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REFERENCE BOOK ONE: THE ESSENTIAL GUIDE FOR WRITING AN EARMARK GRANT PROPOSAL

**U.S. DEPARTMENT OF LABOR
EMPLOYMENT AND TRAINING ADMINISTRATION**

REVISED APRIL 2008



**The Essential Guide for Writing
an Earmark Grant Proposal**

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Prepared for:

U.S. Department of Labor
Employment and Training Administration

THE ESSENTIAL GUIDE FOR WRITING AN EARMARK GRANT PROPOSAL

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PREFACE



Typically, the Labor, Health and Human Services, and Education appropriations bill contains language that specifically enumerates Congress' commitment to fund certain workforce development projects and initiatives. This special designation directs the Department of Labor (DOL) to fund and manage these special Congressional member initiative grants, also known as “earmark grants.” Therefore, earmark grants are appropriated under the annual Fiscal Year appropriations bill, and DOL is authorized to fund and operate them by the Workforce Investment Act of 1998 (WIA), primarily under Section 171 of WIA.

Because of their legislative authority, earmark grants are subject to DOL's Employment and Training Administration (ETA) grant procedures. The main difference between earmark grants and other ETA grants is that earmark grants are awarded without the usual competition among eligible grantee organizations. Earmark grants enjoy a noncompetitive status and are guaranteed DOL funding after submitting an acceptable project proposal that is approved by ETA.

To assist the designated earmark grantee organizations in their roles as ETA grantees, ETA designed a two-part desk reference—**Reference Book One: *The Essential Guide for Writing An Earmark Grant Proposal*** and **Reference Book Two: *A Guide to Financial & Grant Management Requirements for Earmark Grants***. Reference Book One presents information needed by earmark grantees that are in the process of developing a project proposal.

Reference Book One: *The Essential Guide for Writing an Earmark Grant Proposal* provides the informative framework from which to launch the development of an approvable project proposal. It provides careful instruction and examples for each component of the grant proposal.

Also included as Appendix A in Reference Book One is the Proposal Template that serves as an outline for the grant proposal. The Proposal Template is a summary of the instructions and guidelines presented here in Chapter Two of this guide and must be completed as part of the grant proposal. An electronic copy of the Proposal Template is provided with Reference Book One. *Please note the bold italic type at the start of some of the sections covering the development of the proposal. This language is taken directly from the Proposal Template and serves as a reference to the subject matter discussed in that section.* Also provided

in this book are a number of appendices that provide pertinent information such as the location of ETA Regional Offices, relevant legislation references, and other resources.

Reference Book Two: *A Guide to Financial & Grant Management Requirements for Earmark Grants* will help grantees establish an accounting system that meets Federal requirements by alerting grantees to the grant management requirements for ETA grants, offering helpful tips on how to meet the requirements, and providing practical advice and tools for managing projects.

Reference Book Two contains three separate sections. Section one provides information on the financial requirements for earmark grants. The second section, “Grant Management for New Earmark Grants,” alerts new grantees to the grant management requirements for ETA grants and offers helpful tips on ways to meet them. The third section, “Grant Startup and Phase-out,” provides grantees with practical advice and tools for managing their projects from the startup to phase-out stages of project implementation.

ETA offers these reference books as one element of their ongoing technical assistance and support of earmark grantees.

INTRODUCTION TO THE EMPLOYMENT AND TRAINING



BACKGROUND ON THE U.S. DEPARTMENT OF LABOR AND THE EMPLOYMENT AND TRAINING ADMINISTRATION

Since its inception in 1913, the U.S. Department of Labor (DOL) has acted tirelessly to promote the welfare of jobseekers, wage earners, and retirees of the United States, by improving working conditions, advancing opportunities for profitable employment, protecting retirement and healthcare benefits, helping employers find workers, strengthening free collective bargaining, and tracking changes in employment, prices, and other national economic measurements. In carrying out its mission to assist and support the U.S. workforce, the DOL created the Employment and Training Administration (ETA) to help meet the Department's goal of enhanced employment opportunities and business prosperity. The founding framework of ETA is grounded in one vision—to promote pathways to economic liberty for individuals and families striving to achieve the American dream. To realize this vision, ETA acts to contribute to the efficiency of the U.S. labor market by providing services such as job training, job placement, dissemination of labor market information, and income maintenance services.

FUNDING SOURCE AND FRAMING LEGISLATION FOR ETA—INTRODUCTION TO THE APPROPRIATIONS ACT AND THE WORKFORCE INVESTMENT ACT OF 1998

The primary funding source for ETA is the annual congressional Labor, Health and Human Services, and Education Appropriations Act. Each year, Congress passes the appropriations language for that fiscal year, thereby giving ETA the financial means necessary to promote ETA's overall vision through ETA programs. Paired with the annual appropriations language, the other paramount piece of legislation that authorizes ETA to provide its services to the U.S. labor force is the Workforce Investment Act of 1998 (WIA).

The motivation behind the adoption of WIA was to “consolidate, coordinate, and improve employment, training, literacy and vocational rehabilitation programs in the U.S. and for other purposes.” It is this law, in conjunction with the appropriations bill, which not only provides the venue for ETA, but also is the basis for the regulations that both ETA and its grantees must follow. Therefore, all ETA grantees must adhere to the regulations defined in WIA.

ETA GRANT PROPOSALS

A major WIA requirement for grantees, both competitive and noncompetitive, is the submission of an acceptable written proposal that outlines how requested Federal funding would be used. Only after a proposal is received, reviewed, and approved by the Grant Officer does an organization become an official ETA grantee benefiting from a Federal grant.

Because WIA, particularly sections 171 and 181, and the annual Appropriations Act guide how ETA funds may be used, all proposals should be in strict accordance with the terms of WIA and the appropriations legislation. Although WIA sets the particular rules and guidelines for all ETA grants, these are not the only directives that proposals must meet. There are also general requirements that stem from other Federal regulations promulgated by the U.S. Office of Management and Budget (OMB). ETA proposals must therefore meet the standards of both WIA and OMB regulations. Keep in mind the importance of clearly describing how you intend to use your Federal funds. After you complete your initial proposal draft, show a copy of it to others to see if you have been clear in describing what you plan to do with your funds. If your colleagues can understand your purpose and plan, then the ETA staff reviewing your proposal should be able to obtain a clear picture of what you intend to do. In addition to meeting grant deadlines, paying careful attention to the details of your grant proposal and providing explicit descriptions will help speed up the grant award process and get your grant funded faster—an objective ETA shares with you!

Allowable Activities, Eligible Participants and Other Requirements

The funding source for all earmark grants is the Pilot, Demonstration and Research (PD&R), Section 171 of WIA (Appendix B contains the statutory language from WIA Section 171). All earmark grants must follow the provisions of WIA Section 171, which requires consideration of factors such as the likelihood that the results of the projects will benefit the public and be useful to policymakers and stakeholders in addressing employment and training problems, the need to ensure results that have interstate validity, the benefits of economies of scale and the efficiency of projects, and the availability of existing research.

Other legislative requirements of WIA Section 171 include:

- **Demonstration or Pilot Projects:** These are projects that are funded to develop or implement techniques and approaches, and demonstrate the effectiveness of specialized methods in addressing employment and training needs. These projects must include direct services to individuals to enhance employment opportunities.
- **Multiservice Projects:** These projects are funded to test an array of approaches in delivering employment and training services to a variety of targeted populations. Entities operating these projects will design, develop and test the effectiveness of various training approaches and will do so in conjunction with other members of the workforce development community, such as employers, organized labor, and other groups. These projects are also expected to assist in developing and replicating the various strategies for the national employment and training system as a whole.
- **Research Projects:** These projects provide research that contributes to the solution of employment and training problems in the United States and are in tandem with the Secretary of Labor's 5-year Research Plan.
- **Multistate Projects:** These projects require demonstrated national expertise to effectively disseminate best practices and models for implementing employment and training services, and address the specialized employment and training needs of particular service populations, or address industry-wide skill shortages.

Eligible Participants

Anyone in need of services to gain employment, sustain employment, or upgrade their skills to expand their employment opportunities is eligible for services from an earmark grant. However, as WIA, Section 171 states, service delivery projects are encouraged to provide direct services to members of particular populations. Groups in these particular populations include: incumbent workers desiring to upgrade their skills and employability, dislocated workers, individuals participating in distance learning programs and projects, out-of-school youth residing in targeted areas of high poverty located in empowerment zones, individuals with disabilities, and individuals benefiting from the assistance of public housing authorities.

Additionally, WIA defines eligible youth as individuals between the ages of 14 and 21 years of age, suffering from low income, and facing one or more of the following challenges to successful workforce entry: school dropout, basic literary skills deficiency, homelessness (as a runaway or foster child), pregnant, and offender, or in need of assistance to complete an educational program or to maintain a job.

Linkages with Workforce Investment System

It is vitally important that earmark grantees develop linkages and partnerships with the workforce investment system through One-Stop operators and their governing bodies called State and Local Workforce Investment Boards.

The cornerstones of the ETA's workforce investment system are the One-Stop centers located in local areas throughout the country. The primary aim of the One-Stop centers is to integrate programs, services, and governance structures under a "no wrong door approach." The One-Stop centers are integrated service delivery points where citizens can access high-quality information on jobs, skill requirements and training providers. The WIA mandates that a number of federal partners offer their employment and training programs and services through One-Stop centers.

WIA Sections 111 and 117 require state and local workforce investment boards to develop linkages with other providers of employment and training programs so as to reduce duplication of programs and activities in the state and local areas and to better coordinate workforce development resources and services. Since earmark grants constitute one such resource in the community, the appropriations language mandates that grantees link their services and programs with the workforce development system so as to better coordinate employment and training programs in the state and/or local area. In cases where your project spans local workforce investment areas, you should develop linkages with more than one local workforce investment board. Although developing linkages with the local workforce investment system is a requirement, the nature of the coordination is left to each earmark grantee to negotiate with their respective state and/or local board. For example,

- In projects researching a particular employment and training need, it may be beneficial to contact the Local Board and the local One-Stop operator to inform them of your plans and to elicit feed back on your research design and/or methodology.
- In projects providing direct employment and training services to individuals within a given community, it may be beneficial to inform the Local Board and the local One-Stop operator of your project. They may be able to help you advertise your project in the local area and may be willing to help sustain the project over time through the One-Stop delivery system.

For a listing of state and local workforce investment boards and local One-Stop Career Centers visit the following website:
<http://www.servicelocator.org>.

Evaluation Requirements

Earmark grants are required to include an evaluation of project results and outcomes using the Evaluation Template. At the completion of the project, you will submit an Evaluation (Earmark Final Report). The electronic version of the Evaluation Template will be provided at a later date. It will contain instructions that further clarify information that should be included in the report. Project staff or a third party may conduct the evaluation. The evaluation report must be submitted within 90 days following the conclusion of the grant.

Project Sustainability

Earmark grants are intended to demonstrate approaches, methods, or services and products that will advance workforce development. Earmark grantees are expected to have a plan for sustaining successful elements of grant projects after grant funds are consumed at grant end. The plan for sustainability must be addressed in the grant proposal and described in the Earmark Final Report.

ROLE OF THE PHILADELPHIA EARMARK CENTER, ROLE OF THE FEDERAL PROJECT OFFICER, AND THE EARMARK GRANT PROPOSAL REVIEW PROCESS

Role of the Philadelphia Earmark Center

The Philadelphia Earmark Center (PEC) is an ETA national program office that is located in the Philadelphia Regional Office. PEC staff are responsible for managing and coordinating ETA's earmark process and for overseeing the implementation of earmark grants. Center staff also respond to inquiries from congressional staff, ETA leadership, regional offices and grantees and play a critical role in the earmark grant proposal review process. Staff review grant proposals to ensure that the proposals conform to the Appropriations Act, WIA, OMB circulars and other ETA guidelines and provide technical assistance and policy guidance to regional offices and earmark grantees.

Role of the Federal Project Officer

Each earmark grantee is assigned a Federal Project Officer (FPO). The FPO is a staff member of one of ETA's six Regional Offices (RO) and serves as your primary point of contact for all grant-related issues. The role of the FPO is three-fold:

- **Technical Assistance in Proposal Development:** The FPO works closely with the earmark grantee to guide them through the process of developing an earmark grant proposal. In many instances, the FPO reviews drafts of the earmark proposal to assess whether the grantee is addressing the Proposal Template elements. Based on his/her review of draft grant proposals, the FPO may recommend that a grantee submit additional information and/or documentation to support the final grant proposal submission to the PEC. Note: The grantee is responsible for developing and writing the grant proposal; the FPO provides guidance throughout the process.
- **Technical Assistance in Grant Operations:** The FPO maintains frequent contact with the earmark grantee during the implementation stage of the grant. The FPO is available to address concerns, issues and/or problems as they arise during day-to-day grant operations. Once issues are identified, the FPO works with the grantee to develop a plan for meeting technical assistance needs and/or implementing appropriate corrective action.

- **Oversight and Monitoring:** The FPO is responsible for conducting on-site reviews of grantee operations to assess whether the grant is operating in accordance with the terms and conditions of the grant award. The FPO evaluates the likelihood that the project will achieve its objectives, expenditure levels, and performance levels specified in the grant award, or any subsequent modifications. The FPO also identifies any policies, procedures, or actions that conflict with the WIA, the regulations, the grant agreement, or other applicable federal requirements, and that could place the grantee at risk of disallowed costs.

Earmark Grant Proposal Review Process¹

Although earmark grants are congressionally designated to receive funding through WIA Section 171, all grantees must submit an approvable grant proposal. It takes approximately 60-90 days from submission of the final grant proposal to ETA to receive grant approval. Grant proposals are thoroughly reviewed by ETA staff at the Regional and National Offices. The review process usually involves some level of review and input from the following groups:

- **Federal Project Officer (FPO):** The FPO performs an independent review of the final grant proposal to assess whether all of the earmark proposal elements are addressed and prepares a report identifying the strengths of the application. The FPO then submits the information, along with the final grant proposal, to the Philadelphia Earmark Center (PEC).
- **Philadelphia Earmark Center (PEC):** Staff in the PEC perform an independent review of the final grant proposal to assess whether all of the earmark proposal elements are addressed. Grant proposals that successfully address the required elements are forwarded to the ETA Grant Officer, along with the required paperwork, for approval. Grant proposals that do not address the required elements are returned to the grantee and the FPO for refinement and are not forwarded to the Grant Officer for approval until the elements are satisfactorily addressed.
- **ETA Grant Officer:** The ETA Grant Officer reviews the comments prepared by the FPO and the PEC, along with the required paperwork: procurement action request, grant proposal and notice of award. If acceptable, the Grant

Officer signs the paperwork and submits the final package to the Office of the Assistant Secretary of Employment and Training.

- **Congressional Notification:** Once grant award packages are completed, an Award Notification is sent through the appropriate congressional channels for notification. In some cases, you may hear that your grant was approved from your congressional liaison prior to receiving the grant award package from ETA.

¹The earmark grant proposal review process is subject to change based on the needs and experiences of ETA.

Grant Approval Notification

Grantees will be informed that their grants are approved via written communication from the Grant Officer. You will receive a grant award package from the ETA Office of Grants and Contracts Management (OGCM) that provides written notification that the grant has been awarded. The grant award package includes information on how to access Federal grant funds. Basically, the Federal government requires grantees to designate a person within their organization, usually a fiscal person, to request the Federal funds through an automatic draw down process. In order to access Federal funds from the U.S. Department of the Treasury, grantees must complete a Standard Form 1199, which is a Direct Deposit Form. Once completed, this form should be submitted to ETA for processing per the instructions provided in the grant award package. After the form is processed by ETA, the designated person will receive a username and pin so they can request and draw down funds via a secured website.

GRANT PROPOSAL COVER PAGE

FY 2008 Earmarked Proposal to the:
U.S. Department of Labor Employment and Training Administration

Project Title:
[Project Title]

Submitted By:
[Organization's name as in the appropriation]

Address:
[City, state, zip code]
[Street]
[City]
[State]

Transmitted By:
[Indicate who is approving the document for submission]

Date:
[Date submitted]

The following discussion provides a standard format for the project's proposal cover page. The primary information the cover page must include is: project title, name of organization requesting funding, organization's complete address, organization's telephone and fax numbers, organization contact's e-mail address, name of the individual who is transmitting the proposal, and date of proposal submission. There is an example of a cover page at the end of this section.

This information details a recommended format that will make your proposal easier to review. The format will also identify your organization clearly to the Department of Labor.

