class at least once a week to check in with participants and instructors. After training is completed, Navigators remain in frequent contact to focus on job placement, continued education, and additional support needs. Participants who are eligible and interested in continuing their education may be co-enrolled in WIOA Adult or connected to employer-based initiatives aimed at supporting career advancement.

Previous P2P training classes have been successful. Over the past two years, we have served a total of 68 individuals to date, with more expected in our final Health Services class. Of those enrolled in each, 71% completed Bridge training and 84% completed Integrated training and earned a credential. Additionally, 85% made educational functioning level gains. To date, 21 graduates have been placed in employment.

## Attachment 2: Budget

Please complete budget form in **cumulative manner**. Leveraged funds are not required, however grantees are encouraged to leverage federal, private, or other funds. You are also not required to use all cost categories. Please see "Fiscal – Guidance on Cost Category Definitions" to determine how to categorize expenditures.

**TOTAL COST PER PARTICIPANT \$4,205** (Total award divided by the total number of participants)

Total DEED BUDGET					Leveraged Funds	Total Project Budget
Office Use Only	Cost Category	Quarter 1: Grant Start Date through 12/31/2019	Quarter 2: Grant Start Date through 03/31/2020	Quarter 3: Grant Start Date through 06/30/2020	Total Leveraged Funds <sup>2</sup> (if applicable)	Total Project Funds
833	Administrative Costs <sup>3</sup>	\$2,923	\$6,207	\$17,204	\$11,917	\$29,121
885	Direct Services	\$28,483	\$57,467	\$93,800	\$62,715	\$156,515
838	Direct Customer Training	\$0	\$0	\$68,968	\$0	\$68,968
828	Support Services Costs <sup>4</sup>	\$750	\$4,607	\$9,278	\$4,000	\$13,278
Total:		\$32,156	\$68,281	\$189,250	\$78,632	\$267,882

<sup>2</sup> Leveraged funds are **non-DEED** funds (e.g. cash, in-kind contributions, or other state, federal, or private funds).

<sup>3</sup> Administrative costs cannot exceed 10% of total award and/or expenditures.

<sup>4</sup> Programs that intend to use stipends and/or incentives in their programs **must also submit** a separate document outlining all parameters, policies and procedures around the incentives or stipends.

# TERMS & CONDITIONS

## DEPARTMENT OF EMPLOYMENT & ECONOMIC DEVELOPMENT (DEED) – EMPLOYMENT & TRAINING PROGRAMS (ETP) DIVISION

This exhibit provides the 1) Contacts, 2) Funding Information and Limitations, 3) Items Required During the Grant Period, 4) Printable Notice Links, and 5) Annual Items.

### 1) CONTACTS:

#### DEED Employment and Training Programs (ETP) Division Contacts (Phone & Email)

##### Interim Director

Marc Majors  
(651) 259-7595  
[Marc.Majors@state.mn.us](mailto:Marc.Majors@state.mn.us)

##### Adult Programs Director

Nancy Omondi  
(651) 259-7525  
[Nancy.Omondi@state.mn.us](mailto:Nancy.Omondi@state.mn.us)

##### Supervisor, Adult Career Pathways

Anne Kukowski  
651-259-7530  
[Anne.Kukowski@state.mn.us](mailto:Anne.Kukowski@state.mn.us)

##### Program Coordinator

Vanessa Roman  
(651) 259-7578  
[Vanessa.Roman@state.mn.us](mailto:Vanessa.Roman@state.mn.us)

##### Program Coordinator

Enock Kakuuku  
651-259-7581  
[Enock.Kakuuku@state.mn.us](mailto:Enock.Kakuuku@state.mn.us)

##### Monitor/Fiscal Contacts

Maria Cantu  
(651) 259-7574  
[Maria.Cantu@state.mn.us](mailto:Maria.Cantu@state.mn.us)

##### Program Coordinator

Ann Meyers  
651-259-7174  
[Ann.Meyers@state.mn.us](mailto:Ann.Meyers@state.mn.us)

##### Chris Ortega

(651) 259-7580  
[Chris.Ortega@state.mn.us](mailto:Chris.Ortega@state.mn.us)

##### Finance Contacts

RPR Submittal Address:

JoAnne Beaudry  
(651) 259-7577

##### Email

[DEED.FSR@State.mn.us](mailto:DEED.FSR@State.mn.us)

[Joanne.Beaudry@state.mn.us](mailto:Joanne.Beaudry@state.mn.us)



2) FUNDING INFORMATION AND LIMITATIONS:

**DUNs Number:** Grantee must be registered and current with <https://www.sam.gov/portal/SAM/#1>

**Uniform Guidance §200.331 - Requirements for grantees:**

- (1) A requirement that the grantee permit the state agency and auditors to have access to the grantee's records and financial statements as necessary for the pass-through entity to meet the requirements of this part; and
- (2) Appropriate terms and conditions concerning closeout of the sub-award.

