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|  | **RFP-****21-1076 – Compliance Evaluation and Strategic Plan Development: Workforce Development Monitoring – Attachment F – Technical Proposal** | |
| **Respondent:** | | PCG-Indiana |

**Instructions:** Respondent shall provide a written response to each of the questions listed below in the yellow text box. When stated, responses shall include all minimum response requirements and clearly indicate the applicable sub-bullet (e.g., a., b., c.) for all provided descriptions.

* + 1. **Applicant Qualifications and Demonstrated Effectiveness**

1. Please describe in detail the proposer’s experience in providing compliance monitoring strategic planning or related services as outlined in the scope of work. Include information to demonstrate your organization’s capability to carry out the services proposed. Include the nature of the services provided, scope of activities, timeframe, and the organization for which the service was provided.

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| PCG has experience providing both program and fiscal subrecipient monitoring for workforce and human services agencies nationwide. PCG has provided workforce programmatic monitoring services for the last 20 years in five workforce regions in Florida, four workforce regions in Texas, and in partnership with workforce systems in Wisconsin, Nebraska, Tennessee and Arkansas.  PCG has analyzed compliance policies and procedures to support grants management and compliance for state agencies in Massachusetts, Missouri, and Rhode Island. PCG’s focus has been to help our clients improve their compliance to federal and state regulatory requirements, fulfill their contractual obligations, and improve performance to common employment measures such as entered employment and retention rates.  PCG has also supported Workforce Development Boards, nonprofits, and state agencies in the development of strategic plans, updated policies, and procedure manuals.  PCG’s experience providing the services outlined in this scope of work is described below. The projects are organized into the following sections: **1) Compliance and Monitoring Experience** and **2) Strategic Planning Experience**. The projects highlight expertise in:   * Workforce Programs * Fiscal and Program Monitoring * Compliance and Performance Monitoring * Policy & Procedure Development * Grant Compliance, Grant Writing, and Grant Coordination * Financial Management, Budgeting, Invoicing, & Subrecipient Monitoring * Business Process Design * Strategic Planning and Implementation   **Compliance and Monitoring Experience:**  **Organization: Workforce Solutions Capital Area, Austin, Texas**  **Project: Workforce Program Monitoring**  **Expertise: Workforce Program Monitoring and Compliance**  **Timeframe: 2018 – Present**  **Scope of Activities:** PCG is delivering comprehensive workforce program monitoring services of Workforce Solutions (WFS) Capital Area contractors that satisfies WFS contractual obligations under the Texas Workforce Commission (TWC) and the U.S. Department of Labor.  PCG is providing programmatic monitoring services and review of a random stratified sampling of a selected number of cases from each of the following programs:   * Workforce Innovation and Opportunity Act (WIOA) Adults, Dislocated Workers and Youth (in-school and out-of-school as applicable); * Non-Custodial Parent; * Trade Adjustment Act; * Choices (TANF); * Supplemental Nutrition Assistance Plan Employment and Training (SNAP E&T); and * Child Care Services   **Monitoring services** include review for:   * Compliance evaluation * Participant eligibility and verification * Participant assessment and referral * Case management, career services, and supportive services   Over multiple program years, the PCG team has achieved the following:   * Conducted risk assessment and developed monitoring plan with timeline * Led entrance and exit conferences with contractors * Conducted desk review using TWIST system and on-site review of files for each program * Created monitoring reports and correction tools for the Board staff and contractors that identified findings, systemic issues, and/or observations for each service reviewed * Developed follow-up plans to ensure implementation of corrective action plans based on monitoring reviews * Developed recommendations for resolving compliance issues * Provided follow-up monitoring reports, as necessary   **Organization: South Dakota, Department of Public Safety**  **Project: Victims’ Services Monitoring**  **Expertise: Financial and Programmatic Monitoring**  **Timeframe: November 2017 – October 2018**  **Scope of Activities:** PCG assisted the South Dakota Department of Public Safety with **revising their Victims’ Services Financial and Programmatic Monitoring Tools** for victims’ services subrecipient monitoring efforts. In addition, PCG assisted DPS in completing 25 on-site and desk reviews of victims’ service providers receiving federal victim services grant funding from DSS, such as VOCA, STOP, FVPSA and DASA grants. PCG completed the following activities:   * Contacted DSS grantees receiving an on-site review 45 days in advance of the review and scheduled a review date * Coordinated and e-mailed subrecipient pre-monitoring documents * Reviewed subrecipient policies and procedures for compliance * Performed on-site and desk monitoring reviews to perform financial monitoring and testing. * Reviewed all program financial data, and developed a subrecipient monitoring report and corrective action plan to address provider deficiencies   PCG also provided DPS monthly reports that included a summary of findings, compliance issues, and recommendations for improvement. For those service providers who received recommendations for corrective actions, PCG helped monitor the corrective action plans and provided technical assistance as needed.  **Organization: Florida Concrete Masonry Education Council, Inc.**  **Project: Operations Services**  **Expertise: Compliance and Performance Monitoring, Policy & Procedure Development**  **Timeframe: October 2015 – Present**  **Scope of Activities:** The Florida Masonry Education Council was established by Florida law as a Direct Support Organization of the Florida Department of Economic Opportunity. Working closely with the Council’s Board of Directors and Executive Director, PCG provides the Council with a comprehensive suite of operational, administrative & financial services, board governance, policy and procedure development, developing and managing competitive procurements, contract negotiation, grant writing, **compliance**, and performance monitoring.   * Provides training program support and evaluation over Florida Masonry Apprentice Educational Foundation (MAEF). Currently MAEF is a sponsor of 6,000 pre- and Registered Apprenticeships and 140 schools and independent organizations throughout the state, including in many of our correctional institutions. MAEF is the Florida manager for ten apprenticeship programs where 150 apprentices currently work. * Worked with the Florida Department of Corrections on expanding its in-facility masonry training programs. Inmates receive the same curriculum and hands-on experience as pre-apprentices. This program has been cited as a leading practice and was highlighted at the World of Concrete’s National meeting during the Masonry Contractors Association of America’s Executive Board meeting. * Wrote, submitted, and was awarded competitive grants to underwrite the development of an online masonry education curriculum by the National Center for Construction Education and Research (NCCER). * Helped the Council grow its annual operating revenue to over $2,300,000 through voluntary industry provided contributions.   **Organization: Missouri Department of Social Services**  **Project:****Victims of Crime Act (VOCA) Compliance Process Analysis**  **Expertise:Grant Compliance, Subrecipient Monitoring**  **Timeframe: November 2018 – October 2019**  **Scope of Activities:** PCG contracted with the Missouri DSS to analyze DSS’ VOCA subrecipient compliance efforts. This project consisted of the following three stages:   * **Stage 1 – VOCA Compliance Analysis**: PCG identified all VOCA federal program guidelines, analyzed the current VOCA Unit compliance efforts, including what the VOCA Unit requires from Missouri VOCA subrecipients, and created a report detailing whether the VOCA Unit compliance efforts were insufficient, appropriate, unnecessary, or excessive. * **Stage 2 – Missouri Compliance Manual Update:** PCG updated the DSS VOCA Unit Compliance Manual, based on federal guidelines and regulations, to streamline VOCA Unit staff activities, and trained DSS staff on VOCA requirements and compliance efforts. * **Stage 3 – Programmatic and Fiscal Monitoring**: PCG created VOCA subrecipient programmatic and fiscal monitoring tools, which included a review of all federal and state VOCA requirements. PCG completed 31 programmatic and fiscal VOCA subrecipient reviews throughout the State of Missouri. Following each monitoring, PCG provided DSS with a detailed report describing the findings and recommendations the subrecipient should make to enhance VOCA compliance.     **Organization: Multiple Organizations (Clark University and Alachua Bradford Regional Workforce Board)**  **Projects:****H-1B Technical Skills Training***,* **Workforce Innovation Fund, H-1B Ready to Work Grant, Strengthening Working Families Initiative, Scaling Apprenticeships Through Sector Based Strategies Grant**  **Expertise:Grant Compliance, Grant Writing, Financial Management, Subrecipient Monitoring**  **Timeframe: 2011 – Present**  **Scope of Activities:** PCG has been the contracted administrative and fiscal entity for over $43 million in U.S. Department of Labor, Employment and Training Administration (DOLETA) funded Federal grants over the last decade:   * 52-month H-1B Technical Skills Training grant, $5 million; * Five-year Workforce Innovation Fund, Startup Quest**®** $12 million; * Four-year H-1B Ready to Work grant, $10 million; * Four-year Strengthening Working Families Initiative, $4 million; * Four-year Scaling Apprenticeships through Sector Based Strategies, $12 million   PCG has provided performance and programmatic services that support board/agency activities and provide infrastructure support. These contracts include such services as:   * **Performance Monitoring and Reporting**,   + Quality Assurance   + Compliance Monitoring   + Communications, contract oversight of all other Board contracts and business services * Program and Staff Training Support * Board Management * Coordination and Logistics Management * Board policy development including the reporting of fraud, conflict of interest, and ethics; * Financial Services:   + Strategic Financial Planning and Oversight   + Accounting Services   + Federal, State, and Local Regulatory and Compliance Oversight and Reporting   + Procurements   + Contract Oversight   + Subcontract procurement, development, contract development and contract compliance * Business Services:   + Strategic Alignment with Designated Industry Sectors   + Employer Engagement   + Strategic alliances with stakeholders   + Community engagement   PCG and its wholly owned subsidiary initiated and directed all activities related to the award including:   * Developing and submitting competitive Federal applications for the client through grants.gov * Creating the financial and human resources workflows for on-the-job training, paid internships and other work-based learning, employer reimbursement, and training required for Federal compliance * Developing financial processes and procedure in compliance with federal, state, and local rules and regulations * **Monitoring program performance and compliance against grant requirements**, including subrecipient programmatic and fiscal monitoring of local workforce development board partners and performance review, reporting and technical assistance to partners in achievement of grant goals. * Coordinating and delivering services to 8 additional workforce boards and serving nearly 2,000 participants in extended training programs   **Organization: Our Kids, Inc., Community Based Care (CBC) Agency**  **Project:****Fiscal Monitoring**  **Expertise:** **Subrecipient Monitoring, Grant Compliance**  **Timeframe: July 2011 – January 2019**  **Scope of Activities:** The community-based care (CBC) agency Our Kids Inc. contracted with the Florida Department of Children and Families (DCF) to provide child welfare services for more than 2,000 children in Miami-Dade and Monroe counties. Our Kids contracted PCG to provide **independent fiscal and administrative monitoring services** regarding the financial operations of Our Kids and five full case management agencies (FCMA) subcontracted for the delivery of services. In addition, PCG provided fiscal, administrative, and program compliance monitoring for Prevention Service Providers. Further, PCG performed other studies and assessments such as child residential services provider payment and expense review, and child welfare operational process and procedures evaluations.  PCG performed fiscal, administrative, and program monitoring work for Our Kids to ensure compliance with all applicable Federal and State laws, regulations, action transmittals, program instructions, review guides and similar documentation related to the following: Federal Title IV-E funding, Chapter 39, Florida Statutes; Chapter 287, Florida Statutes; Chapter 409, Florida Statutes; Rule 65C, Florida Administrative Code; Office of Management and Budget Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200) (formerly: OMB Circulars A-110, A-86, A-122, and A-133); and Applicable professional practices and rules.  **Organization: Missouri Department of Social Services**  **Project:****CSBG and LIHEAP Financial Subrecipient Monitoring Services**  **Expertise:** **Subrecipient Monitoring, Grant Compliance**  **Timeframe: April – September 2018**  **Scope of Activities:** The Missouri DSS, Division of Finance and Administrative Services (DFAS) contracted with PCG to perform desk and on-site financial monitoring of Community Action Agencies’ administration of the Community Services Block Grant program (CSBG) and Low-Income Housing Energy Assistance Program (LIHEAP) to ensure these programs are administered in compliance with federal regulations. **PCG conducted desk reviews and site visits to six Community Action Agencies** to ensure programs were in compliance with all applicable laws and regulations. The monitoring team reviewed financial and administrative documents, as well as conducted face-to-face interviews with management, staff and board members as needed for each of the six agencies. The documents reviewed and interviews conducted formed the basis of monitoring reports which included findings of non-compliance and/or opportunities for improvement in the relevant programs. When applicable, the reports outlined the need for corrective action and deadline for submission of a plan of action to address the issue/s.  **Organization: Missouri, Department of Social Services**  **Project:****DFAS Employment and Training Programs (TANF, SNAP E&T, Summer Jobs) Financial Monitoring and Compliance Review Services**  **Expertise:** **Subrecipient Monitoring, Grant Compliance**  **Timeframe: June 2019 – Present**  **Scope of Activities:** The Missouri Division of Financial and Administrative Services, Compliance Services Unit, contracted with PCG to perform **desk and on-site financial compliance monitoring** of all employment and training programs as follows during calendar year 2019: Temporary Assistance for Needy Families (TANF) Missouri Work Assistance (MWA) program; Supplemental Nutrition Assistance Program (SNAP) SkillUp program, and the Summer Jobs program.  