First, indicate that the document is an ***“Earmark Proposal To: Department of Labor, Employment and Training Administration.”***

Then provide a title for your project. Be concise and specific, and try to avoid terms people generally will not understand. Your project may already have a name. In that case, think about whether the name will paint the picture you want to create in the reader's mind. Because the title immediately conveys a great deal of information to the reader about your project, think about the impression you want to make. When your organization is awarded a DOL grant, your project may be publicized in newspapers and on the DOL's website.

It is helpful for project names to include key words thereby allowing the project to be indexed correctly. For example, if your project is about reopening a factory in an empowerment zone, you might name your project ***“Communities In Charge of Jobs.”***

Next, identify who is submitting the grant application—the name of your organization or institution. This should look like: ***“Submitted By: Building Better Communities, Inc.”***

Then, provide the:

- Address of the organization, including zip code. If the address is a post office box, include a physical address. This organization must be the same organization as referenced in the earmarked appropriation Conference Report.
- Telephone number of the organization, including area code.
- Fax number of the organization, including area code.
- E-mail address of the organization or person submitting the proposal.

Indicate who is approving the document for submission like this: *“Transmitted By: Kyle K. Knight, Executive Director.”*

Finally, indicate the date on which you are sending the final project proposal. An example Cover Page follows.

Example: Cover Page

FY 2008 Earmarked Proposal to the:

U.S. Department of Labor Employment and Training Administration

Project Title:

[Project Title]

Submitted By:

[organization’s name as in the appropriation]

[address]
[city, state, zip code]
[phone]
[fax]
[e-mail]

Transmitted By:

[indicate who is approving the document for submission]



The seal of the Department of Labor, United States of America, is circular. It features an eagle with wings spread, perched atop a shield. The shield contains a scale of justice, a gear, and a plow. The words "DEPARTMENT OF LABOR" are inscribed in the upper arc, and "UNITED STATES OF AMERICA" in the lower arc.

Date:

[date submitted]

TABLE OF CONTENTS FOR THE GRANT PROPOSAL

The Table of Contents serves to organize the proposal as well as to make information easily accessible. The example below is identical to the Proposal Template. This example uses section and subsection titles that follow ETA's guidelines for earmark proposals and highlights specific criteria that will be of interest to proposal reviewers. An example Table of Contents follows.

Example: Table of Contents

SF-424 Application for Federal Assistance	1
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C. Individuals to be Served (Participants).....	4
3. Description of the Impacted Area.....	4
A. Area Delineated.....	4
B. Labor Market Information for the Area	4
C. Socioeconomic Information for the Area	5
4. Statement of Work	6
A. Project Goals	6
B. Major Project Components.....	7
C. Work Schedule	8
D. Partner/Collaborator Participation.....	9
E. Linkages with the Workforce Investment System	9
5. Project Outcomes	10
A. Performance Measures and Planned Outcomes	10
B. Evaluation Component	11
6. Management and Personnel	11
A. Applicant Organization and Project Administration	12
B. Staffing Level Rationale.....	14
7. Sustainment Plan.....	14
II. Budget.....	15
A. Budget Information Form	15
B. Budget Category Excel Worksheets and Budget Narrative.....	16
III. Attachments.....	18
A. Letters of Commitment.....	18
B. Staff Resumes.....	18
C. Articles of Incorporation (if applicable).....	18
D. IRS Status Form (if applicable)	18
E. Indirect Cost Agreement (if applicable)	18

STANDARD FORM 424

Standard Form 424 is the application form used when applying for Federal assistance. The Earmark Training CD includes the form.

Instructions for the SF-424

Every Federal agency requires grant applicants to complete a Standard Form 424—the standard form used when applying for federal funding. The form may also be downloaded from the ETA website at: <http://www.doleta.gov/sga/forms.cfm>, click SF 424 Application for Federal Assistance”

Completing this form should not be considered a perfunctory exercise. Although the Standard Form (SF) 424 can be easy to complete, it is one of the first items reviewed by the Department of Labor so it is important to fill it out correctly. The information on the SF 424 is cross-checked with information entered on the grant proposal Cover Page and the Federal Budget Information Form, which is discussed in greater detail in Section 6.

Since the SF 424 is required for all Federal grant applications, several of the items do not apply to earmark grant proposal submissions. Specifically, Blocks 3 (Date Received by State), 4 (Date Received by Federal Agency), and 16 (Is Application Subject to Review) should be left blank. Also, State Application Identifier and Federal Identifier are intentionally left blank for earmark grant proposals. The list on the next 2 pages provides detailed instructions on how earmark grantees should complete the SF 424.

Item	Entry
1.	Type of Submission (Required): Earmarks should select “Application” since this is a request for federal funds.
2.	Type of Application (Required): Earmarks should select “New” since the application is being submitted to DOL for the first time.
3.	Date Received: Leave this field blank. The date will be assigned by the DOL.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or the applicant’s control number, if applicable.
5a.	Federal Entity Identifier: Leave blank or enter identifying information that is necessary with the organization.
5b.	Federal Award Identifier: For new application leave blank.
6.	Date Received by State: Leave this field blank, not applicable for earmark grants.
7.	State Application Identifier: Leave this field blank, not applicable for earmark grants.
8.	Applicant Information: Enter the following information: a. Legal Name: (Required) Enter the legal name of the applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. This organization must be the same organization as referenced in the earmarked appropriation Conference Report. b. Employer/Taxpayer Number EIN/TIN (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN), as assigned by the Internal Revenue Service. If your organization is not in the U.S., enter 44-4444444. c. Organizational DUNS (Required): Enter the organization’s DUNS or DUNS+4 number received from Dun and Bradstreet. Information about obtaining a DUNS number may be obtained by visiting the grants.gov website. d. Address: Enter the complete address, as follows: Street address (Line 1 required), City (Required), County, State (Required if country is the U.S), Province, Country (Required), Zip/Postal Code (Required if country is U.S.) e. Organizational Unit: Enter the name of the primary Organizational unity (and department or division, if applicable) that will undertake the assistance activity, if applicable. f. Name and contact information of person to be contacted on matters involving this application: Enter the name (first and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

9.	<p>Type of Applicant (Required): Select the applicant type that most appropriately describes your organization.</p>		
	<p>A. State Government B. County Government C. City/Township Government D. Special District Government E. Regional Organization F. US Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally recognized)</p>	<p>I. Indian/Native American Tribal Government (Federally recognized) J. Indian/Native American Tribal Government (Other than Federally recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority M. Nonprofit with 501c3 Status (Other than institute of higher education) N. Nonprofit without /501c3 Status (Other than institute of higher education)</p>	<p>O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-Serving Institution T. Historically Black Colleges and Universities (HBCU's) U. Tribally Controlled Colleges and Universities (TCCU's) V. Alaskan Native and Native Hawaiian Serving Institutions W. Non-domestic (Non-US) Entity X. Other (specify)</p>
10.	Name of Federal Agency (Required): Enter U.S. Department of Labor, Employment and Training Administration.		
11.	Catalog of Federal Domestic Assistance Number/Title: Earmark grantees should use the number 17-261. The information in the SF-424 is reported to the Federal Assistance Award Data Center, which reports on federal agency grant award activity.		
12.	Funding Opportunity Number/Title: Not applicable to earmark grants.		
13.	Competition Identification Number/Title: Non applicable to earmark grantees.		
14.	Areas Affected By Project: It is highly recommended that earmark grantees include at a minimum the city and state where services will be provided. If serving multiple cities or states, this should be indicated.		
15.	Descriptive Title of Applicant's Project (Required): Enter a brief descriptive title of the project. This information should match the information provided on the Cover Page of the grant proposal.		
16.	Congressional Districts of (Required): 16a & b. This block asks for the Congressional districts of (a) the applicant and (b) where the project will be implemented. Often the information will be the same, but in some cases it may differ. Earmark grantees may obtain information on congressional districts from a local election board, local congressional office, the Congressional Yellow Book, or the internet (e.g., http://www.house.gov/writerrep/).		
17.	Proposed Project Start and End Dates (Required): Since the grant proposal must be reviewed and grant award documents developed, the actual start and end date may vary. Thus, it is recommended that earmark grantees select a start date that is 60-90 days following the actual proposal submission date. Note: Earmark grantees may not begin to spend funds until the grant is approved and cleared by the ETA Grant Officer. The Grant Officer will assign the actual start and end dates for the project.		
18.	Estimated Funding (Required): When submitting your grant proposal, the federal share amount should never exceed the maximum amount permitted by the Appropriations Act or the post rescission amount, if applicable. The total dollar figure provided should match the total figured provided on the Federal Budget Information Form. Earmark grants are not required to match Federal-funding levels or to obtain other contributions. Thus, only items 18a and 18g are required.		
19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Not applicable for earmark grants.		
20.	Is the Applicant Delinquent on any Federal Debt? (Required): Select the appropriate box. The question applies to the applicant organization , not the person who signs as the Authorized Representative. Categories of debt include delinquent audit disallowances, loans, and taxes. If yes, include an explanation the continuation sheet .		
21.	Authorized Representative (Required): To be signed and dated by the authorized representative of the applicant organization. Enter the Name (first name and last name required), Title (required), Telephone Number (required), Fax Number, and Email Address (required) of the person authorized to sign the applicant.		

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9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*** 12. Funding Opportunity Number:**

* Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*** 15. Descriptive Title of Applicant's Project:**

Attach supporting documents as specified in agency instructions.

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16. Congressional Districts Of:

* a. Applicant

* b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date:

* b. End Date:

18. Estimated Funding (\$):

* a. Federal
* b. Applicant
* c. State
* d. Local
* e. Other
* f. Program Income
* g. TOTAL

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

- a. This application was made available to the State under the Executive Order 12372 Process for review on .
- b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

Yes No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
Middle Name:
* Last Name:
Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

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*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

I. TECHNICAL PROPOSAL

Please note the bold italic type at the start of some of the sections covering the development of the proposal.

This language is taken directly from the Proposal Template and serves as a reference to the subject matter discussed in that section.

1. ABSTRACT

The Abstract is usually one page long and provides concise information about your project. Sometimes people refer to an abstract as a summary or an executive summary.

The Abstract is a short piece, usually a page or less, that gives the important information about your project. Writing a draft Abstract first may help you clarify your project and develop your proposal. You can provide a copy of the Abstract to organizations that will be providing letters of support or to other people who will be writing portions of the proposal. A copy of the Abstract will help people target their letters and write more clearly about the project.

The Abstract should answer the questions What, Who, Why, and How. Because it may eventually be used in press releases, and perhaps on the DOL website, the Abstract should use clear and concise language.

Consider the Abstract a snapshot that captures the most significant aspects of your project. The example below identifies the responsible parties and the project name (who), what the project wants to accomplish (what), why it is necessary (why), and some key operational features (how).

Your Abstract should include:

- What is your project's purpose? What do you intend to accomplish? This must reiterate the purpose contained in the Earmarked Appropriation line of the Congressional Conference Report, but you may add clarifying details. Recommend a paragraph or less.

Example: The project's purpose is to train individuals in new skills. The Communities In Charge of Jobs Partnership intends to train and place 50 Empowerment Zone residents in high-tech, high paying positions within DEF Manufacturing Company and ZZZ Paper.

- Who are the grantee and the project partners? Provide applicant organization's name. Briefly describe roles, contributions of key partners, and other substantial contributors. Recommend a paragraph of less.

Example: Building Better Communities, Inc. (BBC) is a Washington, D.C.-based nonprofit organization. BBC provides education and training services to individuals living in the Bantam Empowerment Zone (EZ). Our partners in

the proposed Communities In Charge of Jobs project include DEF Manufacturing, a paper manufacturer located in the EZ, ZZZ Paper, a publishing firm, as well as ABC Education Services, a training and development nonprofit organization. In Communities In Charge of Jobs, BBC is the applicant and fiscal agent. BBC will provide project management and oversight along with participant recruitment and case management services. ZZZ Paper and DEF Manufacturing will participate in the curriculum development and provide space, equipment, and some instruction. ABC Education, in addition to providing referrals, will develop the curriculum and also coordinate, schedule, and instruct training to include ESL and basic education.

- Why are you implementing this project? Briefly describe the needs addressed by the project. Recommend a paragraph or less.

Example: *DEF Manufacturing Company and ZZZ Paper intend to renovate and expand plants located in the EZ. With a 20 percent unemployment rate and a high school dropout rate exceeding 22 percent, the local workforce does not have the skills, especially high-tech skills, necessary to obtain higher-paying manufacturing positions in the renovated factory.*

- What outcomes do you anticipate for your project?
These will commonly be stated in terms of outcomes for individuals, but may include other desired outcomes depending on the nature of the project.

Example: *A nine week contextual training curriculum will be developed in collaboration with industry officials, and tested on 50 participants. Of the 50 participants, at least 40 participants will complete all required technical training and are referred for placement*

- How will you deliver services? Discuss components of the project and how they relate to the need. Mention any unique feature of your service methods or delivery mechanism.
Recommend one or two paragraphs.

Example: *The curriculum will be developed using actual work activities and situations. Because of the impoverished nature of the community, supportive service needs such as transportation and child care will be very important. To the largest extent possible, participants will access support services through co-enrollment in... When not possible, funds have been budgeted for child care.*

The following are examples of what NOT to include in your Abstract:

- Organization’s mission statement or philosophy
- Detailed history of the organization that has no direct bearing on the grant proposal
- Vague statements, such as “our team comprises experienced professionals”
- Jargon or abbreviations that are not universally accepted
- Very long sentences (more than 20 or 25 words)

An example of an Abstract follows. Look for the answers to who, what, why, and how questions.

Example: Abstract

ZZZ Paper and DEF Manufacturing, manufacturers located in the Bantam EZ, have identified new technologies that require training in new skills in order for workers to participate in higher paying occupations. This also offers an opportunity to test new training strategies. Over a 1-year period, Building Better Communities, Inc. (BBC) proposes Communities In Charge of Jobs, a coordinated job-training program for 50 adults living in the Bantam Empowerment Zone (EZ). BBC will partner with ABC Education Services and the Manufacturer’s Union to provide innovative training services for 50 adults.

ABC Education Services and BBC will recruit individuals with a strong work record who lack the education or technical skills necessary to compete in the current economy. The participants will complete an assessment process that includes academic testing and discussions with case managers. BBC, in collaboration with ZZZ Paper, DEF Manufacturing representatives, and the Manufacturers Union, will develop curriculum using actual work activities and situations. The curriculum will be delivered at an onsite classroom. By delivering the training onsite, the participants will have access to the new manufacturing equipment. In some instances, the manufacturers will provide company trainers to partner with the ABC Education Services’ instructor. This classroom collaboration will increase the opportunities to practice skills learned in the education components.

Because major portions of the training will be completed at times other than the normal workday, child care and transportation services will be extended. Coordination with the City of Bantam's Transportation Department has resulted in a commitment of an after-hours city bus route for training participants. Child care services will also be customized. Although the exact approach will be determined once the participants are selected for training, in general, onsite child care will be provided while parents are in training. The precise mix and strategies will depend upon the ages of the children and current child care plans.

The partnership of BBC, ZZZ Paper, DEF Manufacturing, ABC Education Services, and the Manufacturer's Union will develop a training curriculum in collaboration with industry, test assumptions regarding this contextual curriculum and related supportive service delivery mechanisms. As a direct result of the training project, 50 adult participants will receive the training that will enable them to gain job skills. At least 40 will be referred for placement.

FAQs About the Abstract

How long should the Abstract be?

Preferably no more than one page.

If I write the Abstract first, will I have to rewrite the Abstract when I complete my proposal?

Probably; however, writing the Abstract first helps you clarify in your own mind what is important and may save you time in the long run.

How do I know if a word is jargon, or if it is terminology specific to our work?

That's not easy. Sometimes a word begins as jargon and then becomes accepted usage within the field. "Partnering" is an example of a word that began as jargon and is now generally accepted. The best test is if the word enhances understanding and will be understood by the reader.

What are some things I should avoid?

- Including the organization's mission statement or philosophy

- Detailed history of the organization that has no direct bearing on the grant proposal
- Vague statements, such as “our team comprises experienced professionals”
- Jargon or abbreviations that are not universally accepted
- Very long sentences (more than 20 or 25 words)

2. STATEMENT OF NEED

Statement of Need gives the reader a picture of the community issue or problem that your project will address. It describes the issue in terms of quality as well as quantity. It conveys a sense of the people, culture, and region, as those elements relate to the problem.

Your proposal describes the major issues or problems to be addressed by your project and provides information that will assist the reviewer in establishing a context for your project. The Statement of Need does not have to be wordy or long. It may consist simply of a few paragraphs.

A. Project’s Purpose

Describe the purpose that the project is intended to accomplish. This must reiterate the purpose contained in the Earmarked Appropriation line of the Congressional Conference Report. Only activities that substantially conform to the Congressional text are eligible for funding under the Earmarked Program but you may add clarifying details. Recommend a sentence in length.