**Cost Category Definitions:** See Planning Instructions

**Administration Limit:** No more than ten percent (10%) may be expended for administration

3) ITEMS REQUIRED DURING THE GRANT PERIOD:

**Monthly Reimbursement Payment Request (RPR) – Template (for completion) –** Due no later than the 20th of the month following the preceding month end (i.e. July, 2019 RPR is due August 20, 2019). Report accrued monthly expenditures.

**Quarterly Report –** Completed quarterly, form available at <https://www.mn.gov/deed/acp>

4) ITEMS BELOW ARE REQUIRED TO BE PRINTED AND POSTED:

**Americans with Disabilities Act – Notice to the Public:**

<https://apps.deed.state.mn.us/assets/policies/doc/nonwfcada.docx>

**Minnesota Employment Law Posters (for Printing):** <http://www.doli.state.mn.us/ls/Posters.asp>

**Federal Employment Law Posters (For Printing):** <http://www.dol.gov/compliance/topics/posters.htm>

5) ANNUAL ITEMS, SENT ON FIRST AWARD OF FISCAL YEAR:

*If you have multiple grants with DEED Employment and Training, these items are only required to be submitted by the organization once per fiscal year, regardless of the number of grants.*

**Fiscal Monitoring Guide -** Complete and return to [WSCD.Notifications@state.mn.us](mailto:WSCD.Notifications@state.mn.us) within 30 days from receipt of grant package

**Annual Assessment -** Complete and return to [WSCD.Notifications@state.mn.us](mailto:WSCD.Notifications@state.mn.us) within 30 days from receipt of grant package

**EO ADA Annual Assessment –** Complete and return to [WSCD.Notifications@state.mn.us](mailto:WSCD.Notifications@state.mn.us) within 30 days from receipt of grant package

Minnesota Department of Employment and Economic Development  
332 Minnesota St. Suite E-200  
St. Paul, MN 55101

September 6, 2019

Elena Foshay

City of Duluth Workforce Development  
402 W. 1st St.  
Duluth, MN 55802

Dear Ms. Foshay,

On behalf of the Department of Employment and Economic Development, we would like to thank you for your interest in the Pathways to Prosperity Competitive Grant. We received nearly \$21 million funding requests and we had only \$10,940,160 available to award in this funding cycle.

It is our pleasure to inform you that your organization's proposal, "Duluth Career Pathways Program", has been selected to receive a grant of \$189,250 for State Fiscal Year 2020 and \$189,250 for State Fiscal year 2021. Ann Meyers, Adult Career Pathways Program Coordinator will contact you to finalize your award. Ms. Meyers can be reached at [Ann.Meyers@state.mn.us](mailto:Ann.Meyers@state.mn.us)

DEED will be hosting a webinar for Pathways to Prosperity Competitive grantees in order to answer any questions organizations may have about contracting with DEED, project implementation and reporting requirements. This meeting/webinar will be held this fall; more details to follow.

Congratulations on your successful proposal. We look forward to working with you to help make Minnesota a state where everyone has an opportunity to succeed.