PCG’s work under this engagement entailed desk reviews and scheduling on-site visits with providers, who were contracted with DSS to perform Missouri Work Assistance (MWA) and SkillUp services. Our monitoring efforts provided a level of assurance that agencies administered Federal awards were in compliance with laws, regulations, grant agreements and contracts. PCG reviewed financial documents including general and payroll ledgers, bank statements, and expenditures. PCG’s team also reviewed administrative documents that included the agency’s policy and procedures, and board minutes. We conducted face-to-face interviews with provider staff. A report was provided to DFAS that summarized our findings, federal or state criteria related to the finding, recommendations for improvement, and required corrective action.  **Organization: Rhode Island Department of Labor and Training**  **Project:****DLT System Support**  **Expertise:** **Invoicing, Monitoring, Budgeting, and Grant Coordination**  **Timeframe: 2019 – Present**  **Scope of Activities:** DLT has enlisted PCG to assist with the design and implementation of several new Business Affairs sub-units to add capacity for Real Jobs Rhode Island invoicing, monitoring, budgeting, and grant coordination.Additionally, PCG is tasked with developing programmatic functions, planning tools, and **standard processes to assist with new and ongoing fiscal management and compliance**. As the project has moved forward, PCG has become involved in additional elements, including the development and implementation of the Back to Work RI COVID-19 recovery program.  The DLT System Support project has completed the following activities to date:   * **Best practices research –** PCG collected and curated best practices to support the design of each of the new business units. * **Operations review and design –** PCG assessed and documented key current processes;with DLT, determined mission and goals for new business units; designed new unit processes and worked towards integration with existing business units. Additionally, PCG worked with DLT to develop roles, responsibilities, design principles, and business requirements for new units. * **Development of policy and procedure guidance –** PCG drafted standard operating procedures for revised business processes and created tools to assist both agency staff and external stakeholders with updated processes. * **Change management** – PCG worked to incorporate change management into each step of the project. Regular meetings ensured that managers, supervisors, and impacted staff were aware of proposed process changes and had the opportunity to provide feedback and input prior to implementation. PCG also supported several DLT efforts to communicate with staff about process changes and their role within them. * **Invoice Review –** PCG was tasked by DLT with recruiting, training, and overseeing a team of 10 staff to interpret and compile ~2000 paper invoices into a digital format, providing the agency with a more detailed view of program expenses.   **Organization: Commonwealth of Massachusetts, Executive Office of Labor and Workforce Development (EOLWD)**  **Project:****Grant Review Services**  **Expertise:Grant Management, Business Process Design, IT Solutions**  **Timeframe: June 2017 – June 2018**  **Scope of Activities:** EOLWD and PCG worked to address historical grant management challenges, **improve and formalize its grants management processes**, and implement new IT solutions to reduce the manual effort required to manage its $235 million (annual) workforce development grant portfolio. We assisted with the development of a financial reconciliation and provided recommendations for 17 appropriations, including 413 programs; provided a Federal Grant Management Playbook, containing the general grant management rules for various spending areas; and continue to lead and support the Department in documenting and improving current business processes in 10 functional areas.  **Strategic Planning Experience:**  **Organization: North Carolina Department of Health and Human Services**  **Project: Work Support Strategies Strategic Planning and Implementation**  **Expertise: Strategic Planning, Business Process Re-engineering**  **Timeframe: 2011 – 2016**  **Scope of Activities:** PCG helped North Carolina design, test, and implement a more effective, integrated, and customer-centric approach in order to deliver benefits that support low-income individuals and families. PCG’s expertise in **business process re-engineering** helped North Carolina eliminate duplicative or redundant steps in application and recertification processes; improve coordination amongst human service benefit programs; support the integration and automation among program-based systems; and eliminate the silo approach to benefit delivery. PCG’s expertise in change management helped North Carolina develop a multi-year implementation plan with extensive staff and stakeholder input and helped the state monitor and continuously improve the plan year-over-year. PCG also performed project management and assisted with technology integration during the planning year. PCG performed the day to day project management, change management, and implementation activities during the second phase of this project, and led County and stakeholder relations.  **Organization: County of Los Angeles Workforce Development Board & Workforce Development, Aging, and Community Services Department**  **Project: WIA-WIOA Adult and Dislocated Worker Program Redesign, Strategic Planning, and Implementation**  **Expertise: Strategic Planning, Workforce Programs**  **Timeframe: 2013 – 2016**  **Scope of Activities:** PCG engaged in **multiple phases of a strategic planning project** to support the redesign of WIA programs and the entire service delivery system under WIOA for Los Angeles County, one of the largest public workforce development systems in the country. Activities included the facilitation of executive management through a data-driven process to redesign the service delivery system, taking into account local demographics, labor market needs, key industry sectors, and budget limitations, as well as opportunities for further partnerships and alignment across the system. PCG provided data analysis and strategic recommendations on the footprint of LA County’s redesigned One-Stop system, as well as local nuances based of differing population and industry needs.  **Organization: Worksource Montgomery, Montgomery County, Maryland**  **Project: Strategic and Business Planning Support**  **Expertise: Strategic Planning, Workforce Programs**  **Timeframe: 2017**  **Scope of Activities:** PCG facilitated WorkSource Montgomery board members, staff, other stakeholders in **identifying strategic priorities and major action areas** for both impacting the community and building needed organizational capacity. The organization was in a period of major change, with new leadership, a new public-private structure, and an expanded mandate encompassing an array of economic development and employment responsibilities in addition to its core WIOA purview. In response to these changes, Worksource Montgomery sought to review its strategy and ensure that it put in place the necessary structure, management tools, and planning documents to put its Local Workforce Plan into action through aligned decision-making, capacity building, and day-to-day operations. To this end, PCG facilitated a joint executive committee of two boards with key responsibilities in overseeing Worksource Montgomery’s work in planning a larger working session and drafting vision, values, and priorities statements. PCG then facilitated 50 participants in a one-day strategic working session to conduct three-year business planning for community impact and organizational capacity building. |