This section should describe the purpose that the project is intended to accomplish. The statement here and the statement in the Abstract should be essentially the same and should reiterate the purpose contained in the Earmark Appropriations line of the Congressional Conference Report. However, grantees are encouraged to expand on the abstract to assure that the purpose is clearly delineated and relates to the issues to be addressed.

B. Description of the Major Issues Addressed

What are the major issues or problems that the project is addressing in conjunction with the project's purpose? Generally these should be no more than a half dozen in number, but for some project designs, might consist of a single, distinct issue. Provide enough factual (preferable quantified) information to explain the issue and its significance.

The scope of each issue should be no longer than the project is proposing to address. For example, a project with a neighborhood focus should not address a state-wide issue.

Section 171 of the Workforce Investment Act (see Appendix B) which governs what is permissible for demonstration, pilot, and similar projects funded with an Earmarked appropriation, requires that "such projects shall include the provision of direct services to individuals to enhance employment opportunities." Therefore, with rare exception, one or more of these issues must be about the needs of the individuals that the project will serve.

The issues will be used to organize the remainder of the technical proposal.

This section should discuss the major issues or problems to be resolved through earmark funding in conjunction with the project purpose. For some projects, there may be one single, distinct issue. As noted in the proposal template in Appendix A, you should provide sufficient factual (preferably quantified) information to explain the issue and why it is significant.

Remember that the scope of each issue should relate to your specific project and what you intend to address. For example, you need not address a state-wide issue if your project has a local community focus.

Additionally, Section 171 of the Workforce Investment Act (see Appendix B) requires that earmark projects include the provision of direct services to individuals to enhance employment opportunities. Accordingly, at least one of your issues should relate to the needs of the individuals that the project will serve.

Example: Issue No. 1

Recently, major plant closures in the City of Bantam have resulted in layoffs of approximately 500 individuals who lack sufficient educational and technical skills to compete in the

current economy. This has resulted in an unemployment rate of 28%. Two major companies in Bantam and surrounding counties are expanding and have a need for highly skilled workers in the advanced manufacturing industry.

C. Individuals to be Served (Participants)

In this section describe the population of individuals to which the project will provide services. Include any eligibility requirements that the project will use.

Also explain why this population was selected.

This section describes the population of individuals to which the project will provide services. You should explain why this population was selected and if there are any specific eligibility requirements that you are using.

The ETA wants to know two things about the individuals who will be served by the project:

a) Description

Who will be trained? Does “who will be trained” match the need discussed earlier in this section?

Example: Communities In Charge of Jobs will provide services to 50 residents of the Bantam EZ. Based on our demographic picture, participants will mostly be unemployed and recently dislocated workers. We expect more than 50 percent will need additional skills in basic math and reading in order to successfully complete high-tech training. Another third will require English language skills.

b) Rationale for Selection

Are there enough eligible people in the potential pool of participants to support the project’s anticipated enrollment?

Example: The unemployment rate within the EZ is 20 percent. The workforce pool includes 1,400 adult EZ residents over the age of 21, equating to an eligibility pool of 280 not including underemployed workers.

3. DESCRIPTION OF IMPACTED AREA

You should provide pertinent Labor Market Information in your proposal, and you may include any additional demographic information that you believe would increase the reviewer's understanding of your project's purpose.

A. Area Delineated

Delineate the geographic boundaries of the area being impacted. Describe the physical and social features of the area being served that affect the need for the project or strategies being used.

Where appropriate, ETA encourages grantees to plan strategies that serve large, multi-county regions or labor markets. Such a region might overlap two or more states. In these instances, the states and counties affected would be included in the description. Tables or maps may be included to accomplish this.

The impacted area may be a geographic area such as county or city but may also extend to large, multi-county regions or labor markets. Such a region might overlap two or more states. The impacted area defines the boundaries of the project. Describe the area with appropriate words such as “sparsely populated” or “largest city” or “remote” to provide a clear picture of the environment in which the grant will operate. If the project involves more than one state, the states and counties affected should be included in the description. It is important that your description support the need.

Example: The Target Area, Bantam City's EZ, is an ethnically diverse and highly impoverished community located in a 2-square-mile area. The Zone is the most densely populated urban area in the state. Employers located in the area currently are experiencing a high percentage of job openings in the advanced manufacturing field.

B. Labor Market Information for the Area

Describe the principal employment needs and conditions relevant to the project. You may use the table below to display relevant occupational information, and add a short written narrative. Information should link to project issues and goals. Recommend one page or less in length.

Economic information for an earmark grant proposal describes the

principal employment needs and conditions relevant to your project (e.g., average wages, labor market needs, and growth projections). The information should relate to your project issues and goals.

The table below can be used to capture relevant occupational information and is also located in the Proposal Template. If you believe that additional information about the local economic conditions would assist the reviewer, you may add information either by adding to the table or writing a narrative.

Occupational Projections Table

Targeted Occupations	Current Employment	Growth Forecast	Average Wage
Die Cutters	325	10%	\$15.75
Robotics Technicians	165	6%	\$15.30
Electronic Assemblers	210	3%	\$11.00

Although it is not required that you add a narrative to your description of the economic situation, you may choose to do so if you believe it will add significantly to the reviewer's understanding of the issues. The following paragraph is an example of a supporting narrative.

Example: *At the same time that Bantam EZ residents are experiencing a 20 percent unemployment rate, local industry reports 20 to 100 job vacancies per facility or plant in and around the EZ. Our Target Area's fastest-growing occupations include high-tech manufacturing jobs, which are expected to increase anywhere from 3 to 13.5 percent this year. High-tech manufacturing positions comprise 78 percent of unfilled positions in the EZ.*

C. Socioeconomic Information for the Area

You may provide here any additional pertinent socioeconomic data about the area that was not included in the issues section. Recommend a half page or less.

This section can include any additional, pertinent, socioeconomic data about the area that was not included in Section 2 B and relates specifically to your project and/or individuals to be served. For instance, if your project is targeting high tech training, and the industry requires a minimum educational level, you could provide data related to educational attainment in your service area.

TIPS ON WHAT NOT TO INCLUDE IN THE DESCRIPTION OF IMPACTED AREA

- Do not write a long narrative with a lot of statistics. If you have more than two or three pieces of data to show, use a chart.
- Do not compare apples with oranges. If your data indicates median income, don't compare it with average income someplace else.
- Do not distract the reader with information that is neither relevant nor related to the problem or need.

FAQs about the Description of the Impacted Area

How long should the description be?

There is no hard and fast rule, but the more concise, the better.

Where can I obtain the statistics and data I may need to support the Statement of Need?

A reliable source for data and economic information to be captured in your description of impacted area can be obtained from the Census Bureau (<http://www.census.gov>). If you would like other data, some of these sites might be helpful:

- America's Career InfoNet (<http://www.acinet.org/acinet>)
- Websites for state and local Chambers of Commerce
- Local One-Stop websites
- Local economic development agencies and industry associations
- America's Labor Market Information System (ALMIS) (<http://www.doleta.gov/almis>)
- Bureau of Labor Statistics (<http://www.bls.gov/>)
- Workforce Investment Act (<http://www.doleta.gov/usworkforce/>)

Of course, people in your organization or the reference librarian at the local library may also have or know of information that will help you state the need for your project.

Do data sources always need to be referenced?

It is a good idea. As you write more proposals, it will help you keep

track of where you got the data. It also helps the reader to evaluate the validity of the information.

4. STATEMENT OF WORK

The Statement of Work has five subsections. The Statement of Work contains an overview of the project goals and major components addressing the issues outlined in your Statement of Need (Section I-2). This section also contains the work schedule and a description of your partners/collaborators and linkages with the Workforce Investment System.

The following Statement of Work format and the one provided in the Proposal Template include five sections, A through E. It makes the reviewer's job easier if your proposal addresses the sections in order.

A. Project Goals

For each of the issues identified, provide one or more goals for what the project is to accomplish by the end of the grant period. Goals should be action oriented, measurable (preferably quantifiable) and time-specific. The goals should be no longer than a sentence each.

Examples are provided for Building Better Communities, Inc.:

Goal #1: Meet the hiring demands for skilled workers in the Bantam City's Enterprise Zone.

Goal #2: Working in concert with educational and business partners, develop customized training to improve job skills of participants, by the end of the second quarter.

Goal #3: Upgrade basic math and reading skills for potential entrants into customized training by the end of the second quarter.

Goal #4: Test curriculum by conducting training.

Goal #5: Assess impact of training on participants.

B. Major Project Components

a) Description of Components for Addressing Each Issue and Goal.

For each major project component, discuss who provides what, when, and where, and delivery methods. This section is the heart of the technical proposal. At least one of the services must describe services for individuals. Components can address multiple goals.

Note that federal regulations restrict the use of funds for some categories of activity such as for construction. In addition Section 181 of WIA restricts the use of funds for employment generating activities, economic development activities and similar activities that are not directly related to training for eligible individuals under the Act.

If some components are funded from other funding sources, they can be included here but separate funding should be explained.

Allow two or more paragraphs per component. (Secondary activities/tasks are to be listed later as part of the Work Schedule.)

Talk about each component. The Earmark Proposal Template at Appendix A can be used for your narrative.

Example: Implement Training Program: Technical Training classes will be conducted from 7 to 11 a.m., Monday through Thursday. The classrooms, located at ZZZ Paper and DEF Manufacturing, provide access to equipment. Access to this resource will promote hands-on learning activities. Training is computer-assisted and self-paced, using a job-based curriculum and competency testing. ABC Education Services; ZZZ Paper and DEF Manufacturing supervisors provide instruction.

As you describe components, think about what other services may be needed by participants that are not available through the earmark grant and how will participants gain access to services that meet these needs? Each grant has finite resources and it may not be possible to adequately serve individuals whose needs exceed the grant resources. This is one reason why linkage to the workforce investment system is so important.

You can use a table to provide the information, such as the one shown here.

Component	Activity (What)	Location (When & Where)	Delivery Method (How)	Responsible Partner (Who)
Participant Outreach and Assessment	Recruitment	BBC and local one Stop; ongoing	Outreach visits to local One Stop Advertising opportunities	BBC and ABC Education Services
Curriculum Development	Identify critical skills and develop nine week contextual training	BBC, Inc, ZZZ Paper and DEF Manufacturing	Customized for critical jobs identified	BBC, Manufacturers Union, ABC Education Services; ZZZ and DEF
Implement Basic Skills Training Program	Basic Education	BBC classroom/One Stop	Customized according to math/reading skill deficiency Offered in groups of 5 Uses job vocabulary as curriculum.	BBC One Stop
Implement Technical Training Program and refer completers for placement	Technical Training	ZZZ Paper and DEF Manufacturing 7 – 11 a.m., M – Th; 7 – 9 p.m., M – Th	Contextual Computer-assisted Self-paced Testing is by demonstration Open entry/exit	ABC Education Services DEF Manufacturing and ZZZ Paper Case Managers
Assess Training Outcomes	Conduct follow up/ evaluation	BBC and ZZZ Paper and DEF Manufacturing	Contact training completers; meetings with ZZZ Paper and DEF Manufacturing	BBC and selected consultant

Write a few sentences, even when using the chart that emphasize your philosophy or approach to providing services.

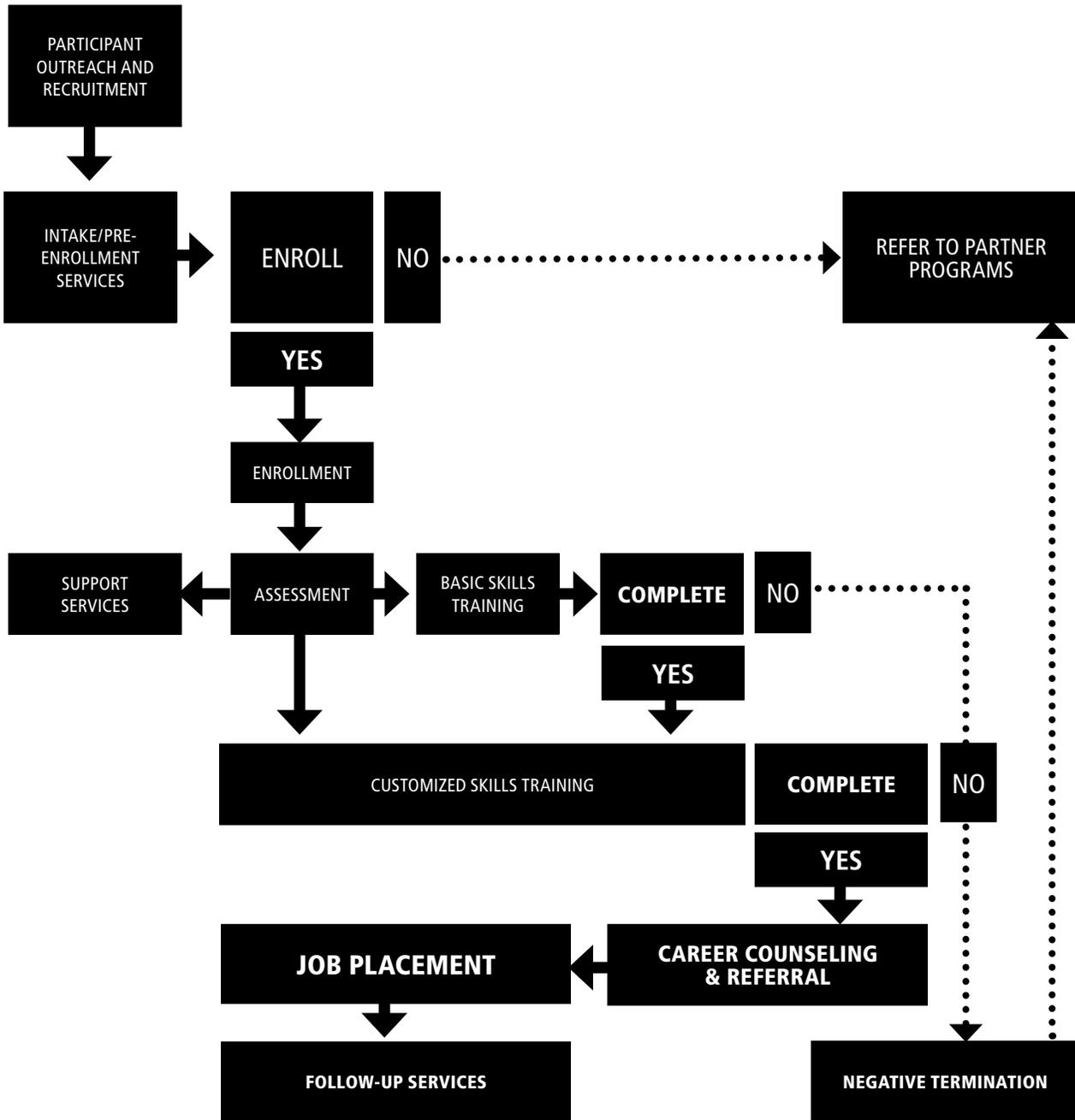
Example: *Communities In Charge of Jobs intends to base its training program on the adult learning model which emphasizes practical application of methods combined with classroom training. Outreach and recruitment of participants will be performed using nontraditional methods to capture the hardest-to-serve populations.*

b) Diagram of Project Components (Services Flow Chart)

Provide any project component/service diagrams or flow charts as applicable. May be on separate pages and in a landscape format.

An example flow chart is provided below.

Example: Services Flow Chart



C. Work Schedule

The entire proposal comes together in this section. The Work Schedule lists the project components which can be taken directly from Section 4.B(1), all critical tasks and timeline as well as indicates who is responsible. Include start-up tasks such as hiring staff or executing subcontracts as well as post-project activities such as the completion of evaluations. This section assures the DOL that you understand the work involved in your project and that you have a plan to accomplish the work.

There are many correct ways to approach writing this section in your proposal. The following process is one effective way. If you choose to use this process, it may make the section easier for you to write. We suggest you tackle this section after you have written the Statement of Need and the previous Statement of Work sections. The Work Schedule itself is a chart or table with supportive narrative information.

Step 1: Gather your materials, including the pieces you have already written in Section 2: Statement of Need and Section 4 (A) and (B) of the Statement of Work. List what must occur in order to implement the project's major components. This list need not be in any particular order at this point. Several knowledgeable people working together will assure a more comprehensive list. Don't overlook grant requirements such as having a financial management system in place. There are management tasks as well as service delivery tasks that must be considered.

Step 2: Determine if certain things must occur before other activities can take place. Put your tasks in order. Some tasks may happen simultaneously or overlap other tasks.

Step 3: For each project component, list the corresponding tasks. Task lists help you clarify the staff resources, materials, and time required to implement the tasks. The tasks will guide your budget and personnel decisions.

