



Workforce Development Area 1

WIOA Board Meeting
Wednesday, September 25, 2024
Agenda

Welcome C.B. Herrmann

Minutes 8-24-24
2-21-24
Motion Required

Monthly Reports Crystal Keaton

Monitoring Reports

Audit Update and Survey

GRIT MOU with Trillium
Motion Required

GRIT MOU with Chatfield Sanctuary
Motion Required

New Business C.B. Herrmann

Adjournment

Next Workforce Board Meeting will be Wednesday, December 4, 2024

Workforce Development Board Meeting Dates 2025

Wednesday, January 22, 2025
Wednesday, March 26, 2025
Wednesday, May 28, 2025
Wednesday, July 23, 2025
Wednesday, September 24, 2025
Wednesday, November 19, 2025

WIOA Board Meeting
August 14, 2024
SCCTC
Minutes

In attendance:

Board Members: Timothy Grooms, C.B. Herrmann, Paula Baumgardner, Nathan Strange, Joe Dillow, Matt Louanglath, Kyle Copley, Jeff Hamilton, Paul Worley, Trampas Puckett, Mary Armstead

Staff: Crystal Keaton, Michelle Cutlip, Sarah Carver, Dwayne Alexander

Guest: Lisa Pfeifer, Carolyn Fyffe, Debora Plymail, Susan Huff, Jeanette Langford, Leslie Mingee, Lisa Tumbleson-Davis

C.B. Herrmann, began the meeting by thanking everyone for attending.

C.B. then asked for any changes that needed to be made in the minutes from the May 22, 2024 Board Meeting. No changes were made, Joe Dillow made a motion to approve the minutes. Matt Louanglath seconded the motion. Motion was approved.

Crystal Keaton, WDA 1 Director, discussed the RESEA program report from January 1, 2024 thru July 7, 2024. Sarah Carver, our RESEA specialist, has completed 110% of Initial Completions and 99% Subsequent completed. This means they have had more than two visits with her. Area 1 has begun a Pilot with Hamilton County, where Area 1 will help with one or two of their clients a week to help get individuals back to work faster.

Crystal discussed The Business Resource Network (BRN) from July 1, 2023 to June 30, 2024 has completed 55 surveys, 4 businesses is at risk and 51 are growing. In the month of June, there have been 146 follow up visits with businesses, 143 reporting growth, and 3 reporting to be "at risk". There are also 3 On the Job Training Contracts, 161 Job postings & Resume screenings and 47 Adult/Youth in Work Experience.

Crystal Keaton reviewed the monthly funding source report from July 1, 2024 thru July 31, 2024. Throughout all funding streams Adams County has a total of 90 unduplicated customers, Brown County has 120 unduplicated customers and Scioto County has 240 that are being serviced through employment and training programs.

Crystal Keaton went over the monthly traffic report for the OhioMeansJobs centers. There are two reports this month. From July 1, 2023 thru June 30, 2024 total visits for Area 1 was 12,809 and July 1, 2024 thru June 30, 2024 the total visits for Area 1 was 760.

Crystal discussed the GRIT Project from July 1, 2023 thru June 30, 2024. We have assessed 4422 In school youth, 2006 Adults and 171 Professional development staff.

We started a Car repair Pilot in April to help individuals get the repairs they need to keep their job, obtain a job or continue their schooling. So far, there have been 137 participants enrolled into the programs. There have been 114 vehicles repaired. Of this 137, 97 were employed, 21 were in training and 19 were job seeking.

The next agenda item is the Utilization of Workforce Area 1's providers' PY24/Fy25 Dislocated worker funds for Adult Program. All four Area 1 counties are requesting 100% transfer of Dislocated Worker funds to serve Adult participants. The amount of funds to be transferred id PY24 \$149,365 and FY25 \$543,527. Matt Louanglath made the motion. Tim Grooms seconded the motion. Motion was approved.

Crystal discussed the next item on the agenda is a Subgrant agreement Agency list of the additional agencies that will be added to the Car Repair program. The list includes: Ashtabula Community action; Great Lakes Community Action; Hocking, Athens, Perry Community Action; Lifeline; Miami Community Action; Northwestern Ohio Community Action; Pickaway Community Action. Tim Grooms made a motion to add the additional agencies to the program. Matt Louanglath seconded the motion. Motion was approved.

Crystal explain the Memorandum of Understanding with the Electrical Training Academy to continue to recruit, instruct and place on the job pre-apprentice for Cohort 11 & 12 at a cost of \$290,142. The implementation of this program will occur between August 14, 2024 thru June 30, 2025. Trampas Puckett made the motion to approve the MOU. Paula Baumgardner seconded the motion. Motion was approved. Matt Louanglath & Joe Dillow abstained from voting.

Crystal explained a modification for the MOU with Jefferson County. Once they received their funds for the year, they realized they didn't need the entire amount of Youth funds and would like to transfer some of the Youth Funds to Adult Funds and staffing funds. Staffing funds are \$71,997, Youth funds are \$18,284 and Adult funds are \$106,094, totaling \$196,375. Matt Louanglath made the motion to approve the modification. Joe Dillow seconded the motion. Motion was approved.

The same thing with Athens County, they would like to transfer Adult fund to staffing costs. Adult funds would be \$279,410 and Staffing costs would be \$50,590. Total would stay the same at \$330,000. Joe Dillow made the motion to approve the MOU modification. Matt Louanglath seconded the motion. Motion was approved.

Crystal then explained a new GRIT Memorandum of Understanding with Jackson County Job and Family Services. This MOU will be in effect August 14, 2024 thru Jun20, 2025 and cost no more than \$185,139. JCJFS will ensure that customers have access to use GRIT funds for training and employment services; including but not limited to tuition, supportive services, work experience & on-the-job services. JCJFS staff and service providers will provide case management to the customers to ensure the best outcomes for the customer, which may include referrals to and co-enrollment with WIOA/CCMEP Adult and Youth Programs. Matt Louanglath made the motion to approve the MOU with JCJFS. Joe Dillow seconded the motion. Motion was approved.

Next item, GRIT Career Navigator Program is a pilot program including 20-30 schools this school year to see if we can expand in all 32 Counties in Appalachia area. The amount of this for \$430,000. This is very similar to an old program that our Area used to have JOG (Jobs for Ohio's Graduates). They will be working with some of that curriculum and ESC curriculum. Future Plans has met the requirements for this program. Kyle Copley made a motion to accept Future Plans as the provider for the Pilot. Matt Louanglath seconded the motion. Motion was approved.

Joe Dillow made a motion to adjourn the meeting. Meeting was adjourned.

C.B. Herrmann

Michelle Cutlip

WIOA Board Meeting
February 21, 2024
SCCTC
Minutes

In attendance:

Board Members: Paula Baumgardner, Nathan Strange, Trampas Puckett, Kyle Copley, Holly Johnson, C.B. Herrmann, Joe Dillow, Matt Louanglath, Wes Davis, Josh Greene, Paul Worley, Jeff Hamilton, Todd Cron
Staff: Crystal Keaton, Michelle Cutlip, Sarah Carver, John Morton & Dwayne Alexander
Guest: Lisa Tumbleson, Toni Moore, Debora Plymail, Susan Huff, Jeanette Langford, Mindy Purpero, Lisa Pfeifer, Carolyn Fyffe, Bryn Stepp, Brock Brewster

C.B. Herrmann, began the meeting by thanking everyone for attending.