1. Please identify at least three (3) specific projects or contracts where the proposer has performed some or all of the services outlined in the scope of work of this RFP.

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| While all of the projects cited above in Question 1 showcase PCG’s experience and expertise in the areas of compliance and monitoring, the following projects highlight areas where we have provided services relevant to the scope of work in this RFP:     1. **Organization: Workforce Solutions Capital Area, Austin, Texas**   **Project: Workforce Program Monitoring**   1. **Organization: Missouri, Department of Social Services**   **Project:****DFAS Employment and Training Programs (TANF, SNAP E&T, Summer Jobs) Financial Monitoring and Compliance Review Services**   1. **Organization: South Dakota, Department of Public Safety**   **Project: Victims’ Services Monitoring**  Please see the response to Question 1 for detail on the three highlighted projects. |

1. Describe your organization’s staffing structure, including a description of experience and resumes for those individuals that will play a role in providing the requested services.

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| PCG’s Human Services staff are organized by subject matter expertise and experience. Managers oversee portfolios of project work and the staff who work on those projects.  The PCG project team will be composed of seven team members who have experience in workforce development, program and fiscal monitoring and compliance, strategic planning, development of policies and procedures, and project management. The project will be overseen by an Engagement Manager, led by a Project Manager, and staffed with subject matter experts and analysts to carry out the work.  **Deborah Joffe**, an Associate Manager with PCG,will serve as the **Engagement Manager** for this project, overseeing the contract management and overall success of the project. Deb has extensive experience providing policy analysis, business diagnosis, program design, expenditure analysis, and implementation assistance for projects in the TANF and childcare programs. She oversees PCG’s monitoring work for TANF and Workforce agencies. Specifically, she served as Engagement Manager for the monitoring projects in Missouri related to CSBG, LIHEAP, TANF and SNAP programs, and worked with Indiana to improve its monitoring of child welfare agencies that receive TANF funding. She helped developed PCG’s Human Services Coaching Framework™ and has managed all of our coaching work. Additionally, she is a seasoned trainer and has spoken at multiple national conferences on the importance of coaching and designing programs to strengthen people’s executive function. She manages PCG’s CalWORKs employment services operation in San Diego County, CA, where PCG serves more than 4500 families receiving public assistance.  **Meredith Crouse** will serve as the **Project Manager**, responsible for leading the project team, ensuring the work is high-quality and on-track, and serving as the primary point of contact to DWD. Meredith, a Senior Consultant with PCG, has a decade of experience in the fields of education and workforce development. In her time at PCG, Meredith has worked with state and local workforce agencies nationwide on engagements related to policy, strategy, monitoring, business processes, program design and development, and employer engagement. She has also worked with K12 schools, Institutes of Higher Education, and state agencies on college and career pathway initiatives, program design, and strategic planning. Currently, Meredith project manages workforce program monitoring in Texas.  **Jennifer Starr** will serve as the **Quality Assurance Analyst Lead** and **Workforce Development Program Monitoring Subject Matter Expert.** Jennifer has 26 years of experience working within human service systems, including employment and workforce development. Jennifer has worked with multiple Workforce Development Boards nationwide providing quality assurance monitoring. In her current role as Lead Quality Assurance Analyst, she acts as a subject matter expert for Workforce Solutions Capital Area in Austin, Texas. Jennifer is also providing administrative entity support for the U.S. Department of Labor H1-B Grant: Scaling Apprenticeships in Information Technology, “Tech Quest Apprenticeship Expansion”.  **Kate Smith** will serve as **Quality Assurance Analyst Support** and **Fiscal Monitoring Subject Matter Expert** for this project. Kate is based out of our Indianapolis office. Kate has worked with multiple states, including South Dakota and Missouri, in creating victim service subrecipient programmatic and fiscal monitoring tools, as well as performed fiscal monitoring. Kate also worked with the Indiana Department of Child Services to draft a Standard Operation Procedures Manual for TANF audits and perform a gap analysis to assess the departments readiness to comply with the Family First Prevention Services Act. Prior to coming to PCG, Kate worked for the State of Indiana for over seven years. While working for the State, she was a Research Associate for the Indiana Criminal Justice Institute where she co-authored the initial Indiana Crime Victimization Survey. In addition, she co-authored best practice briefs for three of the 10 Indiana Criminal Justice Institute funding streams, including the Sexual Assault Services Program (SASP), Sexual Offense Services (SOS) program, and Byrne/JAG programs. Kate also served as a claims analyst within the Indiana Criminal Justice Institute’s Victim Compensation Division and an Investigator with the Office of the Indiana Attorney General.  **Amanda Lopez, Melissa Wall, and Margaret Smith** will serve as Consultants providing **Project Support**, contributing to analyzing policies and procedures, facilitating visioning sessions for strategic planning, and helping to write the strategic plan and monitoring procedure manual. Amanda is President at Transform Consulting Group – an Indiana-based, woman-owned, strategic, and data-driven consulting firm focused on serving nonprofits, education, government, and communities. Melissa and Margaret both serve as project consultants at Transform. All three team members have experience with research and analysis, project management, and the facilitation and development of strategic plans and procedure manuals.  For more information on the project team, please see **Appendix K - PCG Project Team Resumes**. |

