

THE ALLIANCE OF SOUTHWEST MISSOURI

PROPOSAL FOR SERVICES  
WIOA THIRD-PARTY PROFESSIONAL EMPLOYER  
ORGANIZATION (PEO) STAFFING CONTRACT

Prepared for:

THE WORKFORCE INVESTMENT BOARD OF  
SOUTHWEST MISSOURI

March 7, 2019

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## **ORGANIZATION INTRODUCTION**

The Alliance of Southwest Missouri exists to build safer and healthier communities by assisting individuals and families in Jasper, Newton, Barton, and McDonald Counties. The Alliance does this by identifying concerns, locating resources, and facilitating change through community collaborations, education, and prevention work.

The Alliance's four county service area covers approximately 2,400 miles with a total population of approximately 211,000 people. The service area is largely rural with only one city exceeding a population of 30,000.

Established in 1998, the Alliance is currently celebrating 20 years of serving the communities of Southwest Missouri and making significant contributions to the safety and strength of the families who live in these communities. The organization serves an estimated 65,000 people annually.

The Alliance is housed in Joplin and also operates out of a satellite office in McDonald County. The staff is comprised of 10 full time and six part-time employees. The Alliance Board of Directors is made up of nine community volunteers with representation from a broad base of community sectors.

The Alliance provides multifaceted safety education to children and youth and is home to community prevention programs including Safe Kids, Educare, DYS Youth Mentoring, Substance and Violence Abuse Prevention, Child Abuse and Neglect Prevention, and Project CARE McDonald County

The Alliance also supports four active community coalitions, which are charged with planning outreach and addressing gaps in the areas of youth substance use, health, and safety. These coalitions are: Carthage Caring Community Coalition, Joplin Area Safe Teens Coalition, Neosho Community Coalition, and McDonald County Coalition. The direction of each coalition is unique to the issues and needs of the specific community it serves.

## **PROPOSAL**

The Alliance offers to provide staffing services for the Workforce Investment Board in the amount of \$542,228.00 for a one-year contract period with the option to extend the agreement(s) for three additional one-year period based on need, performance, and funding availability.

If selected as the PEO, the Alliance shall provide the following for all WIOA program staff covered by this contract and WIOA work experience activities as needed:

- Payroll Processing
- Payroll Tax Reporting
- Employee Benefits Administration
- Human Resources Management
- Safety and Risk Management
- Participant Work Comp

If selected as the PEO, the Alliance will work alongside other education and workforce agencies. The Alliance will also collaborate with WIB and the One-Stop Operator to ensure a smooth and successful employment process for all involved.

If selected as the Professional Employer Organization, the Alliance would work closely with Preferred Family Health Care to ensure a smooth transition of WIOA program staff. As recommended in the RFP, the Alliance has already been in contact with Leah Barber with PFH to better understand current staff wages and benefits and to prepare this proposal accordingly.

Should the Workforce Investment Board or any proposal reviewers have any questions about this proposal or any of its contents or attachments, please contact Jen Black, Executive Director of the Alliance of Southwest Missouri, at [jblack@theallianceofswmo.org](mailto:jblack@theallianceofswmo.org) or (417) 782-9899.

## PROPOSAL ELEMENTS

### ◆ **Previous WIOA or Related Experience: Describe all experience related to the WIA, WIOA, or other federal or state programs and legislation**

The Alliance of Southwest Missouri is one of 20 Community Partnerships in the state of Missouri. Community Partnerships operate under the Family and Community Trust or FACT. The Alliance has 20 years of experience administering various federal and state programs and currently administers seven different federal and state contracts.

The Alliance's Chief Financial Officer, Neal Ball, served as the Chief Financial Officer for the local Private Industry Council (the precursor of the Workforce Investment Board) from December 1994 until June 1995 when he was named the Executive Director for the organization. The CFO served as Executive Director from June 1995 until March 2004 when the programs transitioned to the Workforce Investment Board.

The Alliance's current Fiscal Assistant, Ron Walters, served as Staff Accountant for the local Private Industry Council from September 2001 until August 2004. His duties included payroll for the employees and the Work Experience participants. The Fiscal Assistant also served as an auditor for 12 years for the State of Louisiana. His time of employment included auditing the service delivery areas and Job Training Partnership Act, a precursor to Workforce Investment Opportunity Act.

### ◆ **Qualification for Staff Management: Explain any qualifications regarding supervision, hiring, performance evaluations of employees**

The Alliance can offer a wealth of management experience. Among management staff, the Alliance offers 60 plus years of management experience covering a broad range of services including staff supervision, hiring and firing proceedings, employee training, monitoring and evaluations, human resources, board management, fiscal management, auditing, and contract execution.

The Alliance has 20 years of experience administering various federal and state programs and currently administers seven different federal and state contracts covering all agency employees. Some of these include contracts with the Department of Youth Services, the Department of Social Services, Children's Trust Fund, Caring Communities as well as a tax credit contract with the Department of Economic Development.