C.B. then asked for any changes that needed to be made in the minutes from the January 24, 2024 Board Meeting. No changes were made, Trampas Puckett made a motion to approve the minutes. Holly Johnson seconded the motion. Motion was approved.

Crystal Keaton went over the monthly traffic report for the OhioMeansJobs centers. Total numbers for each county, Adams has had a total of 1277 visits with 121 new clients. Brown County has had 1217 visits with 102 new clients. Pike County has had 928 total visits with 103 new clients and Scioto County has had 1390 total visits and 1127 of those visits are new clients. That gives all four counties a total of 4812 visits.

Crystal discussed the GRIT Project from July 1, 2023 thru January 31, 2024. We have assessed 3521 In school youth, 1389 Adults and 16 Professional development staff. On February 28-29, 2024, GRIT will be hosting LEAP Forward with GRIT Conference along with Economic Development and Workforce Development. This conference is being held at Ohio University Southern Campus.

Crystal discussed the RESEA program report from January 1, 2023 thru February 4, 2024. There have been 47 individuals that has been referred to Sarah and she has selected them all. Of the 47, 45 have completed their initial appt. and 42 have completed their final appt. The average of Initial Completions is 96% and Subsequent completed is 94%.

Crystal then discussed The Business Resource Network (BRN) from July 1, 2023 to June 30, 2024 has completed 32 surveys, 4 businesses is at risk and 28 are growing. In the month of January, there have been 209 follow up visits with businesses, 207 reporting growth, and 2 reporting to be "at risk". There are also 10 On the Job Training Contracts, 240 Job postings & Resume screenings and 70 Adult/Youth in Work Experience.

The next agenda item was the Fiscal Audit update. Crystal explained the Area had received a final report earlier in the week. The update on the audit right now is that we are in corrective action. For the next 30 days, CAO and the Board are working through the policies and procedures to get all that corrected.

Crystal has been updating policies, WIOA Adult/ DW Supportive Services Policy and CCMEP Supportive Services Policy. The rates of daycare rates have increase from \$15 a day for the 1st child and \$10 for the 2nd to \$20 a day for the 1st child and \$15 for the 2nd or a maximum total of \$35. The second change made to this policy is mileage has changed to .50 cents per mile not to exceed \$50 a day. This has gone up from .35 cents a mile. The third change is the automobile repair/maintenance is now limited to \$2,500 per participant. Matt Louanglath made a motion to approve this policy. Holly Johnson seconded the motion. Motion was approved for both policies.

Transferring Adams and Brown Counties PY22 WIOA Youth Funds to Pike and Scioto Counties Youth Funds. Proposed Motion: Workforce Development Board Area 1 may transfer \$29,464 of Adams County PY22 WIOA Youth funds to Scioto County PY22 WIOA Youth funds AND \$94,783 of Brown County PY22 WIOA Youth funds to Pike County PY22 WIOA Youth funds. Trampas Puckett made the motion. Holly Johnson seconded the motion. Motion was approved.

Crystal explain to the Board about Ohio Workforce Association's policy of Redistribution of funds. This money comes from Area's who aren't spending their money as fast as they should. Area 1 is asking for \$160,122 in WIOA Adult funds; \$931,528 in WIOA Dislocated Worker funds; and \$28,000 in WIOA Youth funds. There are no guarantees of getting this amount but this is the request. Holly Johnson made the motion. Trampas seconded the motion. Motion was approved.

Proposed motion: Workforce Development Board Area 1 may enter into a contract and subgrant agreement with Electrical Training academy (ETA) to operate an Installer Technician (Low Voltage) Registered Apprenticeship utilizing both Holistic Care Act and Statewide WIOA funding sources that have an end date of June 30, 2024. Cost not to exceed \$250,000.00. Trampas Puckett made the motion to approve. Paula Baumgardner seconded the motion. Motion was approved. Matt Louanglath and Joe Dillow abstained from the vote.

The Brown County ESC will develop a partnership with K-12 Brown County School districts, Southern Hills CTC, OhioMeansJobs Adams Brown Counties, Ohio Farm Bureau Federations, The GRIT project and regional business partners to establish the essential functions of: Exposing Educators to STEM occupation and industries that are in demand. Connection STEAM career paths to classrooms. Developing lesson plans related to STEAM. Earning Academics & Gifted standards requirements. This project will occur between March 1, 2024 thru June 30, 2024 and is funded for \$9,000. Todd Cron made the motion to approve. Joe Dillow seconded the motion. Motion was approved.

Memorandum of Understanding between Workforce Development Board Area 1 and Western Local Schools. Western has additional property to build and additional meeting room to the existing virtual work center/ Career Development Center that will add to the availability of services to the students and community of Western Pike and Latham Areas. This project is not to exceed more than \$300,000 for the following: Construction of 2,304 sq.ft. space post and frame building built on footer, restrooms, kitchenette, storage, large open media room with multimedia lockups, HVAC, electrical, plumbing, utilities, and furniture. Also includes architect, permit fees and prevailing wage cost on the building cost. Holly Johnson made the motion to approve. Kyle Copley seconded the motion. Motion was approved.

MOU between Workforce Development Board Area1 and Pike County Outreach Council of Churches. This request is to improve the entrance into the center with safe and proper handrails and steps; also a proper sign marking the Pike Outreach Remote Work Center and stating services provided at the center. This job is not to exceed more than \$30,000 for concrete entrance steps and landing, handrails, digital sign. Drawings and permits. Joe Dillow made the motion to approve. Trampas Puckett seconded the motion. Motion was approved.

Sarah Carver who is currently our Grants Special Coordinator, who has previously been our fiscal agent and been helping with the Audit and training the new fiscal agent. She is currently putting at least 20% of her time into fiscal currently and Crystal is asking the Board to increase her pay to show that 20%. Sarah will still maintain her current job duties. She will be taking on doing fiscal work, fiscal monitoring, and fiscal technical assistance as well. The updated pay range will be \$50,066. This will be for approximately 12 months. This raise will become effective March 1, 2024. Trampas Puckett made the motion to accept the pay raise. Matt Louanglath seconded the motion. Motion was approved.

Due to language revision on the ODJFS/WDA1 WIOA Subgrant Agreement has not been signed yet. ODJFS has submitted to WDA 1 a revised Subgrant Agreement with an Attachment A "Authorization to Support CCMEP" that also needs to be signed by Board Chair, CEO, and Fiscal Agent. Motion to accept and sign both the WIOA Subgrant Agreement and Attachment A. Motion was made by Trampas Puckett, Seconded by Holly Johnson. Motion Passed.

