|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Task 1**: PartnershipCreate systemic change by partnering with leaders in the regional community to address four key components necessary to move more families up out of poverty and measurably reduce total poverty in the target community. | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.**  | 1. Work with partners and implement plans as outlined in the EcSA application (Exhibit A-2) to address four key pillars of support, Transportation, Healthcare, Childcare and Employment, to help participants and their household move to earnings above 200% of Federal Poverty Level (FPL);
2. Conduct service provider meetings weekly and monthly partner meetings with Adult WIOA sub-recipients, DSHS, People for People, Lourdes, ChildCare Aware, and Columbia Basin College (CBC) to ensure the four key pillars coordinate seamlessly;
3. Review the Quarterly Outcomes tab of the Budget & Performance form (Exhibit A-1) together with all partners outline in the EcSA application every quarter, comparing your projected results to your actual results on each item; work together to adapt and problem-solve to ensure success;
4. Work with partners to utilize leveraged resources identified in Exhibit A-1 and EcSA Application section 3.c. as outlined in the EcSA Application.
 | 1. Progress and activities must be provided to ESD in Quarterly Narrative Reports as outlined in section 2 below;
2. Include leveraged resources in ETA 9130 Quarterly Financial Reports and maintain records of all leveraged resources expended for EcSA activities.
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion** |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Task 2**: Coordinated outreach and intakeOutreach to impoverished individuals, focusing on single mothers and the under-employed ALICE population (Asset Limited, Income Constrained Employed). | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Work with partners as outlined in EcSA Application sections 3.a., 3.b., and 4.a., and coordinate outreach and intake efforts in both English and Spanish;
2. Utilize Customized-Case-Management, Eco-mapping, and the United Way Self-Sufficiency Matrix as outlined in EcSA Application section 4.a. to prioritize participants’ services and support needs.
 | 1. Number of SNAP enrolled, WIOA eligible individuals enrolled in EcSA (138);
2. Actual results meet or exceed projected results each quarter. This includes the first quarter-slow start-ups are note expected.
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion****\*Monitoring Unit annually:*** **Element 4(1) of EcSA file checklist, “Comprehensive & Specialized Assessment”:**

[ ]  **YES, No Issues Identified**[ ]  **NO, one or more issues identified** |  |
| **Task 3**: Career Plans and workforce development opportunities that lead to earnings above 200% of FPL | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Develop career plans for each EcSA participant as outlined in EcSA Application section 4.b;
2. Based on career plans, connect EcSA participants to workforce training, career opportunities, and related supportive services as outlined in EcSA Application sections 3.a, 4.a, and 4.b;
3. Work with employers as outlined in EcSA Application section 4.a to implement an upskill/backfill strategy;
4. Utilize OJT opportunities and work to establish apprenticeships for participants interested in opening an in-home childcare facilities.
 | 1. Participant Career Plans;
2. Participants placed in Apprenticeship;
3. Participants placed in OJT;
4. Households moved above 200% FPL (115).
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion****\*Monitoring Unit annually:*** **Element 4(2) of EcSA file checklist, “Career Plans”:**

[ ]  **YES, No Issues Identified**[ ]  **NO, one or more issues identified** |  |
| **Task 4:** MentorsWork With partners to provide community mentors so that the participants feel strong support from their peers and community.  | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Submit a Mentorship Activities Plan as described in section 2 below;
2. Connect participants to community mentors through job shadows, informational interviews, business led workshops, through partnership with United Way, and other means, as outlined in EcSA Application sections 4.a, 4.c. and 4.d.;
3. Provide targeted one to one mentoring, by employers, coworkers, community members or partner staff, based on assessed support needs. Will be documented in participant case notes.
 | 1. Mentorship Activities Plan
2. Participants connected to One on One Mentorship
3. Mentorship Opportunities attended
4. Progress and activities must be provided to ESD in Quarterly Narrative Reports as outlined in section 2 below, including: descriptions of events held, attendance records, and description of specific mentors engaged
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion****\*Monitoring Unit annually:*** **Element 4(3) of EcSA file checklist, “Mentorships”:**

[ ]  **YES, No Issues Identified**[ ]  **NO, one or more issues identified** |  |
| **Task 5:** Personal StabilityWork with partners to help EcSA participants establish personal stability as a foundation for success.  | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Address participants’ personal stability as outlined in EcSA Application sections 3.a, 4.a, and 4.d;
2. Deliver six module Strategies for Success pre-employment workshops, connecting participants based on their plan.
 | 1. Participants moved from score of 3 or below to 4 or above on Self Sufficiency Matrix (115);
2. Strategies for Success Workshop Participants (Unique, Unduplicated);
3. Strategies for Success Workshop Total Modules Attended (Duplicated);
4. Number of EcSA participants completing Strategies for Success.
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion****\*Monitoring Unit annually:*** **Element 4(4) of EcSA file checklist, “Personal Stability”:**