* + 1. **Service Delivery and Project Management Approach**

1. Please provide a detailed description of how you will perform the following services:
   1. Review all current compliance-related processes, tools, and documentation across programs and create a consolidated inventory of such;
   2. Identify strengths, gaps, and opportunities via evaluation of current policies and processes;
   3. Research industry best practices in program performance evaluation and fiscal monitoring of workforce programs;
   4. Develop, in conjunction with the DWD Compliance Team, a comprehensive DWD Compliance Strategic Plan that will ensure continuous quality improvement and align with project tasks identified in the scope of work.
   5. Develop, in conjunction with the DWD Compliance Team, a DWD Monitoring Manual/Procedure and associated monitoring tools across programs.

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| PCG’s approach to this scope of work includes:   * The collection of data and information through a data request to collect compliance documentation for the consolidated inventory and compliance evaluation findings report * Staff interviews to help inform the challenges and opportunities with the current policies and procedures * Best practice research to identify opportunities to improve DWD tools and procedures * Visioning sessions to identify the goals and structure for the strategic plan and monitoring manual   These efforts will result in a report on compliance evaluation findings, including a consolidated inventory of existing compliance and monitoring documents; a DWD compliance strategic plan; and a DWD monitoring procedures manual.   1. *Review all current compliance-related processes, tools, and documentation across programs and create a consolidated inventory of such;*   In order to conduct a comprehensive review of the current compliance-related processes, tools, and documentation across programs and create a consolidated inventory, PCG will review publicly available information (such as resources from the DWD website) and will request additional information from DWD. PCG will work with DWD to confirm the information to be reviewed is comprehensive of all existing documentation related to compliance. The list below includes information and documents PCG has found on DWD’s website that will be reviewed for the comprehensive inventory:  **Publicly Available Information for Review:**   1. DWD Monitoring Tools for programs including:    1. Titles I, II, and III of the Workforce Innovation and Opportunity Act (WIOA Adult, Dislocated Worker, and Youth Services       1. WIOA Adult Participant File Review Checklist       2. WIOA Dislocated Worker Participant File Review Checklist       3. WIOA Youth Participant File Review Checklist    2. Equal Opportunity       1. EO Pre-Monitoring Review Tool       2. EO Monitoring Tool       3. DWD EO Policy       4. ADA Assessment Checklist       5. ADA VR Assessment Checklist       6. Complaint Log       7. LWDA EO Monitoring Survey/Tool       8. Local EO Monitoring Tool Example       9. Legislation - WIOA Section 188 Reference Guide       10. Civil Rights Center Statues and Regulations       11. EO Officer Responsibilities & Directory       12. Nondiscrimination Plan       13. Training Resources    3. Adult Education    4. Wagner Peyser    5. Migrant and Seasonal Farmworker (MSFW)    6. Jobs for Veterans State Grants (JVSG)    7. Apprenticeship    8. Trade Act    9. Reemployment Services and Eligibility Assessments (RESEA)    10. Senior Community Service Employment Program (SCSEP)    11. General Checklists and Tools        1. Pre-Monitoring Questionnaire & Documentation Request Checklist        2. Internal Control Matrix        3. WDB Membership Template        4. Fiscal Monitoring Tool        5. Program Monitoring Tool        6. Risk Assessment Tool        7. WorkOne/AJC On-Site Office Review Checklist        8. WIOA Adult Participant File Review Checklist        9. WIOA Dislocated Worker Participant File Review Checklist        10. WIOA Youth Participant File Review Checklist 2. LWDA Monitoring Schedule (by region) 3. DWD Policies and Federal Guidance Resources    1. DWD Policy 2015-06 Interim Monitoring Policy    2. DWD Policy 2016-03 Grantee and Grantee Sub-Recipient Audit Requirements    3. DWD Policy 2016-09 Equal Opportunity and Nondiscrimination Guidance Letter    4. WIOA    5. WIOA Resources    6. ETA Advisories    7. Equal Opportunity Final Rule – 29 CFR Part 38    8. **Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards**       1. 2 CFR Part 200       2. 2 CFR Part 2900    9. **20 CFR Chapter V - Employment and Training Administration, Department of Labor**       1. 20 CFR Part 600-699   In addition to reviewing the publicly available information listed above, PCG will submit a request to DWD for information and documents for review. The request will include, but is not limited to the following:  **Request for Information from DWD:**   1. General:    1. DWD Compliance Team members – roles and responsibilities    2. Technologies – information on statewide case management system(s) and other technologies used to carry out monitoring including but not limited to:       1. Indiana Career Connect (ICC), INTERS, and SCSEP – Sparx 2. Data on average timelines for each step of the monitoring process (risk assessment, desk review, field review, report, follow-up tracking and resolution). 3. LWDA:    1. Office locations    2. Funding data and special grants    3. Program caseload data    4. Corrective Action Plans from past three years 4. Existing DWD Monitoring Procedures    1. Standard Operating Procedure (SOP) documents, including internal protocols and guidance provided to LWDAs   Once the information and documentation are received, PCG staff will conduct a review of the documentation and develop a comprehensive inventory of all existing materials that will be used to inform the project work. PCG will submit the inventory to DWD for review and feedback to help ensure all relevant documents are included.  