C.B. Herrmann, Board Chair

Michelle Cutlip, Administrative Assistant

GRIT Project

Grant Period FY 24-25

Report Period 07/01/23 to 06/30/25

Report as of 07/31/24

| | |
|---|------|
| In School Youth (high schoolers): | 4502 |
| Adult Population (over age 18 years old): | 2195 |
| Professional Development (OMJs, Court Systems, Local Schools, Partners) | 176 |

WIOA Car Repair Program

Grant Period SFY 24 & SFY 25

Report Period 04/01/24 to 06/30/25

Report as of 07/31/24

| | |
|-------------------------|-----|
| Number of Participants: | 182 |
| Number of Repairs: | 153 |
| Number Employed: | 145 |
| Number in Training: | 24 |
| Number Job Seeking: | 13 |

| WIOA Area | Area # | Selection Pool (YTD) | # Not Selected (YTD) | # Selected (YTD) | Initials-Completed (YTD) | Subsequents-Complete (YTD) |
|---|--------|----------------------|----------------------|-------------------------|--------------------------|----------------------------|
| WIOA Area | 1 | 212 | 0 | 212 | 226 | 217 |
| | | | | Completion Rate% | 107% | 96% |
| Served additional customers virutally from Hamilton County | | | | | | |

RESEA Report

01/01/24 to 09/15/24

Workforce Development Board Area 1

Business Resource Network

Report Period - July 1, 2024 - June 30, 2025

| | JULY | AUG | SEP | OCT | NOV | DEC | JAN | FEB | MAR | APR | MAY | JUN |
|--|------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Number of total surveys conducted July 1, 2024 - June 30, 2025 | | 0 | | | | | | | | | | |
| Number of Businesses (At Risk) July 1, 2024 - Feb 28, 2025 | | 0 | | | | | | | | | | |
| Number of Businesses (Growing) July 1, 2024 - Feb 28, 2025 | | 0 | | | | | | | | | | |
| Number of Businesses (Stabilized) July 1, 2024 -Feb 28, 2025 | | | | | | | | | | | | |
| Number of Follow Up all Businesses | 93 | 92 | | | | | | | | | | |
| Number of Follow -up Businesses Reporting Growth | 93 | 90 | | | | | | | | | | |
| Number of Follow-up Businesses Reporting At Risk | 0 | 2 | | | | | | | | | | |
| Number of Grants | | | | | | | | | | | | |
| Number of Utility Rebates | | | | | | | | | | | | |
| Number of On The Job Training Contracts | 0 | 0 | | | | | | | | | | |
| Number of Job Posting & Resume Screenings | 244 | 148 | | | | | | | | | | |
| Number of Workshops | 0 | 0 | | | | | | | | | | |
| Number of On-Site Assessments | | | | | | | | | | | | |
| Number of Active Trainings | | | | | | | | | | | | |
| Number of Adult/Youth Work Experiences | 90 | 93 | | | | | | | | | | |
| Number of Non-BRN Businesses Services | 8 | 6 | | | | | | | | | | |

Job Fair held 9/18/24 by OMJ Pike

Job Fair held 9/19/24 by OMJ Adams Brown

**OhioMeansJobs Center Customer Traffic
July 1, 2024 thru August 31, 2024**

| | Adams | Brown | Pike | Scioto | Totals |
|--------------------------|-------|-------|------|--------|--------|
| Total Visits | 409 | 496 | 440 | 987 | 2332 |
| Total Clients | 226 | 251 | 274 | 606 | 1357 |
| New Clients | 26 | 30 | 28 | 206 | 290 |
| Returning Clients | 200 | 221 | 246 | 400 | 1067 |
| Veteran Clients | 2 | 7 | 2 | 7 | 18 |
| | | | | | |

| | Adams | Brown | Pike | Scioto | Totals |
|------------------------------------|-------|-------|------|--------|--------|
| Attend Job Fair | 5 | 2 | | | 7 |
| Attend Job Search Workshop | | 9 | | 157 | 166 |
| Info on Supportive Services | 53 | 34 | 22 | 274 | 383 |
| Info on Unemployment | 40 | 65 | 2 | 36 | 143 |
| Partner Services | 214 | 295 | 111 | 112 | 732 |
| Resource Room Services | 321 | 427 | 123 | 235 | 1106 |
| | | | | | |



Workforce Development Board #1

WDB #1

Crystal Keaton, Director

951 Vern Riffe Drive
Lucasville, OH 45648
740-259-6826

“CB” Herrmann, WDA #1 Chair
Daryll Gray, Chief Elected Official

www.omjwda1.org

May 2, 2024

Janie Phillips, Fiscal Director
Adams Brown Community Action Partnership
406 West Plum Street
Georgetown, Ohio 45121

Dear Janie:

On April 17, 2024 WDA#1 conducted a fiscal monitoring review of Adams and Brown County Community Action’s allocated share of WIOA Awards (Adult, Dislocated Worker and Youth, One Stop allocated costs, and any other applicable awards).

I specifically reviewed the following items:

- March 2024 - Monthly Expenditure Reports
- March 2024 - General Ledgers
- March 2024 - Receipts
- March 2024 - Payroll Registers
- March 2024 - Check Registers
- March 2024 - Obligations

After completing my review of the financial records, there were no concerns or findings that need to be addressed at this time. All of the information obtained during your review, including copies of financial reports and backup documentation for March 2024 will be kept in a monitoring file for Adams and Brown County Community Action in the WDA#1 office.

I would like to thank you and your staff for their assistance during the monitoring visit. If you have any questions, please do not hesitate to contact me at 740-351-1191.

Sincerely,

Toni Moore

Toni Moore
Fiscal Specialist

CC Crystal Keaton, WDA#1 Director
Carolyn Powell, Comptroller
Debora Plymail, Director



OhioMeansJobs

Adams, Brown, Pike & Scioto Counties

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Locations: Adams County

19221 St. Rt. 136
Winchester, OH 45697

937-695-0316
800-233-7891

Brown County

406 W. Plum Street
Georgetown, OH 45121

937-795-0316
800-553-7393 Ext 261

Pike County

941 Market Street
Piketon, OH 45661

740-289-2371

Scioto County

433 Third Street
Portsmouth, OH 45662

740-354-7544



Workforce Development Board #1

WDB #1

Crystal Keaton, Director

951 Vern Riffe Drive
Lucasville, OH 45648
740-259-6826

“CB” Herrmann, WDA #1 Chair
Daryll Gray, Chief Elected Official

www.omjwda1.org

May 2, 2024

Jenny Moore, Bookkeeper
Community Action Committee of Pike County Inc.
941 Market Street
Piketon, Ohio 45661

Dear Jenny:

On April 18, 2024 WDA#1 conducted a fiscal monitoring review of Pike County Community Action’s allocated share of WIOA Awards (Adult, Dislocated Worker and Youth, One Stop allocated costs, and any other applicable awards).

I specifically reviewed the following items:

- March 2024 - Monthly Expenditure Reports
- March 2024 - General Ledgers
- March 2024 - Receipts
- March 2024 - Payroll Registers
- March 2024 - Check Registers
- March 2024 - Obligations

After completing my review of the financial records, there was only one concern or findings that needs to be addressed at this time. There was a late payment charged to One Stop, but you stated that you will be doing a journal entry to move it to the correct fund. Please send documentation showing where this was corrected. All of the information obtained during your review, including copies of financial reports and backup documentation for March 2024, and the journal entry correction, will be kept in a monitoring file for Pike County Community Action in the WDA#1 office.