Regards,



Steve Grove  
DEED Commissioner



Hamse Warfa  
Deputy Commissioner  
Workforce Development

**P2P 2020-2021 Partner Roles and Responsibilities**

	<b>Duluth Workforce Development</b>	<b>SOAR Career Solutions</b>	<b>Lake Superior College</b>	<b>Adult Basic Education</b>
<b>Recruitment</b>	<p>Conduct outreach and recruitment through a variety of channels</p> <p>Conduct eligibility screening and finalize class participant list</p>	<p>Conduct outreach and recruitment through a variety of channels</p> <p>Conduct eligibility screening and finalize class participant list</p>	<p>Share information about training through available communication channels</p> <p>Refer interested individuals to DWD and/or SOAR for eligibility screening</p> <p>Provide clear guidelines for requirements/prerequisites for LSC component of training</p>	<p>Share information about training through available communication channels</p> <p>Refer interested individuals to DWD and/or SOAR for eligibility screening</p>
<b>Enrollment</b>	<p>Enroll participants in grant through Workforce One, ensuring all required paperwork is complete and prior to incurring any expenses</p> <p>Assist students in completing LSC enrollment steps by deadline</p>	<p>Enroll participants in grant through Workforce One, ensuring all required paperwork is complete and prior to incurring any expenses</p> <p>Assist students in completing LSC enrollment steps by deadline</p>	<p>Clearly communicate all enrollment process steps to partners</p> <p>Ensure all students are enrolled at LSC by the start of class</p> <p>Pro-actively communicate with DWD and SOAR case managers about enrollment problems/barriers to ensure they are resolved before class starts</p>	<p>Administer TABE test prior to enrollment</p> <p>Allow class time to complete LSC enrollment steps if needed</p>

<p><b>On-ramp Portion</b></p>	<p>Refer applicants testing below a 6<sup>th</sup> grade level on reading or math, or requiring basic computer literacy skills, to ABE for skill development</p> <p>Provide basic work readiness skill development through CareerForce workshops</p>	<p>Refer applicants testing below a 6<sup>th</sup> grade level on reading or math, or requiring basic computer literacy skills, to ABE for skill development</p> <p>Provide basic work readiness skill development through Mind Over Matters and CareerQuest</p>	<p>No role during on-ramp</p>	<p>Provide math, reading, and digital literacy instruction to on-ramp participants</p>
<p><b>Bridge and Integrated Instruction Portion</b></p>	<p>Regularly check in with students and instructor on progress and support needs</p> <p>Communicate with instructors to help track attendance and follow up with students who are struggling in class</p>	<p>Regularly check in with students and instructor on progress and support needs</p> <p>Communicate with instructors to help track attendance and follow up with students who are struggling in class</p>	<p>Provide ABE instructor with class outline and materials to support pre-training preparation</p> <p>Track student attendance using sign-in sheets</p> <p>Communicate with job counselors to help track attendance and follow up with students who are struggling in class</p> <p>Provide effective and engaging career skills instruction in Health Services, CAN, CDL, carpentry, and machine operating</p> <p>Hire and provide adequate orientation and training on LSC systems and processes to LSC instructors</p> <p>Participate in planning for curriculum and classroom integration between LSC and ABE instructors</p>	<p>Communicate with job counselors to help track attendance and follow up with students who are struggling in class</p> <p>Provide bridge instruction as part of each training cohort</p> <p>Participate in curriculum and lesson planning coordination between LSC and ABE instructors</p> <p>Provide open lab and in class support to students to ensure learning objectives are achieved</p> <p>Assist LSC instructor in differentiating instruction to serve different students' needs</p> <p>Support individual and group work; Provide technology assistance</p> <p>Support students in developing study and test taking skills</p> <p>Assist students in catching up after an absence</p>

<p><b>Job Readiness</b></p>	<p>Provide one-on-one job readiness counseling to participants</p> <p>Assist participants in creating resumes and cover letters and addressing barriers to employment</p>	<p>Provide one-on-one job readiness counseling to participants</p> <p>Assist participants in creating resumes and cover letters and addressing barriers to employment</p>	<p>Ensure training curriculum effectively teaches skills required to succeed on the job</p>	<p>Assist in providing job readiness instruction</p>
<p><b>Job Placement</b></p>	<p>Provide one-on-one job placement support to participants</p> <p>Work with LSC instructors to coordinate employer participation during training classes</p>	<p>Provide one-on-one job placement support to participants</p>	<p>Work with DWD to coordinate employer participation during training classes</p>	<p>n/a</p>
<p><b>Grant Management</b></p>	<p>Provide overall budget oversight</p> <p>Convene and facilitate partner coordination meetings</p>	<p>Fulfill recruitment, enrollment, and placement goals laid out in sub recipient agreement</p> <p>Participate in partner coordination meetings</p> <p>Designate point person to manage all components of program implementation including tracking timelines and deadlines</p> <p>Assist in problem solving to ensure quality of student experience</p>	<p>Actively participate in partner coordination meetings</p> <p>Assist in problem solving to ensure quality of student experience</p> <p>Designate point person to manage all components of program implementation including tracking timelines and deadlines</p>	<p>Actively participate in partner coordination meetings</p> <p>Assist in problem solving to ensure quality of student experience</p> <p>Designate point person to manage all components of program implementation including tracking timelines and deadlines</p>