[ ]  **YES, No Issues Identified**[ ]  **NO, one or more issues identified** |  |
| **Task 6:** Financial StabilityWork with partners to help EcSA participants establish initial financial stability as a foundation for success.  | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Address participants’ financial stability as outlined in EcSA Application sections 3.a. and 4.e., focusing on financial education and housing support;
2. Partner with regional financial institutions to offer workshops to increase financial literacy;
3. Utilize Washington Connection and other resources, to ensure that every participant makes informed choices about the full range of benefits for which they may be eligible.
 | 1. Financial Workshops offered;
2. Participants attain established wage goal (115);
3. Participants attend Financial Literacy and Budget Training (138);
4. Number of participants that use Washington Connection to apply for and successfully receive additional benefits that they weren’t already receiving.
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion****\*Monitoring Unit annually:*** **Element 4(5) of EcSA file checklist, “Financial Stability”:**

[ ]  **YES, No Issues Identified**[ ]  **NO, one or more issues identified** |  |
| **Task 7:** EcSA community of practice and initiative evaluationPromote EcSA success and contribute to statewide learning from the EcSA initiative.  | **Ongoing throughout the contract period of performance, with meaningful progress reported each quarter.** | 1. Contribute to the statewide Economic Security for All efforts to decrease the number of WA families living below 200% of Federal Poverty Level (FPL);
2. Participate in remote and in-person quarterly meetings to share and discuss successes, challenges, and lessons learned with other EcSA programs;
3. Host events to raise awareness of EcSA efforts in the local community to build support for expansion and replication of EcSA successes; participate in statewide efforts to support EcSA expansion and replication.
4. Actively partner with the third-party evaluator selected to evaluate EcSA programs to ensure accurate evaluation of your EcSA model.
 | 1. Progress and activities must be provided to ESD in Quarterly Narrative Reports as outlined in section 2 below.
 | **\*Grants Management quarterly:*** LWDB is on track/met deliverables for this element:

[ ]  **YES, No Issues Identified**[ ]  **No, LWDB did not meet**  **deliverables on one or more**  **occasion** |  |
| **ADMINISTRATIVE & FISCAL REVIEW** |
| **CASH AND FINANCIAL MANAGEMENT/A19 REIMBURSEMENTS***Reimbursements must be supported by records that identify the federally funded expenditures and be supported by source documentation to determine allowability based on the scope of work outlined in the Rapid Response contract from ESD.*  | **Annual Monitoring Review**  | * 2 CFR Sec. 200.302 – 200.309
* Test of cost allowability for federal grants
* Allowability – Factors affecting allowability of costs (2 CFR 200.403)
* Reasonable Costs (2 CFR 200.404)
* Allocable Costs (2 CFR 200.405)
 | [ ]  What is the LWDBs process, including the  names/positions of key staff, for ensuring  that reimbursement claims are prepared  timely and reconciled.[ ]  Obtain a copy of LWDBs chart of account with subprograms[ ]  Obtain a copy of Expenditure Summary Reports by program that is used to reconcile to reimbursement claims as well as the detailed expenditure report[ ]  Are there any variances between the  reimbursement claims and expenditure  summary report, if any[ ]  Is this program generating program income? If so, how is it program income generated  and how is it being reported on the quarterly reports to ESD? | **\*Monitoring annually:**[ ]  No Issues Identified[ ]  Noted Practice [ ]  Item(s) to address[ ]  Questioned Costs[ ]  Disallowed Costs[ ]  Pending/Additional Evidence  Needed[ ]  Deficiency of Internal Controls [ ]  Findings[ ]  N/A |  |
| **Administrative Controls/****Monitoring**The non-Federal entity must monitor its activities under Federal awards to assure compliance with applicable Federal requirements and performance expectations are being achieved. Monitoring by the non-Federal entity must cover each program, function or activity. See also § 200.331 requirements for pass-through *entities.* | **Annual Monitoring Review** | * 20 CFR 200.331 Requirements for pass through entities
* ESD Policy 5250
* ESD Policy 5255
 | * Verify that every subrecipient is monitored as required by Subpart F – Audit Requirements
* Verify that monitoring reports have been developed that meet federal requirements and have been shared with subrecipients.
* Does the monitoring report include:

[ ]  Follow up on issues found out of compliance[ ]  Required corrective action plan if necessary* Does the LWDB have a copy of monitoring tool for RRIE
 | **\*Monitoring annually:**[ ]  No Issues Identified[ ]  Noted Practice [ ]  Item(s) to address[ ]  Questioned Costs[ ]  Disallowed Costs[ ]  Pending/Additional Evidence  Needed[ ]  Deficiency of Internal Controls [ ]  Findings[ ]  N/A |  |
| **Procuremetns & contracts***Federal purchases that require a competitive process must comply with the more restrictive of federal / state requirements and LWDB policy.* *2 CFR Sec. 200.67, 2 CFR Sec. 200.317-326***2 CFR 200.318** - Non-Federal entities must maintain records sufficient to detail the history of procurementRecords include, but not limited to the following:* Rationale for the method of procurement;
* Selection of contract type;
* Contractor selection or rejection; and
* The basis for the contract price.

**2 CFR 200.319 -** All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. Some of the situations considered to be restrictive of competition include but are not limited to:(1) Placing unreasonable requirements on firms in order for them to qualify to do business;(2) Requiring unnecessary experience and excessive bonding;(3) Noncompetitive pricing practices between firms or between affiliated companies;(4) Noncompetitive contracts to consultants that are on retainer contracts;(5) Organizational conflicts of interest;(6) Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement; and(7) Any arbitrary action in the procurement process*LWDBs need to look at suspension and debarment on every procurement. The LWDBs policy must be in compliance with suspension and debarment as outlined in 2 CFR 200.213.* | **Annual Monitoring Review** | * 2 CFR 200.213-Suspension and Debarment
* 2 CFR 200.92-Subaward
* 2 CFR 200.318
* 2 CFR 200.319

2 CFR 200.323-Contract Cost and Price Analysis | * Did the LWDB follow its procedures for proposal evaluation and procurement procedure as specified in its written procurement procedures?

 [ ]  Yes [ ]  No* The LWDB has adequate and appropriate records maintained throughout the procurement process and provides sufficient information to enable an audit or independent review
* Appropriate procedures are in place to ensure that contractors submitting the RFP/RFQ/etc., are dealt with fairly and equitably during the quotation process
* Documentation showing that the specification does not restrict competition, reflect bias to any brand, or act as a barrier to the consideration of any alternatives.
* The solicitation process and notices must include specific closing time, date and place of delivery.
* LWDB maintains records that detail the history of procurement. At a minimum includes the following:
 | **\*Monitoring annually:**[ ]  No Issues Identified[ ]  Noted Practice [ ]  Item(s) to address[ ]  Questioned Costs[ ]  Disallowed Costs[ ]  Pending/Additional Evidence  Needed[ ]  Deficiency of Internal Controls [ ]  Findings[ ]  N/A |  |
| **personnel activity report and cost allocation***Personnel salaries and related costs are supported by adequate time and effort records for employees who work on multiple cost objectives. The design of the Personnel Activity Report must support the organization’s cost allocation plan.*Uniform Guidance 2 CFR 200.430 (i)(1) Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. A Personnel Activity Report (PAR), or equivalent, time sheets, must be completed by the employee. The PAR must:* Be submitted at least monthly, date and signed by employee and supervisor, electronic signatures are accepted, based on non-Federal agency policy
* Include Employee’s Identification
* Coincide with one or more regular pay period

Display the entire time period and breakdown, not just the hours charged to the grant activity, that reasonably reflect the total activity for which the employee is compensated by the non-Federal entity. | **Annual Monitoring Review** | * ESD Policy 5413
* 20 CFR 200.430 Compensation—personal services
* 20 CFR 200.430 (c) (g) *Nonprofit organizations*

20 CFR 200.430 (C) The non-Federal entity's system of internal controls includes processes to review after-the-fact interim charges made to a Federal awards based on budget estimates. All necessary adjustment must be made such that the final amount charged to the Federal award is accurate, allowable, and properly allocated. | Look at individuals paid out of multiple cost objectives to see how their costs are allocatedLook at the LWDB’s process to ensure payroll charged to federal programs is supported by proper time and effort documentation. Include names/positions of key staff and how the LWDB: * Budgets payroll for employees. Randomly select timesheets and payroll (Onsite)
* Determines required time and effort for each employee.
* Ensures time and effort is received timely from employees.
* Review selected job descriptions (Onsite)
* Reviews actual versus budgeted payroll charges to make adjustments as needed
* Reviews staff reassignments to determine any necessary time and effort changes.
* Review current organizational chart
 | **\*Monitoring annually:**[ ]  No Issues Identified[ ]  Noted Practice [ ]  Item(s) to address[ ]  Questioned Costs[ ]  Disallowed Costs[ ]  Pending/Additional Evidence  Needed[ ]  Deficiency of Internal Controls [ ]  Findings[ ]  N/A |  |