I would like to thank you and your staff for their assistance during the monitoring visit. If you have any questions, please do not hesitate to contact me at 740-351-1191.

Sincerely,

Toni Moore

Toni Moore
Fiscal Specialist

CC Crystal Keaton, WDA#1 Director
Carolyn Powell, Comptroller
Lisa Pfeifer, Director



OhioMeansJobs

Adams, Brown, Pike & Scioto Counties

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Locations: Adams County

19221 St. Rt. 136
Winchester, OH 45697

937-695-0316
800-233-7891

Brown County

406 W. Plum Street
Georgetown, OH 45121

937-795-0316
800-553-7393 Ext 261

Pike County

941 Market Street
Piketon, OH 45661

740-289-2371

Scioto County

433 Third Street
Portsmouth, OH 45662

740-354-7544



Workforce Development Board #1

WDB #1

Crystal Keaton, Director

951 Vern Riffe Drive
Lucasville, OH 45648
740-259-6826

“CB” Herrmann, WDA #1 Chair
Daryll Gray, Chief Elected Official

www.omjwda1.org

May 2, 2024

Kayla Lawson, Fiscal Specialist
Community Action Organization of Scioto County Inc
433 Third Street
Portsmouth, Ohio 45662

Dear Kayla:

On April 19, 2024 WDA#1 conducted a fiscal monitoring review of Scioto County Community Action’s allocated share of WIOA Awards (Adult, Dislocated Worker and Youth, One Stop allocated costs, and any other applicable awards).

I specifically reviewed the following items:

- March 2024 - Monthly Expenditure Reports
- March 2024 - General Ledgers
- March 2024 - Receipts
- March 2024 - Payroll Registers
- March 2024 - Check Registers
- March 2024 - Obligations

After completing my review of the financial records, there were no concerns or findings that need to be address at this time. All of the information obtained during your review, including copies of financial reports and backup documentation for March 2024 will be kept in a monitoring file for Scioto County Community Action in the WDA#1 office.

I would like to thank you and your staff for their assistance during the monitoring visit. If you have any questions, please do not hesitate to contact me at 740-351-1191.

Sincerely,

Toni Moore

Toni Moore
Fiscal Specialist

CC Crystal Keaton, WDA#1 Director
Carolyn Powell, Comptroller
Luanne Valentine, Director



OhioMeansJobs

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Locations: Adams County

19221 St. Rt. 136
Winchester, OH 45697

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800-233-7891

Brown County

406 W. Plum Street
Georgetown, OH 45121

937-795-0316
800-553-7393 Ext 261

Pike County

941 Market Street
Piketon, OH 45661

740-289-2371

Scioto County

433 Third Street
Portsmouth, OH 45662

740-354-7544

**Local Area 1
Final Summary of Fiscal Monitoring Review
Program Years 2022 and 2023**

The ODJFS monitoring review process utilizes a risk-based approach for determining the areas to be monitored. A variety of factors are used in this process, including Program Risk, Entity Risk, Control Risk and Common Monitoring Observations. Below is a chart showing each section subject to our monitoring review and the applicability to your agency's current review, along with summary of any significant observations related to those sections.

| Program Name | Subject to Review | Significant Observations | ODJFS Area Responsible for Assistance |
|-------------------------|--------------------------|---------------------------------|--|
| Governance | Yes | No | None |
| Budget Management | No | N/A | None |
| Financial Reporting | Yes | Yes (CIP #1 & #2) | BCFTA |
| Cash Management | No | N/A | None |
| Cost Allocation | No | N/A | None |
| Cost Principles | Yes | No | None |
| Procurement | No | N/A | None |
| Contracts | No | N/A | None |
| Subrecipient Monitoring | Yes | No | None |
| Property Management | No | N/A | None |
| QUEST Grant | Yes | No | None |

Significant Observation (see associated Continuous Improvement Plan attached)

- CIP 1 – Inaccurate Financial Reporting
- CIP 2 – Inaccurate Reporting of Accruals and Obligations

**Local Area 1/Adams County Department of Job & Family Services
WIOA Program Monitoring Review Summary
Program Years 2021 and 2022**

The ODJFS Program Monitoring Review process utilizes a standardized review guide to provide a consistent framework for conducting the on-site review of all WIOA Local Areas throughout the state. Below is a chart showing each section subject to our WIOA monitoring review, along with a summary of any significant observations related to those sections.

| Program Name | Subject to Review | Significant Observations | ODJFS Area Responsible for Assistance |
|--|--------------------------|---------------------------------|--|
| Administration | Yes | No | None |
| Adult/Dislocated Worker Case File Review | Yes | No | None |
| Youth Case File Review | No | N/A | None |
| Special Grant Funds | No | N/A | None |

Significant Observations (See Associated Continuous Improvement Plans Attached)

There were no significant observations noted during this review.

**Local Area 1/Adams County Department of Job & Family Services
CCMEP Program Monitoring Review Summary
Program Years 2021 and 2022**

The ODJFS Program Monitoring Review process utilizes a standardized review guide to provide a consistent framework for conducting the reviews of all WIOA Local Areas and CCMEP lead agencies throughout the state. Below is a chart showing each section subject to our monitoring review and the applicability to your agency's current review, along with a summary of any significant observations related to those sections.

| Program Name | Subject to Review | Significant Observations | ODJFS Area Responsible for Assistance |
|--|--------------------------|---------------------------------|--|
| Administration | Yes | No | None |
| Adult/Dislocated Worker Case File Review | No | N/A | None |
| Youth Case File Review | Yes | No | None |
| Special Grant Funds | No | N/A | None |

Significant Observations (See Associated Continuous Improvement Plans Attached)

There were no significant observations noted during this review.

FRAUD RISK ASSESSMENT QUESTIONNAIRE (FRAQ) FOR STATE AND LOCAL GOVERNMENTS

Please note, you are receiving this questionnaire because we believe your input and assistance is of the utmost importance based on your position with the entity. Please contact your auditors with questions related to this form. Generally, entity officers and employees have a duty to report suspected fraud and abuse to the Auditor of State. For guidance regarding the extent of an individual's duty to report, please seek legal advice from your entity's statutory legal counsel.

Fraud:

American Institute of Certified Public Accountants (AICPA) Professional Standards AU-C Section 240, *Consideration of Fraud in a Financial Statement Audit*, paragraphs .17-.21 require auditors to obtain information from entity officials and employees regarding the risk of fraud, as well as known or suspected fraudulent activities. Please be aware these inquiries are not an indication that fraud has been identified or is suspected but are requirements of Generally Accepted Auditing Standards (GAAS) issued by the AICPA and must be performed on each audit and for each audit period.

Per AU-C Section 240, there are two types of fraud to consider: (1) fraudulent financial reporting and (2) misappropriation of assets.