P2P SFY 2020 and SFY 2021 Budget FINAL

Pathways to Prosperity SFY 2020 and SFY 2021	Total (2-year) Budget	SFY 2020 (grant start date - June 30, 2020)	SFY 2021 (July 1, 2020 - June 30, 2021)
<b>SOAR Career Solutions (SOAR) - Total Budget &gt;</b>	<b>\$64,696.00</b>	<b>\$32,348.00</b>	<b>\$32,348.00</b>
833 - Administration Costs	\$5,722.00	\$2,861.00	\$2,861.00
885 - Direct Services	\$48,300.00	\$24,150.00	\$24,150.00
838 - Direct Customer Training	\$1,248.00	\$624.00	\$624.00
828 - Support Services Costs	\$9,426.00	\$4,713.00	\$4,713.00

<b>833 - Administrative Costs - Totals for All Agencies &gt;</b>			
<b>Administration and general management functions - salaries/fringe for finance, program direction, coordination, management, reporting, monitoring, and audit; maintenance, equipment, postage, office supplies, phone, print, insurance, overhead, rent, utilities, travel/training</b>			
	\$5,722.00	\$2,861.00	\$2,861.00
<b>SOAR Career Solutions</b>	<b>\$5,722.00</b>	<b>\$2,861.00</b>	<b>\$2,861.00</b>

<b>885 - Direct Services - Totals for All Agencies &gt;</b>			
<b>Providing direct services to participants - salary/fringe for case management, career navigation, intake, assessment, orientation, IEP development, employment counseling, career planning, job development, pre-employment services (job search), Post-employment services (job retention); Rent, utilities; Staff travel/training; Short-term prevocational services (ABE) including instructional books and materials.</b>			
<b>SOAR Career Solutions - Total Direct Services &gt;</b>	<b>\$48,300.00</b>	<b>\$24,150.00</b>	<b>\$24,150.00</b>
Staff Salaries/Fringe Benefits - Case Management, Intake, Assessment, Orientation, IEP Development, Counseling, Career Planning, Job Development, Pre-Employment Services (Job Search), Post-Employment Services (job retention), IRT - 5 CAN, 6 Health Services, 4 CDL per year	\$38,216.00	\$19,108.00	\$19,108.00
Outreach and recruitment	\$500.00	\$250.00	\$250.00
Staff Travel, Training	\$1,000.00	\$500.00	\$500.00
• Short-term prevocational services and work readiness skills, including development of learning skills, Adult Basic Education (ABE), communication skills, interviewing skills, punctuality, personal maintenance skills, and professional conduct, to prepare individuals for unsubsidized employment or training - <b>Mind Over Matters and Career Quest</b>	\$7,534.00	\$3,767.00	\$3,767.00
Books and Materials - Instructional and classroom books and materials related to the above Short-term prevocational skills	\$1,050.00	\$525.00	\$525.00
	\$0.00		
	\$0.00		

<b>838 - Direct Customer Training - Totals for All Agencies &gt;</b>			
<b>Participant tuition and required books, tools, uniforms, and fees. Staff salary/fringe in the classroom. Participant wages/fringe for work experience, OJT</b>			
<b>SOAR Career Solutions - Total Direct Customer Training &gt;</b>	<b>\$1,248.00</b>	<b>\$624.00</b>	<b>\$624.00</b>
CAN background studies - \$29.10 each	\$350.00	\$175.00	\$175.00
Health Services background studies - \$29.10 each	\$408.00	\$204.00	\$204.00
Driving report fee - CDL	\$40.00	\$20.00	\$20.00
DMV fee to apply for CDL	\$354.00	\$177.00	\$177.00
DMV permit fee	\$96.00	\$48.00	\$48.00

<b>828 - Support Service Costs - Totals for All Agencies &gt;</b>			
<b>Transportation, housing/rental assistance, health and medical costs, travel assistance, legal aid, personal counseling, interview or work clothing, tools, school supplies (notebooks, pens, etc.), bus passes/gas cards, books and tools not required with training, driver's license fees, reasonable (a portion of) car repair</b>			
<b>SOAR Career Solutions - Total Support Service Costs &gt;</b>	<b>\$9,426.00</b>	<b>\$4,713.00</b>	<b>\$4,713.00</b>
Participant Support - General	\$8,926.00	\$4,463.00	\$4,463.00
Participant work clothes - C N A extra scrubs	\$500.00	\$250.00	\$250.00
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		
	\$0.00		