### ◆ **Compliance/Quality Assurance Experience: Detail all experience relating to monitoring, auditing, reviewing of federal, state, or local laws and regulations as a PEO.**

Each contract held by the Alliance of Southwest Missouri adheres to its own set of compliance standards for reporting purposes, which the organization manages and maintains. The Alliance monitors its programs on a monthly basis through its agency dashboard. All programs are audited annually and observe local, state, and federal regulations.

### ◆ **Description of payroll services offered, including:**

#### ○ **Payment methods available;**

Employees of the Alliance of Southwest Missouri will receive their pay using the direct deposit method. Deposits will be made into the financial institution account of the employee, and a deposit advice will be given to the employee verifying the amount of the deposit and detailing the payroll data.

Full time and part time employees who have been employed by the Alliance for ninety (90) days are required to receive their payroll earnings using a direct deposit account. Rare exceptions will be made with the Executive Director's approval only. Information concerning the employee's financial institution and checking/savings account is to be given to the Executive Director within sixty (60) days of employment. Employees are encouraged to use the direct deposit method within their first thirty (30) days of employment.

Reimbursement for eligible and approved expenses is paid via direct deposit.

**o Payroll input methods (phone, fax, internet), including process and timelines;**

The Alliance utilizes a timesheet system for inputting payroll. Electronic timesheets could be managed through an Excel spreadsheet.

All nonexempt employees are required to complete accurate weekly time reports showing all time actually worked. These records are required by governmental regulations and are used to calculate regular and overtime pay. At the end of each pay period, the employee and his or her supervisor must sign the timesheet attesting to its correctness before forwarding it to the Human Resources department.

It is the policy of the Alliance of Southwest Missouri to pay all employees bi-weekly. Pay periods run from Saturday through Friday. Pay periods end every other Friday at 11:59 PM. Paychecks are disbursed by direct deposit on the alternate Fridays.

If payday falls on a holiday, employees will be paid on the last regularly scheduled workday prior to the holiday.

Payroll deductions are provided for all deductions required by law and certain voluntary deductions requested by employees. Deductions required by law are Federal Withholding Taxes, Social Security, State Income Tax, Garnishments, Tax Liens, and Wage Assignments. No other deductions will be made without written authorization from the employee.

Direct Deposit is the policy; any exception must be approved by Executive Director.

**o Filing/reporting (new hire, W2, W4, FICA) to local, state, and federal agencies;**

- New hire employee information is reported to the State of Missouri as required by Missouri statute.
- Federal and Missouri W2 forms are made available in the new employee packet as part of the orientation process. Assistance is provided to complete the form if needed. This information is used to set up the employee record in the automated payroll system and becomes a part of the permanent employee file.
- Employees can complete a new Federal or State W2 due to changes in the tax law or with life changes. The updated information is entered in the employee record in the automated payroll system and is placed in the permanent employee file.
- W4s for each employee are created after the last payroll in the calendar year. The W4s are issued to the employee prior to January 31<sup>st</sup> of the following year. W4s and the accompanying W3 statements are submitted to the Internal Revenue Service and the Missouri Department of Revenue prior to January 31<sup>st</sup>

of the following year. Currently we have no local jurisdictions requiring submission of W4 statements.

- Federal Form 941 showing the FICA, Medicare, and Federal Withholding due and the associated timely deposits are filed based on the calendar quarter. The Missouri 941 showing the Missouri Withholding due is filed along with the related deposit on a monthly basis.

**o Tax reporting and compliance;**

- FICA, Medicare, Federal withholdings (employee and employer share) are deposited through the Federal web based EFTPS system within three business days as per IRS regulations.
- Federal Form 941 showing the FICA, Medicare, and Federal Withholding due and the associated timely deposits are filed based on the calendar quarter. The Missouri 941 showing the Missouri Withholding due is filed along with the related deposit on a monthly basis
- Missouri withholdings are deposited the 15th day of the month following the month of withholding (i.e. MO W/H for the month of January is deposited by the 15th day of February) through the Missouri Department of Revenue website as per Missouri statute.
- Missouri withholdings for a month that ends a calendar quarter (March, June, September, December) is deposited by the last day of the following month (i.e. MO W/H for the month of March is deposited by the last day of April) through the Missouri Department of Revenue website as per Missouri statute.
- Missouri Form 941 showing the Missouri Withholding due is submitted as part of the monthly deposit process. The annual Missouri 941 reconciliation is also completed and submitted as part of the processing of the December reporting and deposit process.
- The Missouri unemployment return is submitted and deposited quarterly no later than the last day of the following month (i.e. MO unemployment for the quarter ending March is deposited by the last day of April) through the Missouri Department of Labor and Industrial Relations website as per Missouri statute.