(1) Fraudulent financial reporting involves acts such as following:

- a. Manipulating, falsifying, or altering accounting records or supporting documents from which financial statements are prepared.
- b. Misrepresenting or intentionally omitting events, transactions, or other significant information.
- c. Intentionally misapplying accounting principles relating to amounts, classifications, manners of presentation, or disclosures.

(2) Misappropriation of assets involves acts such as the following:

- a. Embezzling cash, theft of inventory.
- b. Causing an entity to pay for goods or services not received by entity.
- c. Using an entity's assets for personal use.

Significant Unusual Transactions:

AU-C Section 240 paragraph .17 also requires auditors to inquire of entity officials and employees regarding significant, unusual transactions. These are defined by AU-C 240.11 as,

Significant transactions that are outside the normal course of business for the entity or that otherwise appear to be unusual due to their timing, size, or nature.

Related Party Transactions:

Lastly, AU-C Section 550, *Related Parties*, paragraph .16 requires auditors to inquire of entity officials and employees regarding related party transactions (RPT). RPT is defined, for governments, by Governmental Accounting Standards Board (GASB) Codification 2250.103 which says,

Examples of related party transactions include transactions (a) between a government and its related organizations, joint ventures, and jointly governed organizations; (b) between a government and its elected and appointed officials, management, or members of their immediate families; and (c) between a government and trusts for the benefit of employees, such as pension and other postemployment benefit trusts that are managed by or under the trusteeship of the government's management.

Please keep the above terms and considerations in mind when completing the questionnaire below. Questions regarding this inquiry can be directed to your auditors.

**FRAUD RISK ASSESSMENT QUESTIONNAIRE (FRAQ)
FOR STATE AND LOCAL GOVERNMENTS**

| Standard Inquiry of Those Charged with Governance (including governing body members) | | |
|---|-----------------|--|
| Name, Title | | |
| Date | | |
| Contact Info (phone #, if desired) | | |
| Fraud Risk Consideration | Response | |
| 1. Document your understanding of risks of fraud in the entity, including any specific fraud risks the entity has identified or account balances or classes of transactions (such as outside cash collection points for ticket sales or utility payment or significant estimates included in the financial statements like compensated absences) for which a risk of fraud may be likely. | | |
| 2. How has management (including the CEO) reported to you and the governing body how internal control serves to prevent, deter, or detect material misstatements due to fraud? (For example, have there been discussions of things like segregation of duties or review and approval of financial or other information by the governing body?) | | |
| 3. How does the entity exercise fraud oversight activities and what is your role in those activities? (For example, what written fraud policies and procedures exist and how is compliance with those policies monitored?) | | |
| 4. Are you aware of any fraud, misuse of funds, or theft or suspected fraud, misuse of funds, or theft? If Yes, please describe. | {Yes or No} | |
| 5. Are you aware of allegations of fraud or suspected fraud, misuse of funds, or theft affecting the entity, for example, received in communications from employees, former employees, analysts, regulators, or others? If Yes, please describe. | {Yes or No} | |
| 6. Are you aware of any significant unusual or questionable financial transactions? | {Yes or No} | |
| If Yes in 6 above, please describe the nature, terms, and business purpose (or the lack thereof) of those transactions and whether such transactions involved related parties. | | |
| 7. Are you aware of any significant related party transactions or conflicts of interest involving employees or officials? | {Yes or No} | |
| If Yes in 7 above, what is your understanding of the entity's relationships and transactions with related parties or conflicts of interest that are significant to the entity? | | |
| If Yes in 7 above, do you have concerns regarding relationships or transactions with related parties or conflicts of interest and, if | {Yes or No} | |

**FRAUD RISK ASSESSMENT QUESTIONNAIRE (FRAQ)
FOR STATE AND LOCAL GOVERNMENTS**

| | | |
|---|------------------------|--|
| <i>so, what is the substance of those concerns?</i> | | |
| <i>Additional Comments or Concerns to discuss:</i> | | |
| <i>Would you like a follow-up call to further discuss any of the above responses? If Yes, please include contact information above and/or here.</i> | {Yes or No} | |
| <i>By signing here, I confirm to the best of my knowledge and belief, the responses included above represent my understanding of fraud risks and related mitigation strategies as well as all information relating to any actual or potential fraud within the entity.</i> | Signature ⁱ | |

ⁱ If responding to this via email, please attach the completed form and acknowledge in the body of the email the form has been completed and returned via email in lieu of a signature.



Workforce Development Board #1

WDB #1

Crystal Keaton, Director

4057-A Gallia Pike
Franklin Furnace, OH 45629
(740) 259-6943

“CB” Herrmann, WDA #1 Chair
Daryll Gray, Chief Elected Official

www.omjwda1.org

MEMORANDUM OF UNDERSTANDING

Workforce Development Board Area 1’s--GRIT Project (Growing Rural Independence Together),

and

Trillium Piketon, LLC

Re: Collaboration to support union jobs in underserved communities

BACKGROUND

This Memorandum of Understanding (“MOU”) is entered into between Workforce Development Board Area 1’s GRIT (Growing Rural Independence Together) Project (“GRIT”) and Trillium Piketon, LLC (“Trillium”) (collectively referred to as the “Parties”). The Parties are committed to establishing a partnership and a plan to effectively engage, recruit, train and employ area residents from underrepresented communities in Jackson, Pike, Ross and Scioto counties. This partnership is crucial to ensure access and training for good union jobs that will be created by Trillium Piketon, LLC.

WHEREAS, Trillium is developing an Integrated Clean Industrial Hub to produce hydrogen and to manufacture clean ammonia and clean silicon on the site of the former Portsmouth Gaseous Diffusion Plant (PORTS) in Pike County, Ohio,

WHEREAS, GRIT is a collaborative approach to building a high-demand workforce and stimulating economic growth,

WHEREAS, the mutual goal of shared economic empowerment is a driving force behind this partnership,

WHEREAS, the Parties acknowledge and agree on the critical role that skilled and dedicated workers from our local communities, and the area’s professional workforce training infrastructure, can play in making the Trillium Piketon facility an efficient and productive model for workforce collaboration,

WHEREAS, the Parties are resolute in their commitment to this Memorandum of Understanding (“MOU”) and formally pledge to create and execute a comprehensive plan to assist potential workers from underserved communities to have access to the highly skilled, good-paying jobs created by and around Trillium Piketon, LLC,



OhioMeansJobs

Adams, Brown, Pike & Scioto Counties

A proud partner of the
American Job Center network

A proud partner of American Job Center network

Locations: Adams County

19221 St. Rt. 136
Winchester, OH 45697

937-695-0316
800-233-7891

Brown County

406 W. Plum Street
Georgetown, OH 45121

937-795-0316
800-553-7393 Ext 261

Pike County

941 Market Street
Piketon, OH 45661

740-289-2371

Scioto County

433 Third Street
Portsmouth, OH 45662

740-354-7544

NOW, THEREFORE, by signing this MOU, the Parties confirm their unwavering commitment to work together in good faith to create and execute a plan that will ensure potential workers from underserved communities have the opportunity to access the new jobs created by Trillium Piketon, LLC.