PCG will use the staff interviews (described in *part b* below) and the best practice research (described in *part c* below) to help identify the strengths, gaps, and opportunities with the existing policies, procedures, and tools. The best practice research will allow PCG to crosswalk the inventory with required tools and documentation to identify any gaps. PCG will produce **Deliverable 1: Report on Compliance Evaluation Findings** that will identify gaps and highlight some best practice resources for DWD consideration. This research and report will provide a foundation for the strategic plan and monitoring procedure manual (described in *parts d and e* below).   * 1. *Identify strengths, gaps, and opportunities via evaluation of current policies and processes*   PCG’s comprehensive review of existing documentation will be the first step in identifying strengths, gaps, and opportunities for improvement in the DWD current policies and procedures. DWD policies will be reviewed to determine compliance and alignment with the most current rules and regulations, and recommendations for modifications will be made.  In addition to reviewing documentation, PCG will also conduct staff interviews with the DWD Compliance Team to understand the staff’s experiences and perspectives of current processes. This multifaceted approach to understanding the current state will allow PCG to get a comprehensive view of what exists, what’s working well, what’s not working well, what’s missing, and what can be improved. A sample of the types of research questions PCG will seek to answer through the review of documentation and interviews with DWD Compliance Team staff are cited below:   1. What information does DWD communicate to LWDAs related to the monitoring schedule, policies, and procedures throughout the year? 2. What are commonly cited questions from LWDAs about DWD’s monitoring schedule, policies, and procedures? 3. What DWD monitoring documents and practices does DWD staff believe to be helpful to LWDAs? 4. What gaps does DWD see in current procedures? What’s articulated clearly and what’s not? 5. What monitoring policies or procedures have caused confusion in the past for DWD staff or LWDAs? 6. What components of DWD’s procedures have *worked well* in recent years (for DWD staff or LWDAs)? 7. What components of DWD’s procedures have *been challenging* in recent years (for DWD staff or LWDAs)? 8. What concerns (if any) does DWD have related to state policy and procedure compliance with federal requirements? 9. What are some of the most commonly cited findings in monitoring reports from the past three years?   The information and feedback collected from the staff interviews will be used to help identify opportunities to make improvements to procedures and will inform the compliance evaluation findings report, the strategic plan, and the monitoring procedure manual.   * 1. *Research industry best practices in program performance evaluation and fiscal monitoring of workforce programs*   PCG will research federal guidelines and best practices in program performance evaluation and fiscal monitoring. PCG will review resources including, but not limited to the following:   * United States Department of Labor Employment and Training Administration:   + One-Stop Comprehensive Financial Management Technical Assistance Guide   + Core Monitoring Guide   + Framework for Monitoring and Oversight – Technical Assistance Tool * WorkforceGPS Resources:   + WIOA Youth Monitoring Supplement   + Conducting Remote Monitoring Reviews webinar   + Monitoring Resources from various states   + Building Effective State Program Monitoring Systems * United States Chief Financial Officers Council (CFO) – Uniform Guidance: Promising Practices in Implementation * 78 FR 78589 - Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards   In addition to the research described above, PCG will draw from experience conducting programmatic and fiscal monitoring of multiple government agencies in nine states to inform and direct best practice research. The PCG team will review publicly available procedures and monitoring tools from other states and compare them to DWD’s procedures and tools. This research will help identify opportunities and inform improvements that can be made to DWD’s procedures and tools.  PCG will specifically look to identify states that have streamlined processes that are communicated in easy-to-follow formats and simplified monitoring tools with standards that adhere to the federal and state rules. The information learned from this research, including tools and language gathered, will be used to inform the contents of the compliance evaluation findings report, the strategic plan, and the monitoring procedure manual.   * 1. *Develop, in conjunction with the DWD Compliance Team, a comprehensive DWD Compliance Strategic Plan that will ensure continuous quality improvement and align with project tasks identified in the scope of work.*   PCG’s approach to working with DWD to develop a strategic plan is described below and organized into three phases:   1. Frame Up 2. Facilitate 3. Iterate   **Phase I - Frame Up:**  At the outset of the project, PCG will ask about any concerns, strengths, and areas of note coming into the planning process. The compliance evaluation findings report, staff interviews, and best practice research will inform the plan. PCG’s review of written materials will help our team ramp up to DWD’s current capacity, charge, structure, culture, and constraints. PCG will ask DWD to identify a team of staff and stakeholders to take part in the strategic planning process and to participate in visioning sessions.  **Phase II - Facilitate:**  Following the initial information gathering, PCG will conduct up to two virtual strategic planning visioning sessions with the DWD Compliance Team and other appropriate stakeholders. The purpose of the visioning sessions will be to understand DWD’s goals for compliance and continuous improvement. The sessions will be guided by questions including, but not limited to, the following:   1. What is DWD’s vision and mission, as it relates to compliance? 