**o Reporting (certified payroll, job costing, departmental billing); and**

- The Federal Form WH-347 for certified payroll will be completed and filed as needed.
- Job Costing and Department Billing can be established and reported with each payroll as needed. We currently provide this information across multiple grants and programs.

**o Worker's Compensation.**

Workers' compensation is a "no-fault" system that provides compensation for medical expenses and wage losses to employees who are injured or who become ill because of employment.

The Alliance of Southwest Missouri pays the entire cost of workers' compensation insurance. The insurance provides coverage for related medical and rehabilitation expenses and a portion of lost wages to employees who sustain an injury on the job. The organization abides by all applicable state workers' compensation laws and regulations.

If an employee sustains a job-related injury or illness, the supervisor will complete an injury report with input from the employee and return the form to the Human Resources department. Human Resources will file the claim with the insurance organization.

Workers' compensation benefits (paid or unpaid) will run concurrently with FMLA leave, if applicable, where permitted by state and federal law. In addition, employees will not be paid vacation or sick leave for approved absences covered by the organization's workers' compensation program, except to supplement the workers' compensation benefits such as when the plan only covers a portion of the employee's salary as allowed by state law.

◆ **Description of benefits offered, including:**

o **Available health plans and benefits with network coverage in the Southwest Missouri area;**

The Alliance of Southwest Missouri recognizes the value of benefits to employees and their families. The organization supports employees by offering a comprehensive and competitive benefits program.

Medical, Dental, and Group Life Insurances are offered to all eligible full time employees. The Alliance of SWMO pays 75% of the employee premium. Employees are responsible for 25% of the employee premium and the cost of covering dependents. Currently there are two options to choose from: a HSA qualified plan or a PPO Plan. If employees choose the HSA plan, they can make additional contributions to a Health Saving Account for use towards deductibles, prescriptions, and non-covered services.

Full-time employees working thirty (30) hours or more per week are eligible for insurance on the first of the month following sixty (60) days of employment. To keep coverage in force, every insured employee must work a minimum of 30 hours per week. If employees do not join at that time, they are subject to the regulations of the insurer. The only opportunity to enroll in the group life insurance is at the time of enrollment at the completion of 60 days' employment; if not enrolled at that time coverage opportunities are forfeited.

The Alliance of Southwest Missouri provides life insurance for full-time employees who work a minimum of 30 hours per week. Employees are eligible for this benefit on the first of the month following sixty (60) days of service. The life benefit is equal to an employee's annualized base rate.

o **Availability of Section 125 cafeteria plan;**

Cafeteria Plan is offered to all eligible employees provided through Colonial Life. Some of the insurances available for purchase include Life, Accident, Cancer, Disability, and Long Term Care policies. These policies are strictly voluntary payroll deductions. The Alliance of SWMO does not contribute to these plans, however pays for the plan administration fees.

o **Availability of Health Savings Accounts;**

Currently there are two options to choose from: a HSA qualified plan or a PPO Plan. If employees choose the HSA plan, they can make additional contributions to a Health Saving Account for use towards deductibles, prescriptions, and non-covered services.

o **Availability of COBRA; and**

COBRA is available to eligible employees discontinuing employment with the Alliance. In most cases, Human Resources will conduct an exit meeting on or before the last day of employment to collect all organization property, and to discuss final pay. If applicable, information regarding benefits continuation through the Consolidated Omnibus Budget Reconciliation Act (COBRA) will be sent to the employee's home address.

**o Availability of retirement plans (401K, profit sharing, pension plans).**

A Retirement Plan in the form of a Simple IRA Pension Plan is available after one year of time employment and earned at least \$5000.00 during that year and are expected to make at least \$5000.00 in the upcoming year. The organization will match up to 3% of the employee contribution and will be deposited monthly.

**◆ Provide a description of human resource management services offered, including:**

**o Consultation/assistance for hiring (background checks, pre-employment testing, recruiting);**

The Alliance of Southwest Missouri will provide all employees with a current job description, which specifies the nature of work, responsibilities and required skills. The job description will serve as the basis for hiring, training and the annual performance evaluation.

Job descriptions will be developed before the recruitment of personnel and will be approved by the Board of Directors.

Job descriptions will include:

1. Title
2. FLSA status
3. Salary Range
4. Nature of Work narrative
5. Essential duties and responsibilities
6. Qualifications, including education, experience and other qualifications required
7. Required skills – The skills and abilities required to perform the job in a competent manner
8. Physical requirements

Job descriptions will be reviewed annually and updated as needed by the executive committee.

All offers of employment at the Alliance of Southwest Missouri are contingent upon clear results of a thorough background check. Background checks will be conducted on all final candidates and on all employees who are promoted, as deemed necessary.