Signed for Trillium Piketon, LLC
Sam Belcher, CEO

Date

Signed for Workforce Development Board Area 1--GRIT Ohio
CB Herrmann, Board Chair

Date

Signed for Workforce Development Board Area 1--GRIT Ohio
Crystal Keaton, Director

Date



Workforce Development Board #1

WDB #1

Crystal Keaton, Director

951 Vern Riffe Drive
 Lucasville, OH 45648
 740-259-6826

“C.B” Herrmann, WDA #1 Chair
 Daryll Gray, Chief Elected Official

www.omjwda1.org

Memorandum of Understanding

Between Workforce Development Board Area 1 (WDA 1)

And Future Plans

Parties: This Memorandum of Understanding (hereinafter referred to as MOU) is made and entered into by and between the Workforce Development Board Area 1 (hereinafter referred to as WDB1), whose address is 4057A Gallia Pike, Franklin Furnace, OH 45629 and Future Plans whose address is 10680 Robert Lane, Chagrin Falls, OH 44023.

Purpose: The purpose of this MOU is to establish a partnership under which the GRIT Project’s Virtual Job Center/Ecosystem initiatives can be met. Future Plans will purchase (proposed closing date – September 30th) the former Chatfield College (99 acres and 10 dwellings) located in Brown County, to provide a safe and secure location in Appalachia Ohio to meet the recovery needs, close the workforce development gaps, support regional wellness, and address the housing shortage in the region, especially as it relates to women and their minor children. Future Plans is purchasing this property with State of Ohio Capital Budget funding: \$3,000,000.

Future Plans with funding from the GRIT Project will renovate, furnish, upkeep maintenance, and establish/operate remote work center ecosystem at a cost not to exceed \$2,012,500.

Term of MOU: This MOU is effective as of September 25, 2024 and shall remain in full force and effect for not longer than June 30, 2025. This MOU may be terminated without cause, by either party upon fourteen (14) days written notice, which notice shall be delivered by hand or by certified mail to the address listed above.

Future Plans Responsibilities: To develop and provide a location in Brown County for employer engagement with job seekers to provide career exploration, career pathway development and planning, training, and employment recruitment events, etc. The project will meet the space requirements for remote employment and multiple workforce activities, including utilities, broadband internet service, general office space, parking, security, ADA requirements, and be accessible via public transportation route. Future Plans will do so through contracting with service vendors to prepare the space adequately for

A proud partner of American Job Center network



| Locations: Adams County | Brown County | Pike County | Scioto County |
|---|--|--|--|
| 19221 St. Rt. 136 Winchester, OH 45697 | 406 W. Plum Street Georgetown, OH 45121 | 941 Market Street Piketon, OH 45661 | 433 Third Street Portsmouth, OH 45662 |
| 937-695-0316 800-233-7891 | 937-795-0316 800-553-7393 Ext 261 | 740-289-2371 | 740-354-7545 |

commercial purposes utilizing Future Plans procurement and financial policy/procedures; see Attachment #1. Future Plans is responsible for all liability of the project during and after this MOU. The project is not to exceed more than \$2,012,500 for the following: renovate and furnish existing classrooms, labs, office spaces, dorms, kitchens, maintenance buildings, and other buildings on the “Chatfield Campus” to be utilized as a Remote Work Center Ecosystem. Provide routine maintenance to the campus through building and grounds upkeep. Establish and operate a remote work center ecosystem in a self-sustaining manner. Also includes architect, permit fees and prevailing wage cost on building project.

After completion Future Plans will operate and maintain center.

Future Plans must invoice WDA1 for all cost related to the Virtual Job Center/Ecosystem project no later than June 30, 2025.

Responsibilities of WDA1: Providing technical assistance with using GRIT Grant funds. Reimbursing invoices related to center within 30 days of receiving invoices; all invoices must be received by June 30, 2025 and shall not cost more than \$2,012,500.00 for work described previously in this document and shown in the chart below.

| Line Item | Funding Amount |
|---|----------------|
| Operational: Staffing/Indirect/Maintenance/Technology related licensing agreements | \$487,500 |
| Furniture/Equipment/Appliances/Supplies to support the remote work center and ecosystem; including office spaces, shared-work spaces, child care centers, computer labs, training rooms, dorms, common spaces—kitchens & breakrooms. Also the purchase of existing equipment on the property including tractors, tractor equipment, buildings and ground maintenance tools/equipment, 2 used vehicles for ground maintenance/snow removal & campus security purposes. | \$575,000 |
| Renovations: to remote work spaces/ecosystem, classroom style training rooms, hands on training labs, work-based training centers, residential housing/dorms, child care center, industrial kitchen. This work may include work to utilities, HVAC, plumbing, electrical, carpentry, sheet rock, painting, multimedia connections and other reasonable renovations to ensure space is safe, secure and assessable for use as a remote work center/ecosystem. | \$950,000 |
| TOTAL | \$2,012,500 |

WDA 1 will provide best practices on how to operate and maintain center, but will not be responsible for the center’s operation.

General Provisions:

Either party may request changes to this MOU. Any changes, modifications, revisions or amendments to this MOU which are mutually agreed upon by and between the parties to this MOU shall be incorporated by written instrument, and effective when executed and signed by all parties to this MOU.

By signing, each party affirms that this MOU accurately describes the negotiated responsibilities and costs.

Representative from WDA 1 Signature

Date

Printed Name and Title

Representative from Future Plans

Date

Printed Name and Title

Attachment 1



Procurement Policy

January 1, 2023

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Procurement Policy

Introduction and Purpose:

In order to maintain the highest standards of conduct and ethics, Future Plans (FP) has adopted this Procurement Policy to ensure that goods and services purchased by FP are obtained in a transparent, cost-effective manner and in compliance with applicable federal and state laws. The courses of action outlined in this policy are above and beyond Future Plan's system of internal controls over purchases, as documented in the FP's Financial and Accounting Policies Manual.

The acquisition processes described in this Policy apply to all purchases made with state and federal funds by Future Plans' employees, directors, officers, or agents. Purchases may also be subject to prior funding source approval and additional requirements imposed by grants or contracts. Program directors are responsible for reviewing/adhering to any such additional requirements and ensuring that contractors and vendors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

Policy:

- **Application of Policy:** This Policy applies to contracts for purchases, services, and construction or repair work funded with state and federal financial assistance (direct or reimbursed). The requirements of this Policy also apply to any sub-recipient of the funds. All state and federally funded projects, whether funded in part or wholly, are subject to the Uniform Administrative Requirements, Cost Principles and Audit Requirements for federal awards (Uniform Guidance) codified at 2 C. F. R. Part 200 unless otherwise directed in writing by the federal agency or state pass-through agency that awarded the funds.
- **Compliance with Federal Law:** All procurement activities involving the expenditure of state and federal funds must be conducted in compliance with the Procurement Standards codified in 2 C. F. R. 200.318 through 200.327 unless otherwise directed in writing by the federal agency or state pass-through agency that awarded the funds. Future Plans will follow all applicable state and federal procurement requirements when expending state and federal funds. Should the awarding agency have more stringent

requirements, the most restrictive requirement shall apply so long as it is consistent with state and federal law.