**ANNUAL**

**Administrative and Fiscal Monitoring  
Guide**

To be completed by Employment and Training Program Providers/Grantees

Return to [WSCD.Notifications@state.mn.us](mailto:WSCD.Notifications@state.mn.us)

State Fiscal Year (SFY) 2020  
Program Year (PY) 2019

Minnesota Department of  
Employment and Economic Development  
Employment and Training Programs Division  
Fiscal/Monitoring Unit

Date of Guide: 06/18/2019

Submitted by:

**Name:**

**Email:**

**Agency:**

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## Alternative Formats

This guide is available in alternative format(s) upon request. To arrange to receive this guide in an alternative format, please contact:

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**Phone Number:** 651-259-7089      **TTY:** 651-296-3900

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## Introduction

This Guide is one of the tools used to determine whether the Minnesota Department of Employment and Economic Development's (DEED) Providers/Grantees (referred to as Grantee, moving forward) have developed and implemented sound administrative, financial and accounting strategies, policies, procedures, and systems to ensure the Grantee (itself as an entity) and any sub-grantees or sub-recipients have the administrative and fiscal capacity, and financial health to carry out the activities of the grant, serve grant participants, manage the grant funds, and segregate the multiple funding sources to ensure optimal use of the grant funds. Monitoring is not only to be carried out by DEED at the Grantee level, but also by the Grantee at the sub-grantee/sub-recipient level.

The Annual Assessments/Local Unified Plan (as applicable), Equal Opportunity (EO) and Americans with Disabilities Act (ADA) Annual Assessment, and Program Monitoring reports, etc. will be reviewed as they relate to the various sections of this Guide.

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## Instructions

Employment and Training Grantees are required to submit an Annual Fiscal Monitoring Guide to the Minnesota Department of Employment and Economic Development (DEED) in order to receive and continue to receive federal, state, and other funding.

Return this populated guide to: [WSCD.Notifications@state.mn.us](mailto:WSCD.Notifications@state.mn.us), with the following attachments:

- [Liability Insurance Policy](#)
- Most recent Audit Report, if not on file with DEED.
- Inventory List of equipment and other purchases made with DEED grant funds.
- Organizational Chart for the agency.
- Chart of Accounts related to DEED's grants.

**All sections of this guide must be completed by the Grantee.**

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## Staff, Comments, Questions

*To be completed by the Grantee.*

### Staff

Grantee Staff Completing this Guide

1. Name:  
Title:  
Email Address:
2. Name:  
Title:  
Email Address:
3. Name:  
Title:  
Email Address:

### Comments from the Provider/Grantee

Enter comments here

## Questions for DEED staff

What questions do you have for DEED staff?

If, at any time, you have any questions, comments, or concerns related to this guide, please contact your Monitor (as indicated in the grant Terms and Conditions), or Chris Ortega at [Chris.Ortega@state.mn.us](mailto:Chris.Ortega@state.mn.us).

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## References

### [2 CFR 200 Uniform Guidance](#)

#### Subpart D:

- Standards for Financial and Program Management (200.302 to 200.303)
- Payment (200.305)
- Procurement Standards (200.318 to 200.321)
- Performance & Financial Monitoring and Reporting (200.327 to 200.328)
- [Uniform Guidance 2 CFR 200](#) (200.33)

#### Subpart F:

- Management Decision Letters (200.66)
- Sanctions (200.505)
- Audit Findings Follow-up (200.511)
- Audit Reporting (200.515)
- Criteria for a low-risk auditee (200.520)

### [Single Audit Act of 1996](#)

### [Minnesota Office of Grants Management Policies and Statutes](#)

- Policy 08-01: Grants Conflict of Interest
- Policy 08-03: Publicizing Grants Notices and Requests for Proposal (rev. 2012)
- Policy 08-06: Financial Review of Nongovernmental Organizations (rev.12-2016)
- Policy 08-08: Grant Payments (rev. 10-2013)
- Policy 08-10) Grant Monitoring (rev. 12-2016)

### [Conflict of Interest Minnesota Statute 10A.07](#)

### [Minnesota Data Privacy Practices](#)

### [Salary and Bonus Limitations \(if applicable\)](#)

### [WIOA Part 683-Administrative Provisions Under Title 1 of the Workforce Innovation and Opportunity Act](#)

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## Internal Controls

Per Uniform Guidance, below is a list of required written policies and procedures. Please check if you have a policy on and when it was last updated:

- Payments -(2 CFR 200.302(b)(6) and 2 CFR 200.305, Dated:
- Allowable Costs- 2 CFR 200.302(b)(7), Dated:
- Procurement- 2 CFR 200.318, Dated:
- Competition- 2 CFR 200.319, Dated:
- Method of Evaluation and Selection- 2 CFR 200.320, Dated:
- Compensation-Personal Services-2 CFR 200.430, Dated:
- Compensation-Fringe Benefits-2 CFR 431, Dated:
- Employee Relocation Costs- 2 CFR 200.464, Dated:

Travel Costs- 2 CFR 200.474, Dated:

1. Does the Grantee have the following internal controls in place to provide reasonable assurance that grant operations will achieve the following objectives?

Effectiveness and efficiency of operations?  Yes  No

Reliability of reporting for internal and external use?  Yes  No

Compliance with applicable laws and regulations?  Yes  No

2. Do the policies and procedures above reflect proper segregation of duties?

Yes  No

3. Are duties for the following tasks segregated?

Recording  Yes  No

Custodian  Yes  No

Authorizing  Yes  No

Reconciliation  Yes  No

If not, do you have compensating controls in place to mitigate the internal control risk?

Yes  No

**Note:** A compensating control is an alternative control that if the primary control fails, there are other controls in place to mitigate any risk.

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## Accounting Systems

1. Is a chart of accounts or accounting structure maintained?

Yes  No

2. Are funds adequately segregated for grant fund reporting?

Yes  No

3. Is accrual accounting system used?

Yes  No

If not, do you report on an accrual basis?  Yes  No

**Definition of accrual:** method under which revenues are recognized in the period they become available and measurable, and expenditures are recognized in the period the liability is incurred. Most government accounting follows this method.

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## Petty Cash System

1. Is a petty cash system maintained?  Yes  No

If yes, are the replenishments appropriately allocated to DEED's funds?  Yes  No

2. How much money is kept in petty cash?

3. How is petty cash safeguarded?

4. How often is petty cash reconciled or replenished?

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## Cash Receipt and Disbursement System

1. Is there an adequate segregation of duties between cash receipts and disbursements?

Yes  No

2. Is there adequate documentation to support all expenses reported on the general ledger?

Yes  No

3. Are there policies and procedures in place to identify and recapture improper payments?  
 Yes    No
  - a. If not, what process is in place to identify and recapture improper payments?
4. Are vendor invoices compared and reconciled to purchase orders?  
 Yes    No
5. Are invoices authorized for payment?  Yes    No
6. Are vendor account balances reviewed?  Yes    No
7. Are your bank account(s) covered by FDIC or FSLIC?  
 Yes    No
  - a. If yes, for what amount?
8. Does the amount kept in any account exceed the FDIC or FSLIC coverage?  
 Yes    No
  - a. If yes, how are the funds in excess insured from loss?
9. Are receipts deposited immediately?  Yes    No

## Reporting

1. Which monthly fiscal request is submitted to DEED?  
 Financial Status Report (FSR)/Cash Advance Payment Request (CAPR)  
 Reimbursement Payment Request (RPR)
2. Are there policies and procedures in place to ensure accurate financial reporting?  
 Yes    No
3. Are there policies and procedures in place to ensure that the reporting system is safeguarded, and security is limited to the appropriate staff?  Yes    No

## Program Income

1. Do you have policies and procedures for program income requirements?  Yes    No
2. Do you have a system in place to record and expend program income?  Yes    No
3. Do you expend program income before expending grant funds?  Yes    No

## Cost Classification/Principals

Cost Principals-There is written evidence that costs being allocated to the grant are allowable, being treated consistently over time and within the accounting system, are necessary, reasonable and allocated to the grant based on benefit received.