Background checks will include:

- Social Security Verification: validates the applicant's Social Security number, date of birth and former addresses
- Prior Employment Verification: confirms applicant's employment with the listed companies, including dates of employment, position held and additional information available pertaining to performance rating, reason for departure and eligibility for rehire. This verification will be run on the past two employers or the previous five years, whichever comes first
- Personal and Professional References: calls will be placed to individuals listed as references by the applicant

- Educational Verification: confirms the applicant's claimed educational institution, including the years attended and the degree/diploma received
- Criminal History: includes review of criminal convictions and probation. The following factors will be considered for applicants with a criminal history:
  - The nature of the crime and its relationship to the position
  - The time since the conviction
  - The number (if more than one) of convictions
  - Whether hiring, transferring or promoting the applicant would pose an unreasonable risk to the business, its employees or its customers and vendors

The following additional background searches will be required if applicable to the position:

- Motor Vehicle Records: provides a report on an individual's driving history in the state requested. This search will be run when driving is an essential requirement of the position
- Credit History: confirms candidate's credit history. This search will be run for positions that involve management of The Alliance of SWMO funds and/or handling of cash or credit cards

**o Consultation/assistance for termination;**

The Alliance of Southwest Missouri expects employees to comply with the organization's standards of behavior and performance and to correct any noncompliance with these standards.

Under normal circumstances, the organization endorses a policy of progressive discipline in which it attempts to provide employees with notice of deficiencies and an opportunity to improve. It does, however, retain the right to administer discipline in any manner it sees fit. This policy does not modify the status of employees as employees-at-will or in any way restrict the organization's right to bypass the disciplinary procedures suggested.

Examples of reasons that will subject employees to discipline include, but are not limited to, the following:

- Inability or unwillingness to satisfactorily carry out assigned responsibilities
- Insubordination as demonstrated in an unwillingness to function in accordance with The Alliance delegation of authority
- Chronic tardiness, absence without leave, or failure to give prompt notice of absence
- Conduct unbecoming an employee of the organization such as bringing the organization service into disrepute
- Willful violation of any of the organization's policies or procedures
- Conviction of state or federal crime
- Use of bribery or political pressure to secure appointments or advantages
- Falsification of agency records
- Reporting for or being on duty in an unfit condition to effectively, efficiently, and safely perform required and assigned duties and responsibilities
- Disclosing confidential information in an unauthorized manner

Disciplinary action can be of various forms, including, but not limited to, discharge, demotion, suspension with or without pay, or involuntary change of status, whatsoever

the Executive Director deems necessary. All actions should be documented in written form and placed in the employee's official personnel record.

The following steps are suggested in the discipline procedure. All steps should be documented in the employee's personnel file.

Step 1: Informal Discussion. When a performance problem is first identified, the nature of the problem and the action necessary to correct it should be thoroughly discussed with the employee.

Step 2: Counseling. If a private informal discussion with the employee has not resulted in corrective action, following a thorough investigation, the supervisor should meet with the employee and (a) review the problem, (b) permit the employee to present his or her views on the problem, (c) advise the employee that the problem must be corrected, (d) inform the employee that failure to correct the problem will result in further disciplinary action which may include discharge, and (e) issue a counseling notice to the employee.

Step 3: Reprimand. If satisfactory performance and corrective action are not achieved under Steps 1 and 2, the supervisor and his or her superior should meet with the employee in private and proceed via (a) through (d) above, and issue a reprimand notice to the employee.

Step 4: Suspension. Supervisors have the authority to temporarily remove employees from the workplace, with or without pay, if approved in advance by the department director and the director of Human Resources. An exempt employee generally may not be suspended without pay for less than a full day, and the suspension must be related to written workplace conduct rules applicable to all employees, e.g., such as a written policy prohibiting sexual harassment or workplace violence.

Step 5: Failure to improve. Failure to improve performance or behavior after the written warning or suspension can result in termination.

The progressive disciplinary procedures described above also may be applied to an employee who is experiencing a series of unrelated problems involving job performance or behavior.

In cases involving serious misconduct, or any time the supervisor determines it is necessary, such as a major breach of policy or violation of law, the procedures contained above may be disregarded. Typically, the supervisor should suspend the employee immediately (with or without pay) and an investigation of the incidents leading up to the suspension should be conducted to determine if any further action, such as termination, should be taken.

There are four general types of employee terminations:

1. Resignation with Notice: In all cases of voluntary resignation (one initiated by the employee), employees are asked to provide a written notice to their supervisors at least two weeks (10) business days in advance of the last day of work. The two week (10) business days must be actual working days. Holidays and paid time off (PTO) will not be counted toward the two-week notice.

Employees who provide the requested amount of notice will be considered to have resigned in good standing and generally will be eligible for rehire.

In most cases, Human Resources will conduct an exit meeting on or before the last day of employment to collect all organization property and to discuss final pay. If applicable, information regarding benefits continuation through the Consolidated Omnibus Budget Reconciliation Act (COBRA) will be sent to the employee's home address. He/she will be able to receive earned vacation pay to date of termination.