- **Contract Award/Selection:** Price should be one of the factors in the evaluation of responses, but the requesting department is not required to take the lowest price if other factors are important to the decision. There should be an objective method for selection, and any factors for evaluation and selection should be listed in the procurement documents. Awards shall be made to the bidder or offeror whose bid is responsive to the solicitation and is most advantageous to Future Plans (price, quality and other factors considered). A bid may be rejected when it is in the best interest of Future Plans to do so.
- **No Evasion:** No contract may be divided to bring the cost under bid thresholds or to evade any requirements under this Policy or state and federal law.
- **Contract Requirements:** All contracts paid for in whole or in part with state and federal funds shall be in writing. The written contract must include or incorporate by reference the provisions required under 2 C. F. R 200.327 and as provided under 2 C. F. R. Part 200, appendix II.
<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200/appendixAppendix%20II%20to%20Part%20200>
- **Contractors' Conflict of Interest:** Designers, suppliers and contractors that assist in the development or drafting of specifications, requirements, statements of work, invitation for bids or requests for proposals shall be excluded from competing for such requirements.
- **Approval and Modification:** The administrative procedures contained in this Policy are administrative and may be changed as necessary at the staff level to comply with state and federal laws.

Code of Conduct:

This code of conduct will govern the performance, behavior, and actions of the Future Plans Organization, including board members, employees, directors, or agents who are engaged in any

aspect of procurement, including- but not limited to- purchasing goods and services, awarding contracts, or the administration and supervision of contracts.

- No board member, employee, officer, director, or agent of Future Plans shall participate in the selection, award or administration of a bid or contract if a conflict of interest is real or apparent to a reasonable person.
- Conflicts of interest may arise when any board member, employee, officer, director, or agent of Future Plans has a financial, family or any other beneficial interest in the vendor firm selected or considered for an award.
- No board member, employee, officer, director, or agent of Future Plans shall do business with, award contracts to, or show favoritism toward a member of his/her immediate family, spouse's family or to any company or vendor who either employs or has any relationship to a family member; or award a contract or bid which violates the spirit or intent of federal, state and local procurement laws and policies established to maximize free and open competition among qualified vendors.
- Future Plans' board members, employees, officers, directors, or agents shall neither solicit nor accept gratuities, gifts, consulting fees, trips, favors or anything having a monetary value in excess of \$50 from a vendor, potential vendor, or from the family or employees of a vendor, potential vendor or bidder, or from any party to a subagreement or ancillary contract.
- As permitted by law, rule, policy or regulation, Future Plans shall pursue appropriate legal, administrative, or disciplinary action against a board member, employee, officer, director, agent, vendor, or vendor's agent who is alleged to have committed, has been convicted of or pled no contest to a procurement related infraction. If said person has been convicted, disciplined, or pled no contest to a procurement violation, said person shall be removed from any further responsibility or involvement with grants management, procurement actions or bids, consistent with state or federal policy.

General Procurement Standards and Procedures:

The requesting department shall procure all contracts in accordance with the requirements of this section of the policy.

- **Necessity:** Purchases must be necessary to perform the scope of work and must avoid acquisition of unnecessary or duplicative items. The requesting department is encouraged

to check with the federal surplus property agency prior to buying new items when feasible and less expensive. Strategic sourcing should be considered with other departments and/or agencies who have similar needs to consolidate procurements and services to obtain better pricing. If consolidated procurement methods are used, federal and state programs will be allocated costs based on actual use of products/services and/or another federal/state approved method of allocation of costs. Consolidated procurements will be evaluated to ensure no duplication of reimbursement requests occur.

- **Clear Specifications:** All solicitations must incorporate a clear and accurate description of the technical requirements for the materials, products, or services to be procured, and shall include all other requirements which bidders must fulfill and all other factors to be used in evaluating bids or proposals. Technical requirements must not contain features that restrict competition.
- **Notice of Funding Type:** All bid solicitations must acknowledge the type of funding (federal, state, etc.) for the contract. In addition, all prospective bidders or offerors must acknowledge that funding is contingent upon compliance with all terms and conditions of the funding award.
- **Compliance by Contractors:** All solicitations shall inform prospective contractors that they must comply with all applicable federal, state, and local laws; regulations; executive orders; and terms and conditions of the funding award.
- **Fixed Price:** Solicitations must state that bidders shall submit bids on a fixed price basis and that the contract shall be awarded on this basis unless otherwise provided for in this Policy. Cost plus percentage of cost contracts is prohibited. Time and materials contracts are prohibited in most circumstances. Time and materials contracts will not be used unless no other form of contract is suitable and the contract includes a “not to exceed” amount. A time and materials contract shall not be awarded without express written permission of the federal, state, or local agency or pass-through agency that awarded the funds.
- **Use of Brand Names:** When possible, performance or functional specifications are preferred to allow for more competition leaving the determination of how to reach the required result to the contractor. Brand names may be used only when it is impractical or uneconomical to write a clear and accurate description of the requirement(s). When a brand name is listed, it is used as reference only and “or equal” must be included in the description.

- **Lease vs. Purchase:** Under certain circumstances, it may be necessary to perform an analysis of lease versus purchase alternatives to determine the most economical approach.
- **M/WBE Participation:** The requesting department shall take all necessary affirmative steps to assure that minority businesses, women's business enterprises and labor surplus area firms are used when possible. If economically feasible, procurements may be divided into smaller components to allow maximum participation of small and minority businesses and women business enterprises. The procurement cannot be divided to bring the cost under bid threshold or to evade any requirements under this Policy.
- **Documentation:** Documentation must be maintained by the requesting department detailing the history of all procurements. The documentation should include the procurement method and rationale for the procurement method used, contract type, contractor selection or rejection, basis for contractor selection, price, sources solicited, public notices, cost analysis, bid documents, addenda, amendments, contractors responsiveness, notice of award, allocation of consolidated procurements, copies of notices to unsuccessful bidders or offerors, record of protests or disputes, notice to proceed, purchase order and contract. All documentation relating to the award of any contract must be made available to the granting agency upon request. The requesting department shall retain such documentation for at least five years after the final payment for the goods or services; or as required by the funder pursuant to the applicable funding agreement, whichever is later.
- **Cost Estimate:** For all procurements costing over \$250,000, the requesting department shall develop an estimate of the cost of the procurement prior to soliciting bids. Cost estimates may be developed by reviewing prior contract costs, online review of similar products or services, or other means by which a good faith cost estimate may be obtained. Cost estimates for construction and repair contracts may be developed by the project designer.
- **Debarment:** No contract shall be awarded to a contractor included on the federal, state, or local municipality debarred bidders list. Long-term vendor relationships will be reviewed on annual basis.
- **Contractor Oversight:** The requesting department receiving federal, state, or local funding must maintain oversight of the contract to ensure the contractor is performing in accordance with the contract terms, conditions, and specifications.