1. Have written and uniform cost classifications for each cost category been developed?  
 Yes    No
  - a. If yes, do you verify that these classifications are properly adhered to by Subgrantee(s)/Subrecipient(s), if applicable?  
 Yes    No
2. Do you have written policies and procedures for distributing costs, staff time and administrative costs among funding streams, programs, etc?  Yes    No
3. How do you allocate shared costs? Cost Allocation Plan  Approved Indirect Rate
4. How do you allocate staff's time among the various grant programs they work on?
5. Is there written evidence, such as timesheets, used to allocate personnel time and costs?  
 Yes    No

6. How do you ensure that the grant is not charged unallowable costs based on the Cost Principles and the provisions of the grant agreement?
7. Are you aware that DEED's grant funds cannot pay the cost of other programs?  Yes  No
- 

### On-The-Job Training (OJT)

1. Do you utilize OJT's?  
 Yes  No
- If yes:
- a. Do you have an OJT monitoring process?  Yes  No
  - b. Does monitoring include identifying the participant's progress and/or skill attainment during the training period?  
 Yes  No
  - c. Are you aware of the new WIOA regulations when determining the amount of OJT reimbursement to the employer? ([WIOA 680.730](#))  
 Yes  No
  - d. Do you have a contract with the required assurances?  Yes  No
- 

### Audit

1. Does DEED have a copy of your most recent audit report?  
 Yes  No
2. Do you receive DEED's Management Decision Letters?  
 Yes  No
3. Has the audit report identified your agency as high risk?  
 Yes  No
4. Do you review your sub-grantee's (sub-recipient's) audit reports?  
 Yes  No
- 

### Equipment Purchases/Inventory

Equipment is defined by the federal government in [Uniform Guidance 2 CFR 200](#) (200.33) as ".....*tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000*". Purchasing equipment with DEED funds cannot occur within the second year of the grant period (if applicable). Grantee must submit a property/equipment inventory list of items purchased with DEED funds annually.

1. Do you have minimum insurance coverage for real property and equipment acquired with grant funds?  
 Yes  No
2. In the past year, has property and/or equipment (over \$5,000) been purchased with DEED program funds?  
 Yes  No
- a. If yes: list items, date of purchase, and costs:
  - b. Was prior approval received from DEED?  Yes  No
  - c. Are you aware that purchasing equipment in the second year of the grant is prohibited?  Yes  No
3. Do you conduct an inventory of equipment and is it reconciled at least once every two years?  
 Yes  No
4. Do you have a process/policy in place to identify electronic devices and/or equipment that has been lost, damaged, stolen, or disposed of?  
 Yes  No
-

5. Is inventory conducted on assets such as bus tokens, credit cards, etc?  Yes  No  
a. If yes, how often is this conducted and by whom?
6. How are these items safeguarded to prevent unauthorized use?
7. How are these items tracked to ensure proper usage?  
Can you attest or confirm that you have made efforts where required or applicable to Buy American products or goods?  Yes  No

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## Liability Insurance

Attach to this submission a copy of your liability insurance policy and answer the following questions.

1. Does your liability insurance include employee dishonesty?  
 Yes  No
2. Does the coverage include participant work-related and/or training activities?  
 Yes  No
3. Has this coverage requirement been included in your Subgrantee/subrecipient agreements?  
 Yes  No

Note: This is in addition to paid employment activities (work experience, On-the-Job Training (OJT)) covered by workers compensation.

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## Procurement Systems

1. Do you conduct procurement activities in a manner that promotes full and open competition?  Yes  No
2. Have you correctly identified each third-party as a subrecipient or a contractor?  Yes  No
3. Do you understand the two roles in accordance with the Uniform Guidance?  Yes  No
4. If applicable, do you conduct a risk assessment of your sub-grantees?  Yes  No

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## Request for Proposals (RFP)

1. Do you contract for services or goods?  
 Yes  No

If yes: please answer the following questions.

- a. For which programs?
- b. Do you require the same contract provisions of a sub-grantee (sub-recipient) that is similar to DEED's Master contract (PSP) or Stand alone contract?  Yes  No
- c. Do you have a policy or procedure in place to conduct fiscal and program monitoring of sub-grantees (sub-recipients)?  
 Yes  No  
Do you conduct financial reconciliations on all subcontract agreements over \$50,000?  
 Yes  No
- d. How often is a solicitation or RFP conducted?
- e. When was the last time an RFP was conducted for program services?
- f. Is the review criteria similar to the elements in [Office of Grants Management Policy 08-02](#)?  
 Yes  No
- g. Do you maintain a written code of conduct covering conflicts of interest and governing the actions of your employees or Board members engaged in the selection, award, and administration of contract?  Yes  No
- h. How often is an RFP conducted for audit services?
- i. When was the last time an RFP was conducted for audit services?
- j. Do you have noncompetitive (sole source) procedures?  Yes  No