Step 4: Specify the schedule for completing the task and/or action items. This gives you a timetable for implementing the grant. Some of the tasks may occur after the project is completed (e.g., the Evaluation Report). Be sure to include such tasks in your Work Plan since they will require resources to complete.

In finalizing your Work Schedule, remember to consider the following:

-
- What is the rationale for your selection of tasks and timeline schedule? Have you done this work previously and do you know how long certain things take to accomplish?
 - Are there tasks that are not evident, but that must be carried out in order to achieve your intended outcomes? For example, will you need to hire staff before you can begin recruiting individuals for the project?
 - And finally, are management and fiscal activities required to support the project in place? Are there service subcontracts that must be executed? Due dates for ETA's progress reports and quarterly Financial Status Reports should also be entered into your Work Schedule.

Step 5: Have someone else review your Work Schedule. You may provide a narrative to clarify or expand on the work schedule if you desire.

In the Example Work Schedule below, note that each year in the timeline is divided into quarters. The total number of quarters you use will depend on how long the project will operate. The example below reflects a 12 month (four quarters) period. The Earmark Proposal Template at Appendix A includes a Work Schedule Chart for your use. While the chart reflects a two year period, shorter projects do not need to include a full 2nd year in the Work Schedule.

Sample Work Schedule

Project Component	Task/Activity	Year 1				Year 2				Staff/Organization Responsible
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	
Participant Outreach & Recruitment Outreach efforts reach at least 75 potential participants	Send letters to profiled workers identified by local One-Stop and unemployment list.	X								Case Managers, Administrative Assistant
	Advertise opportunities locally if necessary	X								Case Managers, Administrative Assistant
	Potential participants complete intake & eligibility	X								Case Managers, Administrative Assistant
	Potential participants are referred to ABC education services for assessment; make support services referrals.	X								Case Managers
Curriculum Development	Hire or transfer staff responsible for curriculum development	X								Executive Director
	Conduct meetings with ABC Education Services, Manufacturers Union, ZZZ Paper and DEF Manufacturing to identify critical jobs and required skill sets	X	X							BBC
	Develop nine week contextual training and obtain final approval for implementation	X	X							ABC; Curriculum Developer
Implement Basic Skills Training	Perform assessments	X	X							ABC
	Place participants in basic skills training and or ESL as determined by assessment.	X	X							Case Managers
	Conduct Basic Skills Training		X							
Technical Training	Select 50 individuals to participate in contextual training.		X							Project Director; Case Managers
	Conduct nine week training on site at ZZZ and DEF Manufacturing			X						ABC Education Trainer, ZZZ Paper and DEF Manufacturing Staff
	Refer training completers to ZZZ Paper and DEF Manufacturing for job openings			X	X					Project Director; Case Managers
Assess Training Outcomes (Follow-up activities)	Follow up with ZZZ Paper and DEF Manufacturing on referral outcomes				X					Project Director; Case Managers
	Contact training participants and employers to assess impact of training.				X					Case Managers
Evaluation	Select Evaluator.		X							Project Director
Evaluation activities promote quality management and meet DOL requirements for an evaluation.	Review evaluation plan for completeness and accuracy.	X								Evaluator
	Submit final report.					X				Evaluator

D. Partner/Collaborator Participation

Discuss partner commitments, including services delivered by partners that are essential to the project's implementation and success. Recommend a paragraph per partnering organization.

Refer to any Letters of Commitment that describe specific services which will be provided by a partner. Note that a letter of support does not qualify as a letter of commitment. Only attach letters of commitment.

Do not include services that may be competitively procured later from various firms or organizations. (These activities should, however, be described in the Major Project Component sections of the narrative (4.B (1)) as well as in the contractual section of the budget rationale.)

Here is where you talk about partner commitments, including services delivered by your partners. This is also the place to refer to any Letters of Commitment included as an attachment to the proposal. If there are no commitments from other organizations, include a statement to that effect in this section.

Partner organizations are those that are considered essential to the successful completion of your project. They may provide a service to the project, such as outreach and recruitment, or provide a service directly to your participants, such as drug and alcohol counseling. Partner organizations may also provide resources such as materials, office space, or staff time. The organization may or may not receive reimbursement for the service or goods it provides.

The DOL wants to be assured that each critical link in implementing your project understands what its job is and agrees to accomplish that job. To validate your partnership, you can have a Letter of Commitment in the grant proposal or you can describe the working relationship.

Often letters appear as letters of support and do not offer any concrete commitments to the project. Letters of Commitment are very specific. They list the services, discuss the partnership efforts, and may outline the money that is provided as a match, or the cost for services that will be provided to the project. An example of a Letter of Commitment can be found on the following page.

Example: Letter of Commitment

September 30, 2008

Mr. Joe Brown, Project Director
Communities In Charge of Jobs
Building Better Communities, Inc.
400 W. Broadway Blvd.
Anytown, State 12345

RE: Letter of Commitment

Dear Mr. Brown:

ABC Education Services is pleased to partner with you in providing adult basic education services for your clients in the Communities In Charge of Jobs project.

Because of our past experience working together on other demonstration projects, as well as our mutual experience in developing contextual basic education, our organizations already have well-developed assessment and referral procedures. These procedures will prevent us from duplicating services, such as testing participants twice.

Our organization will provide the following services for your project:

- Office space for your staff to conduct outreach and recruitment
- Referrals
- Academic testing and counseling

I am personally excited by this opportunity to expand and improve our mutual work.

Sincerely,

Jane Smith, Executive Director
ABC Education Services

E. Linkages with the Workforce Investment System

Describe what efforts have been made to link the project with the State and/or local workforce investment system, or other DOL-funded activities. Does the grantee have a formal agreement with the State and/or local Workforce Investment Board, including the Career One-stop operator? If yes, please describe the nature of the agreement. Recommend one to three paragraphs.

As previously stated in the Introduction, Congress supports coordinated services that are linked through the workforce system, and that cut down and/or eliminate duplicative services. As envisioned by the WIA and the regulations, state and local workforce investment boards function as catalysts bringing together, in one deliberative body, representatives of all the major stakeholders in workforce development to provide strategic planning and oversight for the workforce investment system. In order to ensure that employment and training programs are linked with the “system” envisioned in WIA, it is vitally important that earmark grantees develop linkages and partnerships with the workforce development system through One-Stop operators and their governing State and Local Workforce Investment Boards.

The Department strongly encourages grantees to maximize the resources and knowledge available through the workforce system so as to foster a coordinated, comprehensive service delivery structure that meets the needs of the local economic region and that maximizes available resources.

If you are not already linked to the local workforce system, there are a number of steps that may need to be taken in order to develop these linkages. The first step in developing a linkage with the State and/or local workforce system is to determine what geographic area you want to target for developing linkages. Your Federal Project Officer should be able to provide information about contacts in the workforce system and may be able to facilitate such contacts. Earmark grantees will benefit from targeting local boards and One-Stop operators in the area in which services will be delivered. Second, learn about the One-Stop system in the impacted area. Find out how the One-Stop system operates and is managed, how it is staffed and what services are offered at the One-Stop Center. Third, establish your goals for linking with the One-Stop system and identify strategies for linking that will help you meet your goals. Finally, contact the local workforce investment board and One-Stop operator staff and discuss ways that you can partner. To find

One-Stops in your region, the following website should be helpful. <http://www.servicelocator.org/>. To find local workforce board information, use <http://www.nawb.org/RESOURCECENTER/Links/tabid/102/Default.aspx#WIB%20Links> and follow the links to view local board websites.

Earmark grantees may wonder what benefit they can gain from coordinating their services through the existing One-Stop service delivery system. Examples of potential benefits to earmark grantees from developing linkages and agreements with the One-Stop system are highlighted below.

- **System Benefits to Earmark Grantees.** Agreements with the workforce development system, especially the local One-Stop delivery centers, can help strengthen community ties by giving grantees a voice in planning workforce services for the community; increasing the awareness of the grant within the community; opening additional resources that can be accessed by grantee participants; and helping the grantee strengthen employer connections.
- **Benefits to Grantee Recruitment.** Linking with the One-Stop system in the community can greatly enhance an earmark grantee's recruitment efforts by One-Stop staff marketing the earmark project to One-Stop customers; actively referring participants to the earmark project; and possibly providing a convenient place for earmark staff to meet with interested participants.
- **Benefits to Grantee Services.** Linkages with the One-Stop system can also enhance project services by providing additional support services, such as childcare, transportation, etc.; providing extensive labor market information to help participants learn about employment opportunities in the local area and the skills and education necessary to obtain those jobs; supplementing the educational, vocational, and life skills training offered through the grant by providing additional training opportunities through other One-Stop partner programs; and helping with placement opportunities.

Although the nature of the coordination will vary from project to project, earmark grantees may be able to develop linkages with State and Local Workforce Investment Boards in the following areas:

- Strategic planning efforts for workforce development

in the region. The Workforce Investment Act (WIA) charges workforce investment boards with wide-ranging responsibility for workforce development within their communities. WIA requires each State and Local Workforce Investment Board to develop a strategic plan to address workforce development issues within their respective regions. In addition ETA is encouraging the workforce system to broaden efforts to include other partners such as economic development, education, business leaders, and other partners in an economic region, and to better understand their labor markets and communities to make informed, long-term strategic decisions. Earmark grantees may have information about the local community that is valuable to workforce boards and other partnerships in understanding the community's or economic region's needs and may have plausible solutions for addressing workforce development issues that benefit job-seekers and employers. In some cases, earmark grantees may find that members of their organization will be asked to participate in planning and implementation of the system by participating on the workforce investment board and/or on special committees.

- Targeting workforce development strategies to address the needs of particular population groups. Although WIA promises universal service, specific population groups are often targeted by the local workforce system and strategies devised to address their special needs. These special groups can range from dislocated high-technology workers to workers with disabilities. In some cases, earmark projects may augment these services available through the One-Stop service delivery system, thereby providing another valuable resource to individuals in the community. In these cases, the local board and the earmark grantee may be able to partner with one another to devise coordinated strategies for addressing the needs of a given population (e.g., outreach and recruitment strategies, service delivery strategies, developing common intake procedures, utilizing assessment instruments, etc.).
- Targeting workforce development strategies to address particular groups of firms or industries. Interest in developing strategies aimed at groups of firms began in the field of economic development but has made its way into the workforce development arena. These are often called sectoral strategies. Sectoral strategies entail targeting a set of employers that share a set of common characteristics (such as labor force needs).

Some workforce investment boards and economic regions are working closely with groups of firms to address a public policy concern and, at the same time, solve common problems that the firms share. Earmark grantees may have specialized experience with a specific set of firms or an industry that may be valuable in addressing the skill shortages of local employers.

- Providing consumers with the information they need to make informed decisions. One of the signature features of the Workforce Investment Act is its commitment to place decision-making in the hands of the consumer. But if consumers are to make informed career decisions, they must have timely and high quality information. Many workforce investment boards spend time and money researching and obtaining information on the labor market. Earmark grantees that are researching specific workforce development needs may find that their information would be a valuable resource to consumers in the local One-Stop system, as well as to policymakers on the workforce investment boards.

These are just some of the ways earmark grantees may link their projects with the workforce development system.

The goal of every One-Stop system partner is to help customers enhance their employment opportunities and to find high-quality jobs. Therefore, coordinating and linking with the existing workforce development system benefits everyone in the system — the Department, the local One-Stop operator, the grantee and the customer.

ETA recommends that grantees develop formal agreements with partner organizations. Although formal agreements between earmark grantees and the State and/or local boards and the One-Stop operators are not required, they are highly recommended for a number of reasons. A formal agreement may be a Letter of Commitment, Memorandum of Understanding, or some other document that identifies the services to be provided, the methods of referral, funding of services and other costs, and duration of the agreement as well as procedures for amending it. First, having a formal agreement in writing signed by all the partners ensures that everyone has the same expectations and understanding. Second, having a formal agreement ensures that the agreement will continue despite staff changes. Third, a formal agreement carries more weight because it suggests that the leaders of the organization support the agreement and ensures that both One-Stop staff and earmark project staff buy into the agreement. Finally, the formal

agreement indicates a clear process for altering the agreement and provides the duration for the terms and conditions of the agreement.

This subsection of the grant proposal should address how the project will integrate and/or link its services through the State and/or local workforce investment system. Questions that should be addressed in this subsection include:

- What efforts have been made to link the project with the local (or State) workforce investment system?
- What is the outcome of the aforementioned efforts? Specifically describe how the project will be linked.
- Does the grantee have a formal agreement with the State and/or local workforce investment board, including the One-Stop operator? If yes, describe the nature of the agreement or provide a copy of the agreement as an attachment to the grant proposal.

FAQs

How do I interface with existing workforce investment services?

- First, locate your local contact for the Workforce Investment Board. Your FPO can also provide assistance in locating contact information.
- Second, call and talk with someone who can help you determine how your project fits into the workforce plan. The idea is to stretch service dollars by collaborating.
- You can also ask for a copy of the area's workforce investment plan and determine how your work can support its objectives.
- Finally, describe in your proposal how your project will interface with the local (or State) workforce system.

5. PROJECT OUTCOMES

A. Performance Measures and Planned Outcomes

For each project component or goal identify the performance measures that will determine whether the project was successful during the grant period. Include how that measure is defined (e.g., what is included in the numerator and denominator, what

data that are excluded, and what is the measurement's time period), and provide the expected level of performance. Include any significant product outcomes such as reports or curricula. For employment and training type activities, the measures should include the WIA Common Measures when applicable.

This section quantifies what grantees expect to accomplish compared to the Statement of Need defined in the grant application. The goals and performance measures described for the project should be attainable and measurable with the project's period of performance. Goals are then quantified and defined as performance measures with each measure having its own planned level.

Grantees will be responsible for collecting information, tracking information, and submitting reports describing project outcomes against performance measures described in this section.

1. Understanding the Context for Measuring Results

There is increased attention from Congress, the President, and the American people on ensuring that programs and projects funded by the Federal government are well run and results-oriented. Below are some key documents and laws that set the context for performance measurement and accountability in Federal programs.

a. The Government Performance and Results Act

One of the first attempts to focus Federal agencies on performance accountability was through the passage of the Government Performance and Results Act (GPRA). The main purpose of GPRA is to provide for the establishment, testing and evaluation of strategic planning, and performance management in the Federal government. Basically stated, Congress expects that Federal agencies demonstrate results and a return on the public's investment by requiring agencies to show program results. ETA will use the GPRA performance targets to evaluate what performance levels are reasonable. Thus, ETA encourages the use of GPRA goals and performance levels as a benchmark for determining the reasonableness of your project's performance measures. Information on ETA's GPRA goals and performance levels may be found in ETA's strategic planning document called the Annual Performance Plan (APP) located at <http://www.doleta.gov/performance/goals/gpra.cfm>.

b. Uniform Administrative Requirements

Federal data collection and reporting requirements are enumerated in the Uniform Administrative Requirements contained in the Code of Federal Regulations (CFR) at 29 CFR Parts 95.51 and 97.40. Specifically, the language states that grantees are responsible for managing their projects, including sub recipient activities and services. 29 CFR Parts 95 and 97 contain language requiring grantees to report information and to maintain documentation on information collected and reported.

2. Developing a Performance Management System

It is important to develop a performance measurement system for collecting data and reporting results. This requires some advance thinking prior to beginning operations. This section of the Guide discusses the primary components of performance measurement and reporting.

Performance management is a systematic process that involves the following critical areas:

- Monitoring the results of activities and services;
- Collecting and analyzing performance information to track progress toward meeting the project's goals and objectives;
- Using performance information to influence program decision-making and resource allocation; and
- Communicating and reporting results achieved, or not achieved, to advance organizational learning and to tell the project's story.

Performance management involves every layer of your organization because it means that managers and staff are using all available information and data (fiscal and programmatic) to make decisions and improve processes in order to meet project goals and objectives. Therefore, sustained, meaningful improvement is possible only with sustained, meaningful measurement.

a. Identifying Appropriate Performance Measures

Ultimately, grantees should develop performance measures that focus on desired outcomes for their projects. For projects that provide direct employment and training services, grantees should identify performance measures that are quantifiable and that focus on participant and employer-customers. For projects that are research-oriented, the performance measures may be defined

in a qualitative manner. Identifying specific, measurable outcomes requires time, thought, and a clear understanding of desired results. Some ways to identify appropriate performance measures for your project include your responses to the following items:

- Ask yourself the following questions: What will be different as a result of the project? For whom will it be different? What will be changed or improved? What will stakeholders say is the value of the project? What will they say about why they participate?
- Think about what you want to be able to say to your funding agency or the taxpayers who finance your project. If you could write a news release about your project, what would the headline be? Your answers to these questions are most likely project outcomes that can be translated into performance measures with specific planned levels of performance.
- For an existing project, look at all the project's major activities. For each activity, ask yourself, "Why are we doing that?" Usually, the answer to the "Why?" question is an outcome or something that can be measured.
- Seek ideas and input from others. Their perspectives will help provide a broader understanding of the program and its benefits. This activity will also help build consensus among key program stakeholders. You might talk with current and past participants, funding entities, peers, local officials, board members, and informed outsiders.
- Review existing project material to see if any performance measures are already incorporated into the organization's business approach.