2. Resignation without Notice: The employee does not give notification two weeks in advance of intention to terminate employment. He/she will forfeit PTO pay.

3. Dismissal: The employee is terminated by The Alliance of Southwest Missouri. She/he is eligible for earned vacation pay except in the case of gross misconduct. Such misconduct might include, but are not limited to:

- Falsification of records.
- Theft or destruction of property.
- Repeated failure to follow instructions on job assignments.
- Absence of three (3) days without an acceptable excuse.
- Unlawful acts while on duty.
- Misuse of funds or property for personal gain.
- Any conduct prejudicial to continued employment.

4. Lay Off: Should it become necessary because of business conditions to reduce the number of employees or work hours, this will be done at the discretion of the organization.

Upon leaving The Alliance of Southwest Missouri employment, for whatever reason, the employee shall return employee badge, all keys, and any other property checked out to the employee. All such property must be returned or the cost of these items will be deducted from the employee's final paycheck.

**o Consultation/assistance with performance management and appraisal;**

Communication between employees and supervisors or managers is very important. Discussions regarding job performance are ongoing and often informal. Employees should initiate conversations with their supervisors if they feel additional ongoing feedback is needed.

It is the policy of The Alliance of Southwest Missouri to provide employees with written job descriptions that outline duties and responsibilities. This job description will be also reviewed at performance reviews.

Generally, formal performance reviews are conducted annually. New Employees will be given a review at the end of the ninety (60) day introductory period; after the review, the introductory period may be extended for up to an additional ninety (30) days. These reviews include a written performance appraisal and discussion between the employee and the supervisor about job performance and expectations for the coming year. These reviews are intended to assist and motivate employees to attain their maximum

potential.

In the event an employee's performance is determined to be unsatisfactory, a private conference will be held between the Executive Director and the employee to develop employee action plan with follow up meetings to improve performance.

**o Consultation/assistance with ADA/discrimination/sexual harassment/legal issues;**

The Alliance of Southwest Missouri provides equal employment opportunities to all employees and applicants for employment without regard to race, color, ancestry, national origin, gender, sexual orientation, marital status, religion, age, disability, gender identity, results of genetic testing, or service in the military. This policy applies to all terms and conditions of employment, including hiring, placement, promotion, termination, layoff, recall, transfer, leave of absence, compensation, and training.

The Alliance of Southwest Missouri expressly prohibits any form of unlawful employee harassment or discrimination based on any of the characteristics mentioned above. Improper interference with the ability of other employees to perform their expected job duties is absolutely not tolerated.

To ensure equal employment opportunities to qualified individuals with a disability, The Alliance of Southwest Missouri will make reasonable accommodations for the known disability of an otherwise qualified individual, unless undue hardship on the operation of the business would result.

The Alliance of Southwest Missouri is committed to creating and maintaining a workplace in which all employees have an opportunity to participate and contribute to the success of the business and are valued for their skills, experience, and unique perspectives. This commitment is embodied in organization policy and the way we do business at The Alliance of Southwest Missouri and is an important principle of sound business management.

Sexual and other unlawful harassment is a violation of Title VII of the Civil Rights Act of 1964 (Title VII), as amended, as well as many state laws. Harassment based on a characteristic protected by law, such as race, color, ancestry, national origin, gender, sex, sexual orientation, gender identity, marital status, religion, age, disability, veteran status, or other characteristic protected by state or federal law, is prohibited.

It is the Alliance of Southwest Missouri's policy to provide a work environment free of sexual and other harassment. To that end, harassment of The Alliance of Southwest Missouri's employees by management, supervisors, coworkers, or non-employees who are in the workplace is absolutely prohibited. Further, any retaliation against an individual who has complained about sexual or other harassment or retaliation against individuals for cooperating with an investigation of a harassment complaint is similarly unlawful and will not be tolerated. The Alliance of Southwest Missouri will take all steps necessary to prevent and eliminate unlawful harassment.

Full explanations of the Alliance's Equal Opportunity and Commitment to Diversity Policy as well as the Alliance's Harassment and Complaint Policy may be found in the attachments provided.

The Alliance maintains a formal grievance procedure. Should any employee of The Alliance of Southwest Missouri feel that they have been unjustly dealt with they shall follow the process outlined in the attached Grievance Procedure.

**o Availability and types of professional development training (staff and managerial);**

The Alliance of Southwest Missouri supports and encourage continuing education through specific program training (directly related to the mission and goals of The Alliance) and professional staff development. Approval from the Executive Director must be obtained before committing to any continuing education or professional development opportunities that would occur during normal working hours or incur any financial responsibility for the organization.

The Alliance of Southwest Missouri encourages training for all personnel. Travel and/or Training should be approved in advance by the Executive Director. Travel expenses, when approved in advance, will be reimbursed per the Expense Reimbursement Policy.