- k. How do you administer contracts and confirm terms and conditions of the contract are being met?
  - l. Do you have a process for the closeout of contracts?  Yes  No
  - m. Does the contract closeout policies and procedures address the following:
    - a. Final Payment?  Yes  No
    - b. Final deliverable of good and/or services?  Yes  No
- 

## Personnel

- 1. Is there a current written personnel policy?  Yes  No
  - a. If yes, does the policy include the hiring procedures to fill staff vacancies supported by grant funds?  
 Yes  No
- 2. Are there current vacancies showing on the organizational chart?  Yes  No
  - a. If yes, Do/does the vacancy(ies) affect the implementation of any DEED-funded grants?  
 Yes  No
- 3. Are appropriate grant staff properly insured and bonded?  Yes  No
  - a. If yes, who is bonded?
  - b. If no, do you conduct background or qualification checks?  Yes  No
- 4. Has the grant recipient confirmed and disclosed in a timely manner, in writing, to DEED all violations of criminal law involving fraud, bribery, or gratuity violations potentially affecting the grant award?  Yes  No
- 5. Are salary and bonuses reasonable and comparable to the local labor market and within the Executive Level II salary cap? (TEGL 5-06)  Yes  No
- 6. Are bonuses, raises, and leave practices, covered in the written personnel policies?  Yes  No
- 7. Is there sufficient documentation to support the salaries and fringe benefits charged to DEED grants?  
 Yes  No
- 8. Is payroll certified by management?  Yes  No
- 9. Are leave requests used and signed by employees/participants/supervisors?  
 Yes  No
- 10. Are employees/participants paid only by check or direct deposit?  
 Yes  No
- 11. Do you retain payroll withholding forms for employees and participants?  
 Yes  No
- 12. Do employees directly time charge to grants based on activities conducted for each grant?  
 Yes  No
- 13. Is there a procedure for cross-training or rotation of duties for accounting personnel?  
 Yes  No

Exhibit F  
**Adult Career Pathways**  
**State Fiscal Year (SFY) 2020 - 2021**  
**Grantee Obligations Acknowledgement form**

Please read, check all items for confirmation that you agree, sign, and return this form with your work plan. If you have questions please contact your program coordinator.

**I understand:**

**Eligibility/Enrollment Elements**

and have read the "Documentation Needed to Support Participant Eligibility". I understand that there are participant eligibility requirements and that we must obtain and retain backup documentation to support a participant's eligibility.

**Workforce One (WF1)**

- that my organization is required to enter all eligible participants into the Workforce One (WF1) database.
- that all enrollment/eligibility backup documentation must be collected *before* enrolling a participant into WF1.
- that the participant's enrollment date must be on or after the date all supporting documentation is received.
- that all data must be entered into WF1 within fifteen (15) business days of event date.
- that we are required to input all activities, support services, credentials, and employment data into WF1.
- that monthly contact/engagement is required for all enrolled participants and the contact must be documented in WF1.

**Payment Requests (RPR/FSR) - due monthly, by the 20<sup>th</sup> of the following month**

- We are responsible for tracking ACTUAL incurred grant costs.
- We are responsible for retaining documentation of these costs and will submit to DEED staff upon request.
- that RPR payments are made on a reimbursement basis and will not be made unless all required reports have been submitted.
- that we cannot bill DEED for a participant until he/she/they are entered into WF1; back billing is not permitted.
- all expenses billed must be within the scope and detail of the approved work plan.
- all expenses associated with participants lacking enrollment/eligibility backup documentation will be disallowed.

**Quarterly Reports -due April 30, July 30, October 30, and January 30.**

that my organization is require to submit a quarterly narrative that describes the progress of the award. (Due the 30th of the month following the end of the quarter.)

**Modifications to the Grant**

- that my organization must promptly notify DEED of any proposed change to the scope of the project, project activities, budget, work plan, grant expenditures or completion date and that any changes must be approved by DEED.
- that proposed changes are subject to approval by DEED and are not effective until all parties have signed a modification/amendment agreement.
- the project end date, is as stated in the Grant Agreement, any requests to extend the contract are subject to approval by DEED and must be submitted, in writing, at least 30 days prior to the end of the contract.

**Wage Data**

I am required to report placement and wage data for all individuals who receive training through the grant project, including incumbent worker trainees.

City of Duluth P2P Grant

Print the Name of your Organization and Grant program (WESA, P2P, SEA, SS)

\_\_\_\_\_  
Print Your Name and Title

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date