- **Open Competition:** Solicitations shall be prepared in a way to be fair and provide open competition. The procurement process shall not restrict competition by imposing unreasonable requirements on bidders, including but not limited to unnecessary supplier experience, excessive or unnecessary bonding, specifying a brand name without allowing for “or equal” products, or other unnecessary requirements that have the effect of restricting competition.
- **Prequalified List of Firms/Vendors:** The requesting department shall ensure that all prequalified lists of firms that are used in acquiring goods and services are current and include enough qualified sources to ensure maximum open and free competition. The requesting department shall not preclude potential bidders from qualifying during applicable solicitation periods.
- **Geographic Preference:** No contract shall be awarded on the basis of a geographic preference except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference.
- **Domestic Preference:** Where appropriate and to the greatest extent practicable and consistent with law, the requesting department shall provide a preference for the acquisition, purchase or use of goods, products or materials produced in the United States.

Methods of Procurement

All procurements made under this policy shall:

- Be necessary, at a reasonable cost, documented, not prohibited by law or the applicable funding source and made in accordance with this Policy.
- Avoid acquiring unnecessary or duplicative items.
- Engage responsible vendors who possess the ability to perform successfully under the terms and conditions of a proposed procurement. The requesting department shall consider the following: vendor integrity, public policy compliance, past performance record and financial and technical resources.

Classification of Purchases

Micro Purchases (\$10,000 or less):

The acquisition of supplies or services, the aggregate dollar amount of which does not exceed \$10,000 may be made without the use of price comparisons or formal competition if the costs incurred are fair and reasonable. Such a determination should be based on research, experience, purchase history or other information and should be documented accordingly. To the extent practicable, purchases must be distributed among qualified suppliers.

Note, should the awarding agency require a lower micro purchases threshold, an adjustment to the threshold will be made for purchases pertaining to that agency.

Small Purchases (\$10,001-\$250,000):

A small purchase is the acquisition of supplies or services, the aggregate cost which is greater than the micro purchase threshold (\$10,000) but does not exceed the simplified acquisition threshold (\$250,000). Currently, this range is \$10,001-\$250,000. When making small purchases, price or rate quotations must be obtained from 3 qualified sources and retained to document the procurement decision.

Quotations may be solicited verbally. However, price and rate quotes obtained verbally must be confirmed in writing. Moreover, the staff responsible for the engagement and oversight of the contractor shall maintain documentation of its solicitation and engagement process.

Major Purchases (Over \$250,000):

The term "major purchase" is used here as a convenience to denote purchases of goods or services that exceed the simplified acquisition threshold of \$250,000. At this level, formal procurement methods are required. Formal procurement methods also require public advertising unless circumstances dictate that noncompetitive procurement is appropriate (See Section on Noncompetitive Procurement).

A cost estimate is also required. The requesting department shall develop an estimate of the cost of the procurement prior to soliciting bids. Cost estimates may be developed by reviewing prior contract costs, online review of similar products or services, or other means by which a good faith cost estimate may be obtained

The following formal procurement methods are used for the purchasing of goods and services above the simplified acquisition threshold (SAT) of \$250,000.

- 1) **Sealed Bids:** Sealed bids are publicly solicited request for bids or proposals at a fixed contract price. The contracts are awarded to the bidder whose bid conforms in all material respects to the specified requirements and offers the lowest price. Seal bids

are the preferred method for procuring construction contracts if the following conditions apply:

- A complete, adequate, and realistic specification or purchase description is available;
- Two or more responsible bidders are willing and able to compete effectively for the business; and
- The procurement lends itself to a fixed price contract and the selection of the successful bidder can be made principally based on price.

If sealed bids are used, the following requirements apply:

- The invitation for bids shall be publicly advertised;
- Bids must be solicited from an adequate number of known suppliers, providing them sufficient time to respond;
- The invitation for bids must fully describe the items or services sought, so that the bidder may properly respond;
- All bids will be opened at the time and place prescribed in the invitation for bids;
- A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder. Where specified in bidding documents, factors such as discounts, transportation cost and life cycle costs must be considered in determining which bid is lowest. Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and
- Any or all bids may be rejected if there is a sound documented reason.

2) Proposals: Competitive proposals are used when either a fixed price or cost reimbursement type contract is awarded and when there are several bidders in the market who likely have the qualifications and ability to offer a price that is affordable. This process is generally used when conditions are not appropriate for the use of sealed bids. They are awarded in accordance with the following requirements:

- Must have a written method for conducting technical evaluations of the proposals received and making selections.
- Identify evaluation criteria and relative importance of each criteria (criteria weight) in the RFP.
- Requests for proposals must be publicized and identify all evaluation factors and their relative importance.

- Proposals must be solicited from an adequate number of qualified offers.
- Take affirmative steps to solicit price quotes from M/WBE vendors and suppliers as provided under Uniform Guidance 2 C. F. R. 200.321.
- Consider all responses to the publicized RFP to the maximum extent practical.
- Award the contract to the responsible firm with most advantageous proposal taking into account price and other factors identified in the RFP.
- In cases involving the procurement of architectural/engineering (A/E) services, the requesting department may use competitive proposal procedures for qualifications whereby offerors' qualifications are evaluated, and the most qualified offeror is selected, subject to negotiation of fair and reasonable compensation. The method, where price is not used as a selection factor, can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services through A/E firms that are a potential source to perform the proposed effort.

3) Noncompetitive Procurement: There are specific circumstances in which noncompetitive procurement can be used. Noncompetitive procurement can only be awarded if one or more of the following circumstances apply:

- **Sole Source:** a contract may be awarded without competitive bidding when the item is available from only one source. The requesting department shall document the justifications for and lack of available competition for the item.
- **Public Exigency/Emergency:** A contract may be awarded without competitive bidding when there is a public exigency. A public exigency exists when there is an imminent or actual threat to public health, safety and welfare and the need for the item will not permit the delay resulting from a competitive bidding process.
- **Inadequate Competition:** A contract may be awarded without competitive bidding when competition is determined to be inadequate after attempts to solicit bids from several sources as required under this policy does not result in a qualified winning bidder.
- **Micro Purchase:** A contract may be awarded without competitive bidding when the acquisition of goods or services does not exceed the micro purchase threshold of the aggregate amount of \$10,000.
- **Awarding Agency Approval:** A contract may be awarded without competitive bidding with the express written authorization of the federal agency or state pass-through agency that awarded the federal funds so long as awarding the contract without competition is consistent with state law.

Bonding Requirements

For construction or facility improvement contracts or subcontracts exceeding the Simplified Acquisition Threshold of \$250,000, the following minimum requirements apply:

- A bid guarantee from each bidder equivalent to five percent of the bid price.
- The bid guarantee must consist of a firm commitment such as a bid bond, certified check or other negotiable instrument accompanying a bid as assurance that the bidder will, upon acceptance of the bid, execute such contractual documents as may be required within the time specified.
- A performance bond on the part of the contractor for 100 percent of the contract price. A performance bond is one executed in connection with a contract to secure fulfillment of all the contractor's requirements under such contract.
- A payment bond on the part of the contractor for 100 percent of the contract price. A payment bond is one executed in connection with a contract to assure payment as required by law of all persons supplying labor and material in the execution of the work provided for in the contract.