2. What are the strategic priorities of the DWD Compliance Team? 3. What are the DWD Compliance Team’s benchmarks for success? 4. Who are the key stakeholders involved in implementing the strategic plan? 5. What are the key dates and timelines associated with compliance activities? 6. What strategies can DWD implement to establish a common oversight theme across programs (e.g., streamlining report and resolution processes)? 7. What are the considerations for the development of a scheduling plan (e.g., concurrent/combined monitoring and frequency)? 8. What efficiencies can be gained from different approaches to the monitoring schedule and process (e.g., cluster monitoring with multiple programs on a smaller scale but with higher frequency, desk review v. on-site review, secure document submission procedures, etc.)? 9. How can internal communication be improved with a goal of identifying compliance issues in a timely manner (e.g., improving subject matter expert feedback to Compliance Team prior to Grantee monitoring)? 10. What are the immediate and near-future impacts of the pandemic on monitoring?   PCG will draw from the information gathered from initial comprehensive data and document review, staff interviews, best practices research, and visioning sessions (detailed above) to inform the DWD Compliance Strategic Plan.  **Phase III - Iterate:** Following the visioning sessions, PCG will:   1. Submit a proposed strategic plan format and table of contents to DWD for review and approval 2. Work with DWD to support drafting the content for the strategic plan using information gathered above 3. Submit draft strategic plan to DWD for one round of review and feedback 4. Integrate feedback into final draft for DWD review 5. Finalize and submit strategic plan to DWD   Through the drafting process with DWD, PCG’s aim will be to identify and remediate any major areas of disconnect that could be detrimental to wide support of the plan, cultivate buy-in and feelings of “co-ownership”, and drive “fine tuning” of plan language and messaging. This process will ultimately result in a final, fully vetted version ready to guide the organization. The final product of this effort will be **Deliverable 2: DWD Compliance Strategic Plan** that will identify the vision/mission and include goals, strategies, objectives, and actions steps to guide the organization.   * 1. *Develop, in conjunction with the DWD Compliance Team, a DWD Monitoring Manual/Procedure and associated monitoring tools across programs*   PCG’s approach to the development of the monitoring procedure manual is to leverage the work conducted in steps a-d for the development of the manual. PCG’s process is organized into three stages:   1. Conduct current-state analysis of existing procedures 2. Map vision for future-state procedure manual 3. Determine plan for monitoring procedure manual   The stages are described in detail below. The work conducted in steps a-d (detailed above) is included in the approach and will inform the development of the manual:   1. **Conduct current-state analysis of existing procedures**:    1. This analysis will begin during the comprehensive review of existing documents and development of the inventory and compliance evaluation findings report. The inventory and report will be used to identify all existing written procedures and check them against federal requirements for compliance.    2. PCG will also use the staff interviews to help identify strengths, gaps, and opportunities from the existing procedures. This feedback will supplement the inventory findings by hearing directly from the staff about what is working well, and what’s not working well, from their perspective.    3. This analysis of the current procedures will identify areas that need updating for clarity and/or compliance. It will also help to identify gaps in the procedures that should be addressed. 2. **Map vision for future-state procedure manual:**    1. PCG will leverage the best practices research to identify monitoring tools and procedures from other states that DWD should consider for inclusion in the DWD monitoring procedure manual. The best practices research will also be used to help confirm the monitoring procedure manual follows and cites all federal guidelines and includes best practices identified by agencies such as US Department of Labor (DOL) and US Chief Financial Officers Council (CFO).    2. PCG will conduct one virtual monitoring procedure manual visioning session to work through the following questions with DWD to identify the structure, goals, and content for the monitoring procedure manual: 3. What is DWD’s vision for the manual? 4. Who will be the primary users of the manual? 5. What are the major components that should be included in the manual? 6. How does DWD envision the manual will be used by stakeholders? 7. How will the manual be maintained over time? 8. What are DWD’s goals related to improvements to monitoring tools? 9. How will the manual be shared with users and the public?    1. Using information gathered from the current-state analysis and best practice research, as well as feedback collected from the visioning sessions, PCG will document the processes required to fulfill DWD’s purpose/function including major work steps, key inputs, outputs, stakeholders, and activities. 10. **Determine plan for monitoring procedure manual:**     1. With DWD, PCG will draft an outline Table of Contents for the monitoring procedure manual, as well as draft updated monitoring tools     2. With DWD, PCG will draft content for the manual and will share with DWD for one round of feedback     3. PCG will finalize **Deliverable 3: DWD Monitoring Procedure Manual and Monitoring Tools.**   PCG believes the approach outlined above will provide DWD with high quality deliverables that can be living documents and help the agency as it strives to enhance its monitoring program. |