For each project component or goal identify the performance measure(s) that will determine whether the project was successful during the grant period. Include how that measure is defined (e.g., who/what is included in the numerator and denominator, what data are excluded, and what is the measurement's time period), and provide the planned level of outcome(s). Include any significant product outcomes, such as reports or curricula. For employment and training type activities, the measures should include the WIA Common Measures (Appendix C) when applicable.

The chart on the following page provides examples of measurable outcomes.

Clearly state the goals for the project, define project performance measures, and define the planned level of outcomes to be achieved on each performance measure. It is important to also identify reporting elements, including types of information to be collected, types of reports to be developed and how information collected will be used to continuously improve the grant. It is essential that grantees have the capability to produce reports that are complete, accurate, and timely; and vitally important to develop mechanisms for collecting, as well as reporting data on grant operations, performance outcomes, and financial activities.

Once performance measures are identified, provide a description of the performance measures in the grant proposal, including the measurement parameters, and the planned level of outcomes to be achieved in a given time period.

Although some grantees may find it easier to provide a narrative description of their performance measures, others may find using a table like the one below helps them to organize the information. ETA strongly encourages Earmark grantees to use the performance measures table below to provide the necessary information in the grant proposal application.

Performance Table

Name Of Performance Measure	Measure Definition Or Formula	Planned Level Of Outcomes
Measure 1: Outreach	The number of individuals recruited and assessed for inclusion in the project	At least 75 individuals will be recruited and assessed for project participation
Measure 2: Curriculum Development	Of the skill sets identified, a contextual training curriculum will address each and be developed and approved on time	One nine-week curriculum including all required components will be developed by the project mid-point
Measure 3: Enrollment Rate	Of the number recruited, the total number of individuals admitted into the program by the end of the grant period (numerator) divided by the total number recruited for the project (denominator)	67% 50 (of the 75 recruited and assessed) individuals will be enrolled into the program
Measure 4: Training Completion Rate	Of those enrolled in the project, the number of participants who complete training by the end of the project (numerator), divided by the total number of individuals enrolled in the project (denominator)	80% 40 of the 50 individuals enrolled in the project will successfully complete the training by the end of the grant period
Measure 5: Placement Rate	The number of participants placed in employment by the end of the project (numerator) divided by the total number of individuals who completed training by the end of the project (denominator).	80% 32 of the 40 individuals who complete training will be placed in employment

There are a wide variety of performance measures that grantees can use to assess their programs. The chart below provides examples of additional performance measures that grantee may wish to use (Note: This list is not all inclusive, there are a wide variety of performance measures that earmark grantees may develop to show achievement of their grant’s goals and objectives).

Measure	Purpose of Measure
Participant Customer Satisfaction Rate	Used to assess (a) whether participants found specific services useful; (b) whether participants received the services they needed; (c) whether participants would use the service provider again; (d) overall satisfaction with the project; (e) satisfaction with how they were treated by staff; (f) whether participant would refer others to the project
Employer Customer Satisfaction Rate	Used to assess (a) whether employers are satisfied with the services they received and found specific services useful; (b) whether employers received the services they needed; (c) whether employers would use the services again; (d) overall satisfaction with the project; (e) satisfaction with how they were treated by staff; (f) whether employers would refer others to the project
Earnings Change Rate	Assesses whether the participants were able to increase their earnings potential by participating in the project. Grantees will need to collect data on participant’s wages pre- and post-grant participation.
Workforce Audit Completion Rate	Provides information on the number of employers or other organizations that participated in the information gathering phase of the grant. This measure may help grantees assess whether the information they obtained is reliable and can be used to make decisions that impact the community.
Retention Rate	Number of participants that are still employed after x number of weeks, months, years of program completion. This is an impact measure that may not be easily assessed during the grant’s period of performance.

3. Program Reporting and Processes

a) Collecting and Analyzing Data

Part 6, Management and Personnel of the grant proposal template requires grantees to define the process used to maintain, track and report program data. This includes the data collection system used to maintain data and track outcomes for the grant, including what types of information will be tracked, how the information will be secured, how often the reports will be generated, and how the information collected will be used to manage the project. In addition to collecting and tracking information, grantees are also required to submit financial and programmatic reports.

b) Reporting

Grantees are required to submit Quarterly Project Narrative Reports to their FPO. Quarterly Project Narrative Reports are due 45 days after the end of each calendar quarter. The Earmark Final Report (Project Evaluation) is due 90 days after the grant expires.

A suggested Quarterly Project Narrative Report format is included at Appendix D. These quarterly reports must include :

- In-depth information on accomplishments, including project success stories, upcoming grant activities, and promising approaches or processes;
- Progress toward performance outcomes, including updates on enrollment levels and services provided, products, curricula and/or training development;
- A description of any barriers or challenges encountered implementing the project.

B. Evaluation Component

WIA demonstration grants are required to have a complete evaluation report following the project's completion. The cost of the evaluation should be allocated in the project's budget and should be included in the work schedule as a component.

The DOL requires that Earmark grant recipients conduct an evaluation of its project and submit a project evaluation report. Evaluation activities offer an opportunity to increase the DOL's knowledge about what works and what doesn't in terms of service delivery strategies, research designs, or community development projects. More immediately, your internal use of the evaluation results can be extremely valuable to you as a management tool to assist with project enhancement.

This portion of the Proposal Guide provides you with some help in planning your evaluation, focusing on what you need to decide, and determining what you need to include in your proposal before you can receive your grant.

In some cases, the earmark grant will support a self-contained project. In other cases, the earmark grant is one of several resources that are combined to support a project. For most projects, particularly the projects that involve direct services to eligible

individuals, the evaluation will focus on how well the project achieved its goals and met its expected levels of performance.

1. Design of the Evaluation

Describe the design of the evaluation. What will be the evaluation methodology? What will be the steps of the evaluation? Who will conduct the steps? Explain any difference between performance measures used in the evaluation and those listed in Section 5. Recommend a half page in length.

Following these six steps will result in an evaluation design for your earmark project that will yield information to support continuous process improvement during the life of your project as well as provide information to assist in the design of future programs.

Step 1: Specify project goals. The goals are already determined and stated in your Work Plan, however, for the purpose of the evaluation you may choose to add additional goals and performance measures. Remember, to be relevant to the evaluation they must be measurable.

Step 2: Determine measures. You must have measures or indicators that will reveal progress toward and accomplishment of project goals.

Step 3: Identify and collect data for the measures. First, specify the data you will be collecting and then indicate where you anticipate obtaining that information. Next, identify when and who will collect data.

Step 4: Analyze data. Describe how the data will be organized. Will the data be housed in a database, a spreadsheet, or some other electronic tool? Will it be kept on paper? What analytical tools will you use? Does the data show progress toward the goals? How will you determine whether the project worked better for some populations than for others? What else do you want to know about your project?

Step 5: Prepare reports. Design reports that will meet the needs of particular stakeholders, internal or external. Reports can be an important management tool. In your narrative, you should answer questions such as: how frequently will reports be created? How will they be used? What type of report will be developed for each key stakeholder group?

Step 6: Improve the project. Use results periodically to provide feedback into project management and operation. The narrative

should answer questions such as: how will the evaluation results be shared inside your organization? What actions will be taken as a result of the evaluation information?

2. Evaluator

State who will conduct the evaluation. Who will collect and analyze data? Who will write the evaluation report? Recommend one or two paragraphs.

There are several options for assigning responsibility for the evaluation. Existing program staff or someone employed for this purpose could do it. The evaluator could be engaged through a subcontract agreement with another organization, or, the evaluator could be secured through a college or university with expertise in social program evaluation.

Remember that your Evaluation Plan must demonstrate that you have thoughtfully considered how to address the evaluation requirement. It also must be linked to your Statement of Work and the project's goals and performance measures.

6. MANAGEMENT AND PERSONNEL

A. Applicant Organization and Project Administration

Many earmarked projects are operated by large organizations such as counties or universities, or consortia, although others are operated by quite small organizations. The following questions are intended to help ETA understand your organization. Recommend two pages or less.

a) Organizational Structure

What is the structure of the organization(s) to be funded through the grant? What is the legal form of the lead organization? For example, is it a consortium, community college, or non-profit corporation? Will the grant result in a new organization that doesn't currently exist? What are major units of the applicant organization(s) involved with the project and their functions? What is its governance structure, e.g., does a board of trustees review all grant proposals, etc.? The length of the description should vary based upon the complexity of the situation. Recommend a half page to two pages.

This subsection of the grant proposal should address the following types of questions:

- What is the structure of the organization that applied for the grant and is named in the appropriation? You may want to discuss here the major units of the applicant's organization: for larger organizations, this may include Board of Directors, Chief Executive Officer, Chief Financial Officer, Chief Information Officer, Other Director functions and then managers. For smaller organizations this may include President, Vice President, (or Deputy) other Director positions, as well as management and staff.
- What briefly are their functions? For example list primary responsibilities and who directly reports to whom.
- What is the legal form of this organization? For example, is it a consortium or non-profit corporation, or a Community College? You may want to state the legal form that is stated in your Articles of Incorporation.
- What is its purpose? Will the grant result in a new organization that doesn't currently exist? For example, what services do you provide and to whom? Explain the specific department that will have oversight authority and implementation of this grant. If a new organization is going to be created as a result of this grant and the activity, then you will want to discuss how the new organization fits into the overall organization.
- Will the proposed project comprise the total organization? Are there any other activities that this organization supports or coordinates?
- What is the applicant's experience in operating similar projects?
- What is its governance structure? For example, is there a Board of Directors, or a Parent Organization? Is your organization part of a consortium of similar entities that is controlled by a Committee of member organizations?

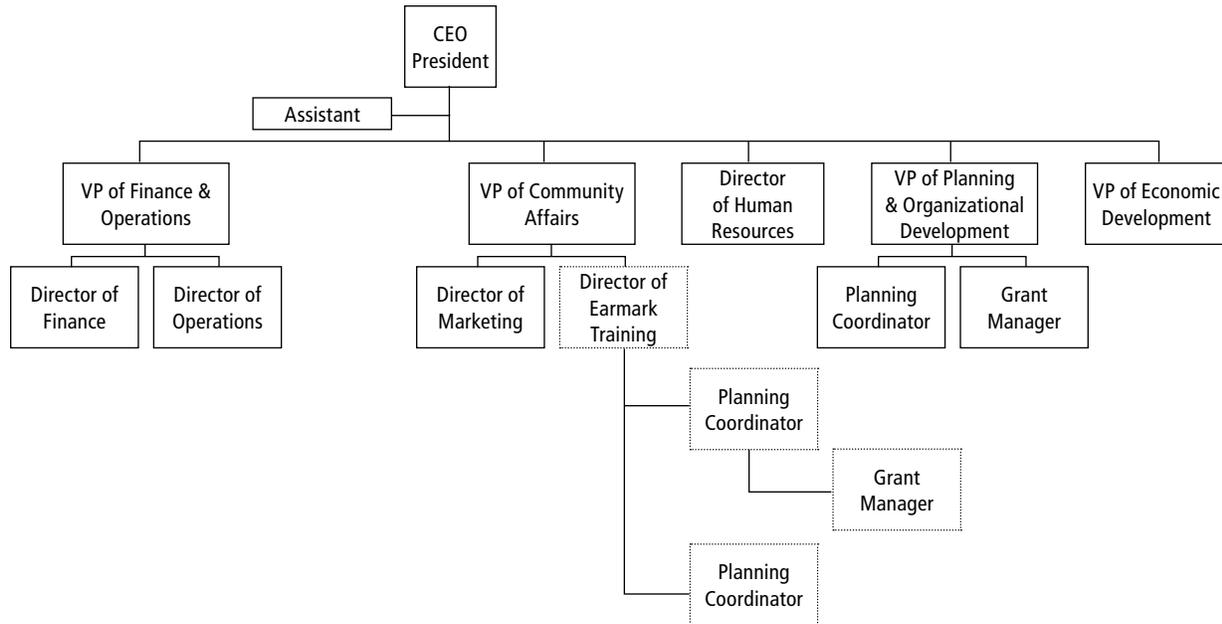
Some of the bullet points may not apply to all grantees depending on the size and structure.

Location of the Project within the Organization's Structure

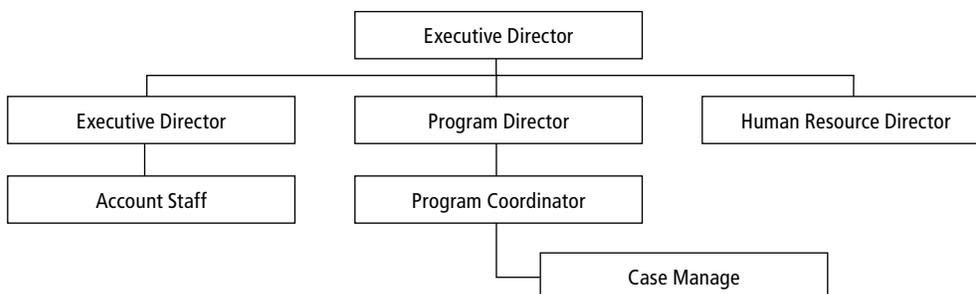
Provide a diagram that shows the relationship between the project and units within the applicant organization. The diagram may be on a separate page and in a landscape format. Include a brief description of how the project relates to these other organizational units. Recommend a paragraph in length.

As applicable, explain how the project relates to the activities of the larger organization.

What related services will the applicant organization provide that are not funded by the grant nor described in the project's scope of work? Provide a simple organization chart that shows the relationship between the project and the applicant organization. A flow chart might also be helpful for describing the project's relations to the parent organization regular activities.



An example of a smaller organization's flow chart may look similar to this:



Relationship of Project to Other Organizational Activities

As applicable, explain how the project relates to similar, on-going activities of the organization. (If the organization is operating more activities than those funded through the grant, it may need to segregate out the data and expenditures for these activities later.)

If this project is a continuation or follow-on to a previous grant (not necessarily an earmarked grant), explain the relationship between the new and prior grant activities.

Note that grants through DOL are to be used for activities that are in addition to those that would otherwise be available in the absence of such funds. (See WIA Sec. 195.2.)

Recommend a half page in length, dependent upon complexity.

Earmarked grants through DOL are to be used for activities that are in addition to those that would otherwise be available in the absence of such funds (See WIA Sec. 195.2)

- What similar activities has the organization previously conducted? Here is where you will want to explain your past experience and knowledge about your project.
- Explain how the proposed activities are new or in addition to those currently available.
- Explain the relationship between the new and prior grant activities. If this project is a continuation or follow-on to a previous grant (not necessarily an earmarked grant).
- How will the grantee ensure that funding through this grant is not substituted for other sources of funding?

Example: Training provided through this project falls under the domain of the (blank department). Project activities will support the (blank departments) charge, which is to provide customized training, technical assistance, and consulting services to business and community organizations.

b) Project Administration

Project Administration Oversight and Start-up Responsibilities

Explain which organizational positions, whether grant-funded or not, have different types of oversight responsibility for the project. (For example, in some organizations the head of the organization, who signs the grant, is not involved in the

project's day-to-day activities; these activities are delegated to a project manager.)

If this is not an on-going project, explain who will be responsible for project development during the start-up phase. For what start-up activities (e.g. staff recruitment) will this person(s) be responsible? As applicable, by when will the project be transitioned to newly-hired, project personnel?

Recommend two to three paragraphs.

In this section explain which organizational position(s) has overall responsibility for the project provided this position is different from the project director/ manager shown in the grant. That is, to whom will the project manager report? (This may not, necessarily, be funded through the grant budget). If this is not an on-going project, explain who will be responsible for project development during the start-up phase.

- For what start-up activities will this person(s) be responsible?
- Who will be responsible for project staff recruitment and selection?
- Who will be the interim or permanent contact(s) with the DOL for the project?
- By when will the project be transitioned to newly-hired project personnel?
- Will there be a board of directors or advisory board with project oversight responsibilities?
- What will be its composition and role?

Fiscal Responsibilities and Processes

Will the applicant organization also be the project fiscal agent? If not, what organization will be? What position(s) will be responsible for project financial records and reports? Recommend a paragraph in length.