Currently, all-staff training is offered on a quarterly basis over inclusive topics such as CPR/First Aid, Trauma Informed Care, Active Shooter Training, etc.

**o Development/assistance with employee handbooks and job descriptions; and** Discussed above. Job descriptions will be developed before the recruitment of personnel and will be approved by the Board of Directors. Job descriptions will be reviewed annually and updated as needed by the executive committee.

An employee handbook detailing the Alliance's policies, procedures, and expectations will be provided to individuals upon hire.

**o Provision/handling of Unemployment and Workers Compensation**

The Alliance of Southwest Missouri pays the entire cost of workers' compensation insurance. The insurance provides coverage for related medical and rehabilitation expenses and a portion of lost wages to employees who sustain an injury on the job. The organization abides by all applicable state workers' compensation laws and regulations.

If an employee sustains a job-related injury or illness, the supervisor will complete an injury report with input from the employee and return the form to the Human Resources department. Human Resources will file the claim with the insurance organization.

Workers' compensation benefits (paid or unpaid) will run concurrently with FMLA leave, if applicable, where permitted by state and federal law. In addition, employees will not be paid vacation or sick leave for approved absences covered by the organization's workers' compensation program, except to supplement the workers' compensation benefits such as when the plan only covers a portion of the employee's salary as allowed by state law.

**o Insurance: Provide a description of the safety and risk management services offered.**

Commitment to Safety

Protecting the safety of our employees, volunteers, mentors, and visitors is the most important aspect of running our business. All employees have the opportunity and

responsibility to contribute to a safe work environment by using common sense rules and safe practices and by notifying management when any health or safety issues are present. All employees are encouraged to partner with management to ensure maximum safety for all. In the event of an emergency, staff are advised to notify the appropriate emergency personnel by dialing 911 to activate the medical emergency services.

The Alliance does enforce several safety policies including:

Cell Phone Use Policy:

All employees are expected to follow applicable local, state, and federal laws and regulations regarding the use of cellphones at all times. Employees whose job responsibilities include regular or occasional driving and who use personal cell phone or are issued a cell phone for business use are expected to refrain from using their phone while driving; use of a cellphone while driving is not required by the company. Safety must come before all other concerns.

Regardless of the circumstances, including slow or stopped traffic, employees are required to use hands-free operations or pull off to the side of the road and safely stop the vehicle before placing or accepting a call. Hands-free equipment will be provided with company-issued phones to facilitate the provisions of this policy.

Employees are encouraged to refrain from discussion of complicated or emotional matters and to keep their eyes on the road while driving at all times. Special care should be taken in situations where there is traffic or inclement weather, or the employee is driving in an unfamiliar area.

Reading or sending text messages while driving is strictly prohibited.

Employees who are charged with traffic violations resulting from the use of their phone while driving will be solely responsible for all liabilities that result from such actions.

Valid Driver's License and Proof of Insurance Policy:

It is the responsibility of the, The Alliance of Southwest Missouri employees whose positions require them to drive their own vehicles on Alliance business to provide proof of valid driver's licenses and proof of liability insurance on their vehicles. This information will be kept in the personnel files at the office of the employee responsible for HR duties.

Failure to provide this proof will result in the employee being suspended without pay until such proof is provided. If at the end of the thirty (30) days such proof has not been provided, the employee will be terminated.

It shall be the responsibility of the employee to report to their immediate supervisor traffic related incidents.

Drug-Free and Alcohol-Free Workplace Policy:

It is the policy of The Alliance of Southwest Missouri to maintain a drug- and alcohol-free work environment that is safe and productive for employees and others having business with the organization.

The unlawful use, possession, purchase, sale, distribution, or being under the influence of any illegal drug and/or the misuse of legal drugs while on organization or client premises or while performing services for the organization is strictly prohibited. The

Alliance of Southwest Missouri also prohibits reporting to work or performing services under the influence of alcohol or consuming alcohol while on duty or during work hours. In addition, The Alliance of Southwest Missouri prohibits off-premises abuse of alcohol and controlled substances, as well as the possession, use, or sale of illegal drugs, when these activities adversely affect job performance, job safety, or the organization's reputation in the community.

To ensure compliance with this policy, substance abuse screening may be conducted in the following situations:

- Pre-employment: As required by the organization for all prospective employees who receive a conditional offer of employment
- For Cause: Upon reasonable suspicion that the employee is under the influence of alcohol or drugs that could affect or has adversely affected the employee's job performance.
- Random: As authorized or required by federal or state law.
- Compliance with this policy is a condition of employment. Employees who test positive or who refuse to submit to substance abuse screening will be subject to termination. Notwithstanding any provision herein, this policy will be enforced at all times in accordance with applicable state and local law.

Any employee violating this policy is subject to discipline, up to and including termination, for the first offense.