1. Please provide a project timeline, detailing estimated time frame, duration, and number of hours for each of the services a through e in Section 2.4.2).

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| PCG recommends a project timeline of approximately six months, beginning October 2020 and concluding March 2021. The following chart summarizes the services (detailed in sections a-e) with planned timeframes and duration.  A screenshot of a cell phone  Description automatically generated  PCG estimates a total of 456 hours over a 6-month timeline to deliver the services outlined in the scope of work. The hours listed for each of the services below are inclusive of labor and project management hours.   |  |  | | --- | --- | | Service | Hours | | Part a | 81 | | Part b | 28 | | Part c | 25 | | Part d | 141 | | Part e | 281 | | **Total** | **456** | |

1. Please provide a detailed description of the proposed management approach to be taken for the performance of the services proposed. Factors shall include, but are not limited to:
   1. Proposed approach for managing communications and information gathering with DWD;
   2. Your organization’s standard process for problem resolution, including standard response times and description of the escalation process if the standard resolution process cannot resolve an issue;
   3. Proposed approach and schedule for keeping DWD timely apprised of project status;
   4. Proposed approach to ensuring the quality of the work product to be produced; and
   5. Practices and procedures your organization follows to control the costs of services and stay within budget.

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| PCG has developed a proven project management approach that standardizes project structure, terminology, and project management techniques across our consulting practices. Through this methodology, project teams understand the expected milestones and deliverables within any given phase of any project. The overarching principles adhered to by the project manager are to:   * Maintain a **proactive approach** to identifying and overcoming risks and obstacles to completing the project successfully and on time; * Create a **collaborative and transparent** process with DWD so that you can thoughtfully participate in key project decisions and so that there are no surprises; * Establish an **effective communication process** with DWD staff and stakeholders * Convene **regular status meetings** to review project progress, milestones achieved, issues/risks, and next steps.   In each phase of the project management approach, PCG’s project manager will review the needs and goals of the project to make sure they are being met, plan for the activities of both the current and future phases, execute project tasks, and evaluate the overall success of the project. PCG’s methodology also allows for us to regularly evaluate our outcomes (did we achieve the goals established in the Project Plan? Are income certifications meeting timeliness and accuracy benchmarks?) and adjust if necessary.  Project management for this engagement will include the following specific actions:   * Preparing status meeting agendas and any other related materials; * Attending and facilitating status meetings; * Monitoring the project budget; * Regularly communicating with DWD regarding project progress and outcomes; and * Organizing and facilitating project-related meetings to support City goals.   In response to DWD's expectation for this project to be completed virtually for the immediate future (as outlined in the Response to Written Questions for this RFP), PCG plans to complete this project virtually. PCG will conduct a virtual project kickoff meeting with DWD the at the outset. The kickoff meeting will provide the opportunity to understand project expectations and to establish a collaborative working relationship with DWD’s project team. If desired, these meetings can be part of an already scheduled DWD Compliance Team meeting.   * **Project Kickoff Meeting**   + Introduce project team   + Confirm project goals and objectives   + Determine DWD lead contact   + Review project plan (work plan, schedule, communication plan, etc.)   + Confirm template and cadence for regular status reports   + Discuss risk management, including process for resolving issues and managing project within timeframe and budget   + Confirm project deliverables and final approval process   *Proposed approach for managing communications and information gathering with DWD*  PCG’s approach to managing communications and information gathering is through a timely, clear and structured process. The PCG Project Manager will be the primary point of contact for DWD on all communications. The PCG Project Manager, with support from the project team, will assemble and submit the data and document request (as described above) to DWD. Additional requests for information, scheduling meetings and interviews, and requests to review deliverables will be managed by the PCG Project Manager. PCG recommends that DWD appoint a Project Manager for this engagement who can serve as the point of contact and help coordinate requests for information, meetings, and review of deliverables. PCG will use the regular status meetings as opportunities to provide updates to DWD, and give DWD an opportunity to ask questions, give decisions, and provide feedback. PCG will provide timely responses to emails and calls that occur between meetings.  During these times of remote work, PCG leverages Microsoft Teams and other technologies to stay in frequent contact with our clients through video and tele-conferencing. PCG also uses Microsoft SharePoint to save shared files and exchange information with our clients. Our technologies enable us to conduct meetings, interviews, and visioning sessions with groups of all sizes. PCG manages the logistics of these sessions, making the process seamless for our clients.  *Proposed approach and schedule for keeping DWD timely apprised of project status*  Following the virtual kickoff and working session, our team will tailor the work plan and schedule for the remainder of the project, and work with DWD’s Compliance Team to plan and schedule regular status meetings. While we propose bi-weekly (twice-monthly), half hour status meetings with key project staff, the schedule and approach can be adjusted during initial project discussions and as needed throughout the life of the project. We will also provide bi-weekly, written progress reports to serve as the foundation for status meeting discussions. The status reports will include details about what the project team is working on, what has been accomplished, what’s coming up, and any project risks or issues that may arise (more details on risk mitigation are included below). The status reports will also identify key dates and deadlines and action items.  *Your organization’s standard process for problem resolution, including standard response times and description of the escalation process if the standard resolution process cannot resolve an issue*  PCG takes a proactive approach to project risk by identifying possible areas of risk at the outset of the project, and cataloging risk issues as they arise over the course of the project. PCG’s status reports include a log of identified project risks, issues, and resolutions.  PCG’s approach to problem resolution is to speak with our clients directly to understand and assess the situation and come to an agreement about feasible next steps to resolve the issue. The PCG Project Manager will be the primary point of contact for DWD on questions related to project risk, contract, quality, and timeline. The typical response time for the PCG Project Manager and team is one business day.  Our problem resolution process is for the PCG project manager to speak directly with the DWD project manager to fully understand the issue and discuss possible resolutions and next steps. Once action has been taken, the PCG project manager will follow-up with the DWD project manager to discuss whether the issue has been addressed appropriately. If for some reason the issue is not resolved at this point, the PCG Engagement Manager will speak directly with the DWD Project Manager (or designee, if escalated) to discuss the issue and strategies for resolution. Ultimately, PCG’s aim is to ask for continuous feedback to ensure our clients are happy. PCG will alert DWD when PCG staff plans to be “out of office” and appoint a designee contact. PCG will discuss feasible timelines with DWD when making requests for information and review of deliverables.  In addition to the PCG Project Manager, the PCG Engagement Manager provides overall contract management oversight and is always directly available to clients to discuss questions or concerns about issues related to the contract, timeline, quality of work, or other issues that may arise.  *Proposed approach to ensuring the quality of the work product to be produced*  PCG takes pride in the quality of our work product. PCG builds every project from the ground up and avoids offering a cookie-cutter approach. We draw on our knowledge and expertise to bring you unique solutions based on identified need. To do this, we carefully listen to the results and outcomes you want and expect. We build genuine human connections that lead to a shared aim, purpose, and ultimately, a shared trust. PCG will listen to DWD to understand the goals for the work to be produced and will build in opportunity for feedback along the way to confirm it meets expectations. PCG also ensures quality of our work by building in internal reviews of work products so that drafts are reviewed before they are sent to you for feedback.  *Practices and procedures your organization follows to control the costs of services and stay within budget*  PCG’s project management approach includes continuous monitoring of the project work plan, staff resources, and budget. The project manager reviews work progress with the project team during weekly project meetings, work sessions, and check-ins throughout the work week. Through regular status meetings with DWD, PCG will provide updates on the work and timeline and communicate any areas of risk, including time constraints, work that is requiring more time than expected, or work that is beyond scope. These practices help ensure that PCG completes the work outlined in the scope, on time and within budget. |