- Will the applicant or organization be the project fiscal agent?
- If not, what organization will be?
- What position(s) will be responsible for project financial records and reports?
- Does the organization have written financial procedures?

- Briefly describe your procurement policy. See Reference Book Two: A Quick Guide to Financial Management Requirements for Earmark Grants for requirements.

Reporting Responsibilities and Processes

Which position will be responsible for collecting and analyzing programmatic data, maintaining files, and preparing summary reports including reports to ETA? Recommend a paragraph in length.

- How will data for the project be collected?
- These include data used to evaluate the project and for day-to-day management.
- Which position will be responsible for collecting and analyzing these data, and preparing summary reports?
- Where will project records be maintained and secured?

B. Staffing Level Rationale

Discuss the basis for project staffing. If using staffing ratios (for example, 1 teacher to 15 participants), detail the ratios. Include an organization chart for the project itself if there are several project positions (this may be a separate page). Ensure adequate staff to complete the work. Recommend a half page excluding the chart. (Explain staff salaries in the Budget Narrative to follow.)

In this section discuss the basis for number of staff. If using staffing ratios (for example, 1 teacher to 15 participants), explain the need for the ratio chosen. If there are several positions, please show them on an organization chart. Consider whether you have budgeted sufficient staff to accomplish the project in the project period of performance. Recommend one page or less, including organization chart. (Explain staff salaries in the Budget Rationale to follow)

Key Staff

Identify key staff by most relevant qualifications. If hiring, list qualifications desired. Recommend one page or less.

Explain the justification for, and provide a description of, qualifications and responsibilities of project director and other staff. Describe the experience, education and training of project staff as they relate to proposed responsibilities. Match personnel to project design content to support the need for staff.

7. SUSTAINMENT PLAN

If the project is to continue after the grant period, how will the project be sustained? How will a sustainment strategy be developed? Outline the roles of project partners in helping to sustain the project. If the project is not to be continued, state that it will not be continued and include any phase down activities as part of the Work Schedule. Recommend two or more paragraphs in length.

This subsection of the grant proposal should describe the grantee's strategy for concluding current project activities and services. The following types of questions should be addressed:

- What strategy and/or process is in place to phase-out the project?
- How will participants complete their service strategies if the project period ends?
- How will the requirements to submit final reports—fiscal and program—be met?
- How will the project be sustained?
- What components are being proposed for project sustainability?
- What organizations or entities are involved in helping to sustain the project?

The project should demonstrate the organization's ability to be self-sustaining after the grant funds expire, and could discuss future funding options to show that the applicant understands that federal funding for the project will eventually end. This might include competing for other grants from foundations or other sources, partnering with local businesses to obtain future funding, or incorporating the project into the organization's other activities while minimizing cost. A key element of illustrating sustainability is for the project to simply demonstrate its ability to be creative and "survive" once the federal grant funds end.

II. DEVELOPING A BUDGET



A complete and well-developed budget eventually becomes an effective management tool; a budget that doesn't truly represent a project's needs and situation will cause difficulties throughout the life of the project.

DETERMINING BUDGET REQUIREMENTS

The budget is one of the most important pieces of the grant proposal. A complete and well-developed budget eventually becomes an effective management tool; a budget that doesn't truly represent a project's needs and situation will make it difficult for managers to assess financial performance over the life of the project and may result in a grantee experiencing cost overruns. The budget also provides ETA with information that is useful in assessing whether the activities and services described in the Statement of Work are consistent with the estimated costs in the budget.

UNDERSTANDING KEY BUDGETING TERMS AND PRINCIPLES

Before launching into a description of the required budget elements, it is vital to explain some key fiscal terminology and principles that may affect the development of the grant budget.

- **Administrative Costs:**
 - **Definition:** The definition of administrative costs used for earmark grants is unique to the programs funded by the U.S. Department of Labor/Employment and Training Administration (ETA). ETA's definition of administrative costs is found in the Code of Federal Regulations at 20 CFR 667.220 (b) and (c). ETA uses a function-based definition of administration which means costs associated with certain functions, such as accounting, procurement, financial management, payroll, etc. are considered administrative costs. Program costs are those related to the direct provision of employment and training services to participants and employers. An individual, such as a program director, can incur both program and administrative costs depending on the function which is being performed. More information about program and administrative costs can be found in Appendix E.

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- **Limitation:** An entity that receives an earmark grant to carry out a project or program may not use more than 10% of the total amount awarded for the grant to pay administrative costs associated with the project or program. In limited cases, the Grant Officer may approve a 15% administrative cost level, but the grantee will need to request a higher level in writing in its grant proposal and provide information to document the need for the higher cost level. Typically, only the grantee organization incurs administrative costs. A subgrantee under the grant would incur administrative costs only if a subgrant is for the sole purpose of carrying out an administrative function. The administrative limit applies to the total award amount and includes both direct administrative costs and indirect administrative costs. Not all indirect costs are necessarily administrative costs under the ETA definition. That portion of indirect costs that are administrative, plus any direct administrative costs, cannot exceed the 10% cost limitation. Note: The Indirect cost line item on the Federal Budget Information Form is normally different from the administrative cost limit.
 - **Program Costs:** Program costs are those related to the direct provision of employment and training services to participants and employers. An individual, such as a program director, can incur both program and administrative costs depending on the function which is being performed. For instance, when a program director is meeting with project partners to discuss how services will be designed and provided to participants, the salary associated with that time is a program cost. However, when a project director spends time developing a budget for a contractual agreement with a project partner, the salary associated with that time is an administrative cost because budgeting is an administrative function.
 - **Direct Costs:** Costs that can be specifically identified with a particular final cost objective.
 - **Indirect Costs:** Costs that are incurred for common or joint objectives that benefits more than one project. They may originate in your own unit or in units or departments of your organization that supply goods, services, or facilities to the earmark grant. Most often, the term “indirect

costs” is used to indicate costs that are incurred to support the overall operation of the organization. Reference Book Two: A Guide to Financial & Grant Management Requirements for Earmark Grants and Appendix F provides additional information about indirect cost rates and agreements. Indirect costs may be both administrative and programmatic. The following website provides valuable information on applying for an indirect cost rate from the DOL, Division of Cost Determination: <http://www.dol.gov/oasam/programs/boc/costdeterminationguide/main.htm#toc>

- **Cost Allocation Plan:** A document that identifies, accumulates, and distributes allowable direct and indirect costs and identifies the allocation methods used for distribution of these costs across projects.

PROCESS FOR DEVELOPING A BUDGET

Constructing a project budget takes time and involves coordinating with project staff and partners. When developing the project budget it is highly recommended that grantees review the activities and tasks listed in their **statement of work**. Reviewing the statement of work will help grantees assess the following elements:

- Who will be doing the work on the project and how long will their services be required based on the proposed tasks (e.g., grant staff, partner staff, contractors);
- What types of resources are needed to support each task (e.g., rent, utilities, computers, telephone service, copiers, office supplies, etc.); and
- Whether partners are willing to donate cash, items, or services needed to complete the project.

The Budget Narrative worksheets in the SF-424A (Appendix G) are designed to assist grantees in meeting the requirements for a detailed cost analysis and may be helpful to use when developing your budget projections. It may also be useful to have staff involved in delivering services participate in preparing the budget assumptions since they have direct, first-hand experience with providing the service or activity. Also, grantees should be aware that a number of factors might affect the budget projections. Some examples of factors affecting budget estimates include:

- Staff on the project may be eligible for salary increases or raises during the life of the project;

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- The rising costs of health insurance and worker disability insurance may affect the fringe benefit rates; and
 - Transportation costs may be affected by rising gasoline prices.

Grantees should try to anticipate factors that may affect the budget when developing their projections and be prepared to provide a narrative explanation of these factors in the Budget section of the grant proposal. Once grantees have developed a list of needed resources it is time to organize the listed items into the cost categories required by ETA.

HOW TO COMPLETE THE BUDGET SECTION OF THE EARMARK APPLICATION

The Budget part of the Earmark application consists of two sections: A – Budget Information Form and B –Budget Category Excel Worksheets and Budget Narrative.

A. Budget Information Form

An electronic version of the Budget Information form is contained in Appendix G. The budget form has six sections: A - Budget Summary, B - Budget Categories, C - Non-Federal Resources, D - Forecasted Cash Needs, E - Budget Estimates of Federal Funds Needed for Balance of the Project, and F - Other Budget Information. Grantees cannot make any entries on the Budget Information Form. Sections A and B of the SF 424A are populated automatically as the budget category excel worksheets, addressed below, are completed. The following information has been pre-entered in the first row of section A: column (a) – Congressional Earmark 2008; column (b) – 17.261; information in columns (e) and (g) will be input automatically after the “Amount Awarded” field in the top left corner of “Personnel” worksheet is filled in.

Grantee’s anticipated expenses are listed in the object class categories in Section B – Budget Categories:

- **Personnel:** This refers to wages/salaries paid to employees of the grantee organization who are directly involved in grant implementation. This line item does not include personnel hired by the subgrantee—those costs are included in the Contractual line item.
- **Fringe Benefits:** The cost of benefits paid to the personnel on the grant, including the cost of employer’s share of FICA,

health insurance, workers' compensation, vacation and sick leave, holidays, or unemployment insurance. The budget worksheet for this category should contain descriptive information about what specific fringe benefits are being charged to the grant, including the fringe benefit percentage.

- **Travel:** Refers to costs that are reasonable and necessary to effectively manage and carry out grant activities, provide oversight or measure program effectiveness. Air travel, when necessary, should be obtained at the lowest possible customary standard (coach or equivalent fare). Travel costs may be charged on an actual basis or on a per-diem or mileage basis in lieu of actual costs. This line item does not include travel expenses of the subgrantee—those costs are included in the Contractual line item.
- **Equipment:** Refers to nonexpendable personal property that has a useful life of more than 1 year and a per-unit cost of \$5,000 or more. The only type of equipment that may be acquired with Federal funds is equipment necessary for the operation of the grant. In the instance of a purchase, the cost of the equipment is to be prorated over the projected life of the equipment to determine the cost to the grant. Use of grant funds to purchase equipment with a unit cost of \$5,000 or more requires special review and approval from the Grant Officer prior to purchase. Shipping, delivery, and installation if necessary are a normal part of the cost of equipment and should be included in the budgeted amount.
- **Supplies:** All consumable materials costing less than \$5,000 per unit, and other goods such as copy paper, pens and pencils, and any materials needed to conduct training, computers, etc. are supplies. Shipping and delivery are a normal part of the cost of supplies and should be included in the budgeted amount.
- **Contractual:** The cost of any contract or subgrant agreement. Contractual costs could include sub-agreements for evaluating the grant, providing training, etc. The total costs of all subgrant contracts are reflected in this line item.
- **Other:** Direct costs that do not fit any of the aforementioned categories, such as rent for buildings used to conduct grant activities, utilities and/or leased equipment, child care, transportation expenses, tuition for training, etc. are reflected in the Other line item.

-
- **Total, Direct Cost:** This is the total of lines 1 through 7. The SF-424A will automatically sum up the direct costs after the worksheets for each category are completed.
 - **Indirect Cost:** If the grantee has an approved indirect cost rate and wishes to apply it to this grant, then a copy of the indirect cost agreement, signed by the cognizant federal agency must be included as an attachment to the grant proposal. Appendix F provides information on how to apply for and obtain an indirect cost rate if grantees have more than once source of funding, and at least one of these is a direct allocation from the Federal government.
 - **Totals:** This category is populated automatically and represents the total amount of lines 6(i) and 6(j), equaling to the total amount of funds authorized for the project.

B. Budget Category Excel Worksheets and Budget Narrative

Budget Category Excel Worksheets: The SF 424A, Section B, requires grantees to classify expenses in the following object class categories: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction (not used for earmark grants), Other, and Indirect Costs. Appendix G contains an individual worksheet for each of these object class categories. Complete the Budget Category Worksheets for each object class category. Each worksheet identifies in detail the costs attributable to each object class category in Section B, lines 6(a) – 6(j) of the SF 424A. The worksheet cells contain instructions and drop down menus to aid in their completion. Data from the completed budget worksheets will automatically populate Sections A and B the SF-424A.

Budget Narrative: At the bottom of each worksheet is a text block to enter a budget narrative. The budget narrative explains or justifies the amounts entered for each Object Class Category on SF-424A and the supporting worksheets. A brief explanation should be provided which explains how the costs associated with each object class category relate to the implementation of the statement of work and the achievement of grant goals. Grantees should try to anticipate factors that may affect the budget when developing their projections and provide a narrative explanation of these factors. In this section, grantees also include a narrative explanation describing the percent of the award amount that will be spent on administrative costs, including a description of administrative services being charged to the grant. The narrative ties the grant

budget to the proposal's Statement of Work.

The following section provides directions for completing the budget category worksheets as well as examples of completed worksheets and budget narrative statements.

Personnel Worksheet

This is the first worksheet in the SF-424A MS Excel workbook. Grantees should start by typing in the Name of Grantee Organization, Amount Awarded, and Funding Period (From-To). The funding period of performance cannot be prior to July 1, 2008. The worksheet will not calculate the values if this initial information is not provided. Here and on the other worksheets data can be entered in the cells colored in light green.

The following information to support the staffing plan for the project should be provided in the Personnel table:

- **Position:** Enter the title for each staff position. These titles should match the information provided in the technical proposal. If the grantee has more than one employee in the same position, at the same salary level and employed for the same period of time, each employee should be entered on a separate line.
- **% of Time:** List the percent of time each staff person will devote to the project. For example, if a staff person were full-time but only spending 75% of their time on the project, he or she would be .75 FTE (full-time equivalent).
- **Monthly Salary/Wage:** Enter the average monthly salary, not the average full-time salary. Since pay periods vary from organization to organization, the average would be the annual total salary divided by 12 months. If an employee is expected to receive a salary increase during the grant period, figure the average monthly salary for the entire year based on the sum of the two salary figures for the number of months the employee will receive each salary.
- **# of Months:** Enter the projected number of months the position will be filled during the grant period.
- **Cost:** The total cost equals (% of Time) x (Monthly Salary/Wage) x (# of Months).

Name of Grantee Organization	Funding Period	Amount Awarded	# of Months
The Best Workforce Development Program, Inc.	07/01/08 to 06/30/09	\$500,000	12

Object Class Category (a.): PERSONNEL				
A Position	B % of Time	C Monthly Salary/Wage	D # of Months	E Cost
1. Executive Director	20.00%	\$ 3,600	12.00	\$8,640
2. Project Director	100.00%	2,200	12.00	\$26,400
3. Administrative Assistant	50.00%	1,200	12.00	\$7,200
4. Job Developer	100.00%	2,000	12.00	\$24,000
5. Case Worker	100.00%	1,600	10.00	\$16,000
6. Case Worker	100.00%	800	10.00	\$8,000
7. Outreach Specialist/Recruiter	40.00%	1,400	12.00	\$6,720
TOTAL PERSONNEL				\$96,960

Budget Narrative: PERSONNEL
The total amount for Staff Salaries is projected to be \$96,960. The Project anticipates the need for seven staff persons, four of whom – Project Director, Job Developer and two Case Workers, will work full-time on the project. The Administrative Assistant will dedicate 50% of his/her time to the project and the Outreach Specialist/Recruiter will spent 40% of his/her time. Executive Director of the project will spend 20% of his/her time on the project activities.

Fringe Benefits Worksheet

In this worksheet grantees should provide a detailed listing of the benefits provided to employees as well as the fringe benefit percentage.

- **Position/s:** Using the drop down menu, select the position title. The drop down menu will reflect the positions listed in the Personnel worksheet.
- **Benefit/s:** Using the drop down menu, select the type of benefits that will be provided. If multiple benefits are included in the base amount, list each of them in a separate row.
- **Rate:** Enter the fringe benefit rate used to calculate benefits for each source. If the list of fringe benefits is itemized, list the source for each item.
- **Base Amount:** Enter the Gross Salary used against the rate for the salary/s you are calculating.
- **Cost:** The total cost is (Rate) x (Base Amount)

Object Class Category (b.): FRINGE BENEFITS				
A Position/s	B Benefit/s	C Rate	D Base Amount	E Cost
1. Executive Director	Disability (Long-Term)	1.20%	\$ 8,640	\$ 104
2. Project Director	Full Package	34.00%	26,400	8,976
3. Administrative Assistant	Full Package	34.00%	7,200	2,448
4. Job Developer	Full Package	34.00%	24,000	8,160
5. Case Worker	Full Package	34.00%	16,000	5,440
6. Case Worker	Full Package	34.00%	8,000	2,720
7. Outreach Specialist/Recruiter	Full Package	34.00%	6,720	2,285
TOTAL FRINGE BENEFITS				\$ 30,133

Budget Narrative: FRINGE BENEFITS
The fringe benefit rate for 6 employees of this project is 34% of staff salaries or \$30,133 and accounts for the full package of benefits that consists of (a) medical, dental and vision coverage; (b) short- and long-term disability insurance; (c) holiday and sick leave pay; (d) life insurance; and (e) FICA and Unemployment Insurance. Fringe benefit rate for the Executive Director position is 1.20% and includes the Long-Term Disability Insurance only.