#### Smoke-Free Workplace Policy:

Smoking is not allowed in organization buildings or work areas at any time. "Smoking" includes the use of any tobacco products (including chewing tobacco), electronic smoking devices, and e-cigarettes.

Smoking is only permitted during break times in designated outdoor areas. Employees using these areas are expected to dispose of any smoking debris safely and properly.

#### Workplace Violence Prevention Policy:

The Alliance of Southwest Missouri is committed to providing a safe, violence-free workplace for our employees. Due to this commitment, we discourage employees from engaging in any physical confrontation with a violent or potentially violent individual or from behaving in a threatening or violent manner. Threats, threatening language, or any other acts of aggression or violence made toward or by any employee will not be tolerated. A threat may include any verbal or physical harassment or abuse, attempts to intimidate others, menacing gestures, stalking, or any other hostile, aggressive, and/or destructive actions taken for the purposes of intimidation. This policy covers any violent or potentially violent behavior that occurs in the workplace or at organization-sponsored functions.

All Alliance employees bear the responsibility of keeping our work environment free from violence or potential violence. Any employee who witnesses or is the recipient of violent behavior should promptly inform their supervisor, manager, or the Human Resources Department. All threats will be promptly investigated. No employee will be subject to retaliation, intimidation, or discipline as a result of reporting a threat in good faith under this guideline.

Any individual engaging in violence against the organization, its employees, or its property will be prosecuted to the full extent of the law. All acts will be investigated, and

the appropriate action will be taken. Any such act or threatening behavior may result in disciplinary action up to and including termination

The Alliance of Southwest Missouri prohibits the possession of weapons on its property at all times, including our parking lots or organization vehicles. Additionally, while on duty, employees may not carry a weapon of any type. Weapons include, but are not limited to, handguns, rifles, automatic weapons, and knives that can be used as weapons (excluding pocket knives, utility knives, and other instruments that are used to open packages, cut string, and for other miscellaneous tasks), martial arts paraphernalia, stun guns, and tear gas. Any employee violating this policy is subject to discipline up to and including dismissal for the first offense.

The organization reserves the right to inspect all belongings of employees on its premises, including packages, briefcases, purses and handbags, gym bags, and personal vehicles on organization property. In addition, The Alliance of Southwest Missouri may inspect the contents of lockers, storage areas, file cabinets, desks, and workstations at any time and may remove all organization property and other items that are in violation of organization rules and policies.

Emergency Closings Policy:

The Alliance of Southwest Missouri will always make every attempt to be open for business. In situations in which some employees are concerned about their safety, management may advise supervisors to notify their departments that the office is not officially closed, but anyone may choose to leave the office if he or she feels uncomfortable.

Inclement Weather Policy:

If severe weather occurs, the Executive Director will determine the employees' Offices of Record (location) for the day.

Employees must call their supervisor within one-half hour of the beginning of the workday when weather conditions require that the supervisor make decisions regarding that day's employment and location.

The Alliance of Southwest Missouri is prepared to adopt additional risk management policies to further promote employee safety.

◆ **Read and complete Complaint and Grievance form.**

The Alliance of Southwest Missouri adheres to a formal Grievance Procedure described above and also included in the attachments.

◆ **Provide the following documents related to your company/organization as a whole: Organizational Chart, Voluntary Self-Identification form used for current employees, Staffing analysis as it relates to minority and non-minority groups.**

The Alliance's Organizational Chart can be located in the attachments. Employees provide self-identifying information through the Alliance's application process. Once employed, applications are maintained in the employee's official records for the life of their employment with the Alliance of Southwest Missouri and up to seven years after employment. At this time, the Alliance does not utilize a staffing analysis system or an Affirmative Action system for employee selection.

◆ **Provide copies of your company/organization policies covering the following areas: Harassment, Discrimination, Retaliation, Accommodations (disability and religious).**  
Attached: Harassment and Complaint Procedure, Equal Opportunity and Commitment to Diversity, and Grievance Procedure.

<b>RISK ASSESSMENT</b>	<b>Response</b>	<b>Evaluation/Risk</b>
<b>Assertion</b>		
<b>Management/Staffing</b>		
1.What is the turnover percentage of key management? Identify changes in management, administration, and program during the past three years.	0%	
2.Has any member of the Board, Executives, or Management been placed under investigation or been party to an investigation/ indictment in the past three years?	No	
3.What has been the percentage of staff turnover in the past three years?	3%	
4.What are the minimum qualifications for Youth program staff members?	High School Diploma, Background Check	
5.Are background checks completed on all employees?	Yes	
6.Is there regular training offered to staff, including professional development? If so, what is the frequency?	Yes, ongoing opportunities offered at least quarterly	
7. Are participants utilized in the office setting? If so, do they sign confidentiality statements?	Yes, Yes	
<b>Administrative/Program</b>		
8.Does the organization have written monitoring policies and procedures?	Yes	
9.Is there a monitoring schedule?	Yes	
10.Are there written monitoring reports? If so, when are they submitted?	Yes, Bi-monthly	
11.Are written reports reviewed? Who is responsible for signing off on the reports?	Yes, position supervisor	
12.How are policies and procedures communicated to staff?	Policies and procedures are reviewed in staff meetings. If a new policy is presented, it is presented in writing, requiring an acknowledgement signature.	
13.Do monitoring policies and procedures include action taken on findings and non-compliance?	Yes	

14. Is there an EEO/Affirmative Action Plan?	Yes	
<b>Program Services in Other Areas</b>		
15. Are all 14 elements being offered and what percentage are being utilized?	N/A – the One Stop Operator RFP outlines 14 elements. This proposal addresses the 10 elements of the Staffing Contract RFP.	
16. Are the in-school/out-of-school percentages being met?	N/A	

<b>FISCAL MANAGEMENT QUESTIONS</b>	
<b>Answer the following questions regarding your fiscal management system.</b>	
1. Do you have a copy of/access to the WIOA Law, Federal Regulations and subsequent amendments?	YES
2. Does your accounting system provide you with adequate information to prepare a monthly financial report? (Such report must be derived from a balance sheet and income and expense statements).	YES
3. Does your accounting system provide control and accountability over all funds received, property and other assets?	YES
4. Can your accounting system provide for financial reports on an accrual basis?	YES
5. Does your accounting system provide for identification of receipt and expenditure of funds separately for each funding source?	YES
6. Are your accounting records maintained in such a manner as to facilitate the tracking of funds to source documentation of the unit transaction?	YES
7. Does your accounting system have the capability to develop procedures for determining the allowability and allocability of costs in accordance with the provisions of WIOA regulations?	YES
9. Has the bank in which you would deposit State and Federal funds insured the account(s) or put up collateral or both, which is equal to the largest sum of money which would be in such bank account(s) at any one point in time during the contract period?	YES
10. Do you make monthly reconciliation of your bank accounts?	YES
11. Are these reconciliations made by the same person who performs the record keeping for receipts, deposits and disbursement and transactions?	NO
12. Do you record daily your cash receipts and disbursement transactions?	YES
13. Are there individuals or positions in your organization which have, as one of their duties, the receipt, distribution or handling of money covered under bond?	YES
14. Is there a person who is responsible for the recording of all financial transactions?	YES
15. Does your organization have an Equal Opportunity (EO) Policy?	YES
16. Does your organization have any legal judgments, claims, arbitration proceedings, lawsuits, or other legal proceedings pending against the organization, its owners, or principles?	NO

17. Does your organization have a Complaint or Grievance process?	YES
18. Is there a person who is responsible for the receipt of all purchased goods?	YES
a. Does this person immediately assign, upon receipt, an inventory number to the required items	YES
b. Does this person perform an inventory audit at least once a year?	YES
c. Do you maintain records on all property acquisition, disposition and transfer?	YES
19. Do you have written procedures and internal controls established for the procurement of goods and services?	YES
20. Is a competitive bid process incorporated in your purchasing procedures for acquisition of subcontractors, major goods and services, equipment and office space?	YES
21. Is documentation (i.e., timesheets, etc.) properly kept in support of each payroll disbursement?	YES
22. Are records maintained to support authorized leave (sick, etc.)?	YES
23. Is proper documentation maintained to support travel disbursement? (Please provide a copy of travel disbursement policy)	YES
24. Has a formal audit of your organization's financial records been conducted within the past year?	YES
25. Is your accounting system bound by any outside agency (city, county, etc.)?	NO
26. Do you have an indirect cost plan with current approval by a cognizant agency?	YES
27. Is your organization funded by more than one source?	YES
28. Does your organization have a written lease for all rented or leased properties?	YES
30. Does your most recent audit have unresolved audit findings?	NO
29. Does your organization have written accounting procedures? (If yes, please provide a copy.)	YES

PROPOSAL FOR SERVICES  
WIOA THIRD-PARTY PROFESSIONAL EMPLOYER ORGANIZATION  
(PEO) STAFFING CONTRACT BUDGET

WIOA Proposed Staffing Budget

<b>Line Item</b>	<b>Proposed Cost</b>
<b>Staff Wages &amp; Benefits</b> <i>includes wages and benefits for all outlined positions for a one-year period</i>	\$486,983.00
<b>Travel &amp; Professional Development</b> <i>Includes travel and professional development as necessary for all outlined positions for a one-year period</i>	\$15,000.00
<b>Administrative Cost</b> <i>Includes administrative fees associated with administering the contract for a one-year period</i>	\$40,245.00
<b>Total Budget</b>	<b>\$542,228.00</b>

Should the Workforce Investment Board or any proposal reviewers have questions about this budget, please contact the Alliance of Southwest Missouri at (417) 782-9899.