Travel Worksheet

Travel includes mileage, plane fare, meals and incidentals, lodging, and any other cost associated with travel for the grant including parking and taxi or shuttle service to and from the site. Travel costs may be charged on an actual basis or on a per-diem or mileage basis in lieu of actual costs.

Grantees should provide a narrative describing the purpose of the travel and the assumptions used to generate the travel amounts. Each type of travel cost (e.g. mileage, per diem, etc.) should be entered on separate lines.

- **Item:** Enter a brief description of the travel item to be charged to the grant. Remember, travel for contracted employees is entered under “Contractual” category.
- **# of Staff:** Enter the number of staff who will charge this type of travel.
- **# of Units:** Enter the number of units estimated to be charged to the grant per traveler (staff) for the year.
- **Unit Type:** From the drop-down menu, choose the unit type to be used for the calculation.
- **Cost per Unit:** Enter the cost of the travel item per traveler. If calculating based on mileage, enter the cost per mile.
- **Cost:** The total cost is (# of Staff) x (# of Units) x (Cost per Unit)

Object Class Category (c.): TRAVEL					
A Item	B # of Staff	C # of Units	D Unit Type	E Cost per Unit	F Cost
1. Mileage - Project Director	1	8,000	Miles	\$ 0.42	\$ 3,360
2. Mileage - Job Developer	1	12,000	Miles	0.42	5,040
3. Mileage - Case Manager (Full-Time)	2	10,000	Miles	0.42	8,400
4. Mileage - Outreach Specialist	1	5,000	Miles	0.42	2,100
5. Per Diem - Project Director	1	40	Day/s	35.00	1,400
6. Per Diem - Job Developer	1	40	Day/s	35.00	1,400
7. Per Diem - Case Manager (Full-Time)	2	40	Day/s	35.00	2,800
8. Per Diem - Outreach Specialist	1	20	Day/s	35.00	700
9. Lodging for Training/Conferences	4	3	Day/s	100.00	1,200
10. Per Diem for Training/Conferences	4	4	Day/s	35.00	560
11. Plan Tickets for Conferences	4	1	Trip/s	350.00	1,400
12. Miscellaneous Travel	5	10	Month/s	50.00	2,500
TOTAL TRAVEL					\$ 30,860

Budget Narrative: TRAVEL
Mileage costs for the Project Director, Job Developer, two Case Managers, and Outreach Specialist, are to conduct recruitment and provide outreach throughout the District. Mileage is calculated at 42 cents per mile with an estimated total mileage of 45,000 miles over two years. Per Diem rates for the staff is calculated at \$35 per day based on the organizational travel policies; the staff will travel to local community colleges, community-based organizations, and high schools to present the program to other populations. Lodging, per diem, and transportation ticket costs for Training/Conferences is reserved for the DOL Earmark training session. Miscellaneous Travel funds are for transit transportation costs for staff's local travel. Total cost of travel is \$30,860.

Equipment Worksheet

Equipment is defined at both 29 CFR 97.3 and 95.2 as tangible, non-expendable personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for the financial statement purposes, or (b) \$5,000 per unit cost. If the cost of equipment was not charged directly to the grant or subgrant at the time of acquisition, then the equipment does not fall under the property management requirements of Section 95.34. Items that cost less than \$5,000 per unit should be entered under the Supplies worksheet, unless the item is part of a larger system. For example, if the item is part of the organization's Information Technology (IT) system it would be considered equipment regardless of the unit cost of the item (see the example below). Shipping, delivery, and installation (when necessary) are a normal part of the cost of equipment and should be included in the budgeted amount.

Grantees wishing to obtain approval for the purchase of equipment at the time of proposal submission should state their intentions in the Budget Narrative section of the worksheet and provide the following information: an explanation of how this equipment will

be used to further the grant’s objectives, a justification for the need for the equipment, the basis for valuation of the equipment, and a description of the equipment to be purchased. If the equipment is approved, the grant officer will so state in the letter transmitting the grant award to the grantee. Otherwise, the grantee must make a subsequent request in writing to the Grant Officer at a later date for approval to purchase equipment.

For audit purposes, grantees should maintain equipment records that include the following data on equipment: description; identification number; funding source; title holder; acquisition date; percentage of Federal participation in the cost; location, condition and last inventory date; acquisition cost; and ultimate disposition date, including date of disposal and sale price or current fair market value, including method used to determine the value. This information is not required in developing the Grant Proposal, but should be readily available for monitoring purposes by Federal staff and/or auditors.

Object Class Category (d.): EQUIPMENT			
A Item	B # of Items	C Cost per Item	D Cost
1. Die Cutting Machine	1	5,500	\$ 5,500
2. LAN Equipment	1	6,500	6,500
3. LAN Monitoring & Administration Software	1	1,000	1,000
TOTAL EQUIPMENT			\$ 13,000

Budget Narrative: Equipment
Die cutting machine will be used by the program participants to provide the hands-on experience on die-cutting and embellishing. The project will be purchasing one machine at \$5,500. This is an average price for the industrial die cutting machines available on the market today. The project will also purchase LAN switches and routers, as well as LAN cables so that staff on the project can connect their computers to the company network. The total price of LAN Equipment to be purchased is \$6,500. LAN monitoring and administration software will be used to maintain the security of the company network. The software will be purchased at \$1,000. Prices for LAN equipment and software are estimated based on the average prices of LAN equipment and software on the market.

Supplies Worksheet

Supplies refers to all consumable materials, items costing less than \$5,000 per unit, and other goods such as copy paper, pens and pencils, any materials needed to conduct training, computers, printers, etc. Supply purchases are charged to the grant at their actual prices after deducting all cash discounts, trade discounts, rebates, or allowances. Shipping and delivery are a normal part of the cost of supplies.

Supplies should be lumped under larger categorical headings and detailed information on computations justifying the respective

amounts should be provided. The basis for all estimates should be indicated in the chart or as a separate narrative.

Object Class Category (e.): SUPPLIES				
A Item	B # of Units	C Unit Type	D Cost per Unit	E Cost
Office Supplies	13	Month/s	\$ 100	\$ 1,300
Books for Die Cutting Class	100	Item/s	40	4,000
Protective Eye Wear	100	Item/s	12	1,200
Computer and Printer	4	Item/s	1,000	4,000
Miscellaneous	1	Item/s	175	175
Postage	12	Month/s	100	1,200
TOTAL SUPPLIES				\$ 11,875

Budget Narrative: SUPPLIES
Office supplies (\$1,300) include file folders, paper, pens, and other basic supplies. The budgeted amounts listed on the SF-424A worksheets are based on an assessment of per unit costs for similar projects from last program year (January 1, 2007 to January 1, 2008). Three computers and one printer (\$4,000) will be installed in the classroom and are not a part of the organization's IT system. Books for Die Cutting Class are required for the training sessions. One book per participant will be purchased for the project. Protective eye wear is required for each participant. Based on past similar training programs, we anticipate \$175 in additional training related miscellaneous supply costs will be incurred. Postage costs will be incurred for mailing of the outreach and recruitment materials.

Contractual Worksheet

The cost of any contract or subgrant agreement between the grantee and another organization (i.e., vendor) should be included on the worksheet. Contractual costs could include sub-agreements for evaluating the grant, providing training, maintenance contracts, other service contracts, etc. The budget description should provide the name of the vendor if known, an explanation of the services to be provided under the contract or sub-agreement and the contracted amount. In most instances, the name of the vendor will not be known since the grantee will not enter into a procurement action until after the grant is awarded.

The term “procurement” is used to identify the process of acquiring goods and services from sources outside of the grantee organization. Federal regulations require that all procurements provide for full and open competition to the maximum whenever practicable and possible. Non-competitive procurements can only be used in very limited circumstances and should be viewed as a “last resort.” See Reference Book Two: A Quick Guide to Financial Management Requirements for Earmark Grants.

In some limited instances, a partner may be identified in the grant application prior to the grant award. To qualify as a partner, the partner organization needs to have been part of the proposal development, has to have brought some resources into the program,

and needs to be an integral part of the project’s scope of work. The involvement of the partner organization in these activities needs to be adequately documented in the procurement record. The procurement record for a partner, as well as service provider procured after grant award, must provide the procurement history, the basis for the contractor selection, and if applicable, justification for lack of competition, as well as the basis for the award cost or price.

Object Class Category (f.): CONTRACTUAL	
A Brief Description	B Cost
Contract for Die Cutting Training ABC, Corp.	\$ 100,000
Contract for mentors	30,000
TOTAL CONTRACTUAL	\$ 130,000

Budget Narrative: CONTRACTUAL
The ABC Corporation will develop a customized training curriculum for high-technology manufacturing using instrumentation available at the organization. This is in addition to the die cutting machine being purchased with grant funds. ABC is the only entity in the grantee area which has this highly sophisticated equipment available, is a partner in the proposal development, is providing use of the equipment and training facility at no cost to the grant, and is integral to the overall goal of the grant. The total contract amount for ABC Corporation is \$100,000. We will also hold a free and open competition to procure an entity to provide mentoring services to our at-risk participants. Based on past experience, we are budgeting \$30,000 for this contract.

Other Costs Worksheet

Enter items that do not fit under any of the other cost categories, such as rent, utilities, equipment that is rented and/or leased supportive services (e.g., child care, transportation subsidies, etc.), and training/tuition costs. Note: Equipment cannot be leased if the cost of leasing or renting the equipment exceeds the cost of purchasing the equipment over the life of the grant. Copies of lease or rental agreements should be kept on file and available for review by Federal staff and/or auditors. A description of the activity or product should be provided as well as the unit cost for the service.

Object Class Category (h.): OTHER COSTS (Including Training Expenses)				
A Item	B # of Units	C Unit Type	D Cost per Unit	E Cost
Die Tool Class Tuition	100	Item/s	\$ 1,500	\$ 150,000
Rent of Classroom for Work Safety Course	45	Day/s	100	4,500
Work Safety Course for 50 attendees	2	Item/s	500	1,000
TOTAL FRINGE BENEFITS				\$ 155,500

Budget Narrative: Other Costs
These costs include Die Tool class tuition (\$1,500) for each participant, rent of Classroom for the Work Safety Course for approximately 50 attendees that fail the safety test.

Indirect Costs Worksheet

Indirect costs are costs that are incurred for common or joint objectives that benefits more than one project. They may originate in your own unit or in units or departments of your organization that supply goods, services, or facilities to the earmark grant. Most often, the term “indirect costs” is used to indicate costs that are incurred to support the overall operation of the organization. Reference Book Two: A Guide to Financial Management Requirements for Earmark Grants and Appendix F provides additional information about indirect cost rates and agreements. Indirect costs may be both administrative and programmatic.

If the grantee operates with a single funding source then an indirect cost rate is not needed. However, if the grantee has multiple funding sources, especially Federal funding sources that support the operations and activities of the organization then an indirect cost rate is needed.

An indirect cost rate is necessary for the equitable distribution of costs to all benefiting activities. It provides for the systematic allocation of indirect costs to cost objectives in reasonable proportion with the benefits received. These costs are not readily assignable to specific awards and activities because a direct relationship to cost objectives (e.g., grants, contracts, fundraising, services to members, etc.) cannot be shown or would be somewhat arbitrary in nature.

If the grantee has an approved indirect cost rate, a copy of the indirect cost agreement, signed by the cognizant Federal agency must be included as an attachment to the grant proposal. For organizations with no prior approved indirect cost rate, and the grantee is intending to budget for and charge indirect costs to the grant, then an indirect cost rate proposal must be developed and submitted to the U.S. Department of Labor, Office of Cost

Determination (OCD) no later than 3 months after the effective date of the DOL agreement.

Object Class Category (i.): INDIRECT CHARGES	
OPTION A For grantees that have an approved Indirect Cost Rate Agreement	
Federal agency that issued the agreement	HHS
What is the approved rate (%)?	15%
What is the base against which rate is applied? (Note: enter description as specified in the agreement)	Total direct costs excluding equipment expenditures and that portion of each subaward in excess of \$25,000
What is the the base amount (\$)?	\$ 452,457
Enter the rate (%) that will be used for this grant	9.00%
Enter the amount (\$) that will be used for this grant	\$ 40,721
OPTION B For grantees that DO NOT have an approved Indirect Cost Rate Agreement	
Enter fixed amount (\$) that will be used	
(Note: This will be only temporary until your Indirect Cost Rate Application is submitted and approved)	
TOTAL INDIRECT CHARGES	40,721

Budget Narrative: Indirect Charges
We have a currently approved indirect cost rate agreement from HHS for 15% covering the period January 1, 2007 to December 31, 2009. The indirect cost base is total direct costs excluding equipment expenditures and that portion of each subaward in excess of \$25,000. We are only charging a 9% IDCR to the grant in order to stay within the 10% administrative cost limitation. We will charge the balance of the indirect costs to a nonfederal source.

Administrative Costs Worksheet

The administrative cost worksheet only contains a text block to enter the budget narrative. In this section, grantees should describe the percentage and the total amount of the award amount that will be spent on administrative costs, and delineate the administrative services being charged to the grant.

Budget Narrative: Administrative Costs
Administrative costs charged to this project will include salaries and fringe benefits of the Executive Director (\$8,744), the Administrative Assistant (\$9648), a portion of the postage and office supplies (\$650) and a portion of the cost of the LAN equipment (\$3500), totaling \$22,542 and constituting 4.5% of the total grant award amount of \$500,000.

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FY 2008 Earmarked Proposal to the:

U.S. Department of Labor Employment and Training Administration

Project Title:

[Project Title]

Submitted By:

[organization's name as in the appropriation]

[address]
[city, state, zip code]
[phone]
[fax]
[e-mail]

Transmitted By:

[indicate who is approving the document for submission]



Date:

[date submitted]

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SF-424 Application for Federal Assistance

Insert a completed form SF 424 here. This form is included on the Earmark Training CD. The Earmark Training CD includes the form. The form may also be downloaded from the ETA website at: <http://www.doleta.gov/sga/forms.cfm>, click SF 424 Application for Federal Assistance

The following Project Technical Proposal template with brief instructions is provided for your convenience, for completing your proposal. There are also more detailed instructions and examples in for detailed instructions in The Proposal Guide, Section I.

Once you finalize your proposal, you can omit the Instruction boxes.

I. TECHNICAL PROPOSAL

1. Abstract

See Proposal Guide, Section I-1, for detailed instructions and examples for the Abstract. Recommend allowing one page in length.

Answer these questions:

What is the purpose that the project is intended to accomplish? This must reiterate the purpose contained in the Earmarked Appropriation line of the Congressional Conference Report but you may add clarifying details. Recommend a paragraph or less.

Who are the grantee and the project partners? Provide applicant organization's name. Briefly describe roles, contributions of key partners, and other substantial contributors. Recommend a paragraph or less.

Why are you implementing this project? Briefly describe the needs addressed by the project. Recommend a paragraph or less.

What outcomes do you anticipate for your project? These will commonly be stated in terms of outcomes for individuals, but may include other desired outcomes depending on of project.

How will you deliver services? Discuss components of the project and how they relate to the need. Mention any unique features of your service methods or delivery mechanism. Recommend one or two paragraphs.

2. Statement of Needs

See Proposal Guide, Section I-2, for detailed instructions and examples.

A. Project's Purpose

Describe the purpose that the project is intended to accomplish. This must reiterate the purpose contained in the Earmarked Appropriation line of the Congressional Conference Report. Only activities that substantially conform to the Congressional text are eligible for funding under the Earmarked Program but you may add clarifying details. Recommend a sentence in length.

B. Description of the Major Issues Addressed

What are the major issues or problems that the project is addressing in conjunction with the project's purpose? Generally these should be no more than a half dozen in number, but for some project designs, might consist be a single, distinct issue. Provide enough factual (preferable quantified) information to explain the issue and its significance.

The scope of each issue should be no longer than the project is proposing to address. For example, a project with a neighborhood focus should not address a state-wide issue.

Section 171 of the Workforce Investment Act (see Appendix B of Reference Book 1)-- which governs what is permissible for demonstration, pilot and similar projects funded with an Earmarked appropriation--requires that "such projects shall include the provision of direct services to individuals to enhance employment opportunities." Therefore, with rare exception, one or more of these issues must be about the needs of the individuals that the project will serve.

The issues will be used to organize the remainder of the technical proposal.

Issue #1, _____:

Issue #2, _____:

Issue #3, _____:

Issue #...

C. Individuals to be Served (Participants)

In this section describe the population of individuals to which the project will provide services. Include any eligibility requirements that the project will use.

Also explain why this population was selected.

a) Description of Individuals Being Served and Eligibility Criteria (if Applicable)

b) Rationale for Selection

3. Description of the Impacted Area

A. Area Delineated

Delineate the geographic boundaries of the area being impacted. Describe the physical and social features of the area being served that affect the need for the project or strategies being used.

Where appropriate, ETA encourages grantees to plan strategies that serve large, multi-county regions or labor markets. Such a region might overlap two or more states. In these instances the states and counties affected would be included in the description. Tables or maps may be included to accomplish this.

B. Labor Market Information for the Area

Describe the principal employment needs and conditions relevant to the project. May use the table below to display relevant occupational information, and add a short written narrative. Information should link to project issues and goals. Recommend one page or less in length.

Occupational Projections Table

TARGETED OCCUPATIONS	CURRENT EMPLOYMENT	GROWTH FORECAST	AVERAGE WAGE

C. Socioeconomic Information for the Area

You may provide here any additional, pertinent, socioeconomic data about the area that was not included in the issues section. Recommend a half page or less.

4. Statement of Work

See proposal Guide, Section I-4, for detailed instructions and examples.

The Statement of Work has five subsections. The Statement of Work contains an overview of the project goals and major components addressing the issues outlined in your Statement of Need (Section 2). This section also contains the work schedule and a description of your partners/collaborators and linkages with the Workforce Investment System.

A. Project Goals

For each of the issues identified, provide one or more goals for what the project is to accomplish by the end of the grant period. Goals should be action oriented, measurable (preferably quantifiable) and time-specific.

The goals should be no longer than a sentence each.

Goal #1,_____:

Goal #2,_____:

Goal #3,_____:

Goal #...,_____:

B. Major Project Components

a) Description of Components for Addressing Each Issue and Goal.

For each major project component, discuss who provides what, when, and where, and delivery methods. This section is the heart of the technical proposal. At least one of the services must describe services for individuals. Components can address multiple goals.

Note that federal regulations restrict the use of funds for some categories of activity such as for construction. In addition Section 181 of WIA restricts the use of funds for employment generating activities, economic development activities and similar activities that are not directly related to training for eligible individuals under the Act.

If some components are funded from other funding sources, they can be included here but separate funding should be explained.

Allow two or more paragraphs per component. (Secondary activities/tasks are to be listed later as part of the Work Schedule.)

Component #1, _____:

Component #2, _____:

Component #3, _____:

Component #..., _____:

b) Diagram of Project Components

Provide any project component/service diagrams or flow charts as applicable. May be on separate pages and in a landscape format.

C. Work Schedule

Complete a Work Schedule chart. Add or delete rows as appropriate. Take components directly from Section 4.B(1). Shorter projects do not need to include a full 2nd year in the Work Schedule. But, be sure to list all critical tasks, including start-up tasks such as hiring staff or executing subcontracts. Also, the Schedule should include post-project activities such as the completion of evaluations.

WORK SCHEDULE										
Project Component	Task	Year 1				Year 2*				Staff / Organization Responsible
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	
Evaluation										

Insert Xs for periods of occurrence. Show entries only in those quarters needed to complete the project and the evaluation.

D. Partner/Collaborator Participation

Discuss partner commitments, including services delivered by partners that are essential to the project's implementation and success. Recommend a paragraph per partnering organization.

Refer to any Letters of Commitment that describe specific services which will be provided by a partner. Note that a letter of support does not qualify as a letter of commitment. Only attach letters of commitment.

Do not include services that may be competitively procured later from various firms or organizations. (These activities should, however, be described in the Major Project Component sections of the narrative (4.B (1)) as well as in the contractual section of the budget rationale.)

E. Linkages with the Workforce Investment System

Describe what efforts have been made to link the project with the State and/or local workforce investment system, or other DOL-funded activities. Does the grantee have a formal agreement with the State and/or local Workforce Investment Board, including the Career One-stop operator? If yes, please describe the nature of the agreement. Recommend one to three paragraphs.

5. Project Outcomes

See Proposal Guide, Section I-5, for detailed instructions and examples. Recommend two pages or less.

A. Performance Measures and Planned Outcomes

For each project component or goal identify the performance measures that will determine whether the project was successful during the grant period. Include how that measure is defined (e.g., what is included in the numerator and denominator, what data that are excluded, and what is the measurement's time period), and provide the expected level of performance. Include any significant product outcomes such as reports or curricula. For employment and training type activities, the measures should include the WIA Common Measures when applicable (refer to the Section I-5).

Use the chart below to provide the information for this section. A narrative statement may also be used to provide supplemental information such as about data collection methods and responsibilities.

PERFORMANCE TABLE		
Name of Performance Measure	Measure Definition or Formula	Planned Level of Outcomes
Measure 1:		
Measure 2:		
Measure 3:		
Measure 4:		
Measure ...:		

B. Evaluation Component

WIA demonstration grants are required to have an evaluation report completed following the project's completion. The cost of the evaluation should be allowed for in the project budget and the evaluation should be included in the Work Schedule as a component. The cost of the evaluation should be kept to a minimum, for example, by using graduate students from a university.

a) Design of the Evaluation

Describe the design of the evaluation. What will be the evaluation methodology? What will be the steps of the evaluation? Who will conduct the steps? Explain any difference between performance measures used in the evaluation and those listed in Section I-5b. Recommend a half page in length.

b) Evaluator

State who will conduct the evaluation. Who will collect and analyze data? Who will write the evaluation report? Recommend one or two paragraphs.

6. Management and Personnel

See Proposal Guide, Section I-6, for detailed instructions and examples. Many earmarked projects are operated by large organizations such as counties or universities, or consortia, although others are operated by quite small organizations. The following questions are intended to help ETA understand your organization. Recommend two pages or less.

A. Applicant Organization and Project Administration

a) Organization Structure

What is the structure of the organization(s) to be funded through the grant? What is the legal form of the lead organization? For example, is it a consortium, community college or non-profit corporation? Will the grant result in a new organization that doesn't currently exist? What are major units of the applicant organization(s) involved with the project and their functions? What is its governance structure, e.g., does a board of trustees review all grant proposals, etc.? The length of the description should vary based upon the complexity of the situation. Recommend a half page to two pages.

- **Location of the Project within the Organization's Structure**

Provide a diagram that shows the relationship between the project and units within the applicant organization. The diagram may be on a separate page and in a landscape format. Include a brief description of the project's relations to these organizational units.

Recommend a paragraph in length.

- **Relationship of Project to Other Organizational Activities**

As applicable, explain how the project relates to similar, on-going activities of the organization. (If the organization is operating more activities than those funded through the grant, it may need to segregate out the data and expenditures for these activities later.)

If this project is a continuation or follow-on to a previous grant (not necessarily an earmarked grant), explain the relationship between the new and prior grant activities.

Note that grants through DOL are to be used for activities that are in addition to those that would otherwise be available in the absence of such funds. (See WIA Sec. 195.2.)

Recommend a half page in length, dependent upon complexity.

- b) Project Administration**

- **Project Oversight and Start-up Responsibilities**

Explain which organizational positions, whether grant-funded or not, have different types of oversight responsibility for the project. (For example, in some organizations the head of the organization, who signs the grant, is not involved in the project's day-to-day activities; these activities are delegated to a project manager.)

If this is not an on-going project, explain who will be responsible for project development during the start-up phase. For what start-up activities (e.g. staff recruitment) will this person(s) be responsible? As applicable, by when will the project be transitioned to newly-hired, project personnel?

Recommend two to three paragraphs.

- **Fiscal Responsibilities and Processes**

Will the applicant organization also be the project fiscal agent? If not, what organization will be? What position(s) will be responsible for project financial records and reports? Recommend a paragraph in length.

- **Reporting Responsibilities and Processes**

Which position will be responsible for collecting and analyzing programmatic data, maintaining files, and preparing summary reports including reports to ETA?
Recommend a paragraph in length

- **B. Staffing Level Rationale**

Discuss the basis for project staffing. If using staffing ratios (for example, 1 teacher to 15 participants), detail the ratios. Include an organization chart for the project itself if there are several project positions (this may be a separate page). Ensure adequate staff to complete the work. Recommend a half page excluding the chart. (Explain staff salaries in the Budget Rationale to follow.)

- **Key Staff**

Identify key staff by position and function. Describe the qualifications desired.
Recommend a paragraph or two per position.

7. Sustainment Plan

See Proposal Guide, Section I-7, for detailed instructions and examples. If the project is to continue after the grant period, how will the project be sustained? How will a sustainment strategy be developed? Outline the roles of project partners in helping to sustain the project. If the project is not to be continued, state that it will not be continued and include any phase down activities as part of the Work Schedule.
Recommend two or more paragraphs in length.

II. Budget

See Proposal Guide, Section II, for detailed instructions and examples. The budget is one of the most important pieces of the grant proposal. A complete and well-developed budget eventually becomes an effective management tool; a budget that doesn't truly represent a project's needs and situation will make it difficult for managers to assess financial performance over the life of the project and may result in a grantee experiencing cost overruns. The budget also provides ETA with information that is useful in assessing whether the activities and services described in the Statement of Work are consistent with the estimated costs in the budget.

A. Budget Information Form

This section should include the completed Budget Information Form, SF 424A. Please see Appendix G MS Excel file (*Appendix G - SF-424A and Worksheets.xls*) for the Budget Information Form and Budget Category Worksheets that are included in this section of the proposal.

Only Section A and B (Page 1) of the budget information form (SF-424A) will be completed, however, both pages must be included in the application. **Grantees cannot make any entries on the budget information form.** The required boxes are either already filled out or will automatically populate when the Budget Category Worksheets, addressed below, are completed. Earmark grantees are not required to complete Sections C through F.

In Section A- Budget Summary, the following information has been pre-printed in the first row: column (a) – Congressional Earmark 2008; column (b) – 17.261. *Section B, Budget Categories*, will be automatically populated as the budget category Excel worksheets, addressed below, are completed. A. 2. Budget Category Excel Worksheet

B. Budget Category Excel Worksheets and Budget Narrative

a) Budget Category Worksheets

This section should include the completed Budget Category Excel Worksheets and a narrative for each budget category. Please see Appendix G MS Excel file (Appendix G - SF-424A and Worksheets.xls) for the Budget Information Form and Budget Category Worksheets that are included in this section of the proposal.

The SF 424A, Section B, requires grantees to classify expenses in the following object class categories: Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Construction (not used for earmark grants), Other, and Indirect Costs. Appendix G contains an individual worksheet for each of these object class categories. Complete the Budget Category Worksheets for each object class category. Each worksheet identifies in detail the costs attributable to each object class category in Section B, lines 6(a) – 6(j) of the SF 424A. The worksheet cells contain instructions and drop down menus to aid in their completion. Data from the completed budget worksheets will automatically populate Sections A and B the SF-424A.

Administrative Costs: In addition to the worksheets corresponding to the object class categories on SF-424A Earmark grantees are required to complete the Administrative Costs worksheet included in the Appendix G - SF-424A and Worksheets.xls workbook.

b) Budget Narrative

Each MS Excel worksheet includes a Budget Narrative section in which grantees must explain or justify the amounts entered for each Budget Category on the SF 424 A and the supporting worksheets. In this section, grantees should also provide a brief statement which explains how the costs associated with each object class category relate to the implementation of the statement of work and the achievement of grant goals. Grantees should try to anticipate factors that may affect the budget when developing their projections and provide a narrative explanation of these factors in this section of the grant proposal. See proposal guide Section II for examples of budget narratives.

Administrative Costs: In this section, also include a narrative explanation describing the percent of the award amount that will be spent on administrative costs, including a description of administrative services being charged to the grant. Administrative costs are limited to 10% of the grant award. ETA uses a function based definition of administration which means costs associated with certain functions, such as accounting, procurement, financial management, payroll etc. are considered administrative costs. Be sure to review the definition and limitation discussion on administrative costs in Section II of the proposal guide.

III. Attachments

Additional items to include in final proposal.

- A. Letters of Commitment**
- B. Staff Resumes**
- C. Articles of Incorporation (if applicable)**
- D. IRS Status Form (if applicable)**
- E. Indirect Cost Agreement (if applicable)**

Appendix B - WIA Sections 171, 172, 181, and 195

WIA Sections 171, 172, 181, and 195

SEC. 171. DEMONSTRATION, PILOT, MULTISERVICE, RESEARCH, AND MULTISTATE PROJECTS.

(a) Strategic Plan.--

- (1) In general.--After consultation with States, localities, and other interested parties, the Secretary shall, every 2 years, publish in the Federal Register, a plan that describes the demonstration and pilot (including dislocated worker demonstration and pilot), multiservice, research, and multistate project priorities of the Department of Labor concerning employment and training for the 5-year period following the submission of the plan. Copies of the plan shall be transmitted to the appropriate committees of Congress.
- (2) Factors.--The plan published under paragraph (1) shall contain strategies to address national employment and training problems and take into account factors such as--
 - (A) the availability of existing research (as of the date of the publication);
 - (B) the need to ensure results that have interstate validity;
 - (C) the benefits of economies of scale and the efficiency of proposed projects; and
 - (D) the likelihood that the results of the projects will be useful to policymakers and stakeholders in addressing employment and training problems.

(b) Demonstration and Pilot Projects.--

- (1) In general.--Under a plan published under subsection (a), the Secretary shall, through grants or contracts, carry out demonstration and pilot projects for the purpose of developing and implementing techniques and approaches, and demonstrating the effectiveness of specialized methods, in addressing employment and training needs. Such projects shall include the provision of direct services to individuals to enhance employment opportunities and an evaluation component and may include--
 - (A) the establishment of advanced manufacturing technology skill centers developed through local partnerships of industry, labor, education, community-based organizations, and economic development organizations to meet unmet, high-tech skill needs of local communities;
 - (B) projects that provide training to upgrade the skills of employed workers who reside and are employed in enterprise communities or empowerment zones;
 - (C) programs conducted jointly with the Department of

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- Defense to develop training programs utilizing computer-based and other innovative learning technologies;
- (D) projects that promote the use of distance learning, enabling students to take courses through the use of media technology such as videos, teleconferencing computers, and the Internet;
 - (E) projects that assist in providing comprehensive services to increase the employment rates of out-of-school youth residing in targeted high poverty areas within empowerment zones and enterprise communities;
 - (F) the establishment of partnerships with national organizations with special expertise in developing, organizing, and administering employment and training services, for individuals with disabilities, at the national, State, and local levels;
 - (G) projects to assist public housing authorities that provide, to public housing residents, job training programs that demonstrate success in upgrading the job skills and promoting employment of the residents; and
 - (H) projects that assist local areas to develop and implement local self-sufficiency standards to evaluate the degree to which participants in programs under this title are achieving self-sufficiency.
- (2) Limitations.--
- (A) Competitive awards.--Grants or contracts awarded for carrying out demonstration and pilot projects under this subsection shall be awarded only on a competitive basis, except that a noncompetitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a portion of the funding for the project.
 - (B) Eligible entities.--Grants or contracts may be awarded under this subsection only to--
 - (i) entities with recognized expertise in--
 - (I) conducting national demonstration projects;
 - (II) utilizing state-of-the-art demonstration methods; or
 - (III) conducting evaluations of workforce investment projects; or
 - (ii) State and local entities with expertise in operating or overseeing workforce investment programs.
 - (C) Time limits.--The Secretary shall establish appropriate time limits for carrying out demonstration and pilot projects under this subsection.
- (c) Multiservice Projects, Research Projects, and Multistate Projects.--
- (1) Multiservice projects.--Under a plan published under subsection (a), the Secretary shall, through grants or contracts, carry out multiservice projects--
 - (A) that will test an array of approaches to the provision

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- of employment and training services to a variety of targeted populations;
- (B) in which the entity carrying out the project, in conjunction with employers, organized labor, and other groups such as the disability community, will design, develop, and test various training approaches in order to determine effective practices; and
 - (C) that will assist in the development and replication of effective service delivery strategies for targeted populations for the national employment and training system as a whole.
- (2) Research projects.--
- (A) In general.--Under a plan published under subsection (a), the Secretary shall, through grants or contracts, carry out research projects that will contribute to the solution of employment and training problems in the United States.
 - (B) Formula improvement study and report.--
 - (i) Study.--The Secretary shall conduct a 2-year study concerning improvements in the formulas described in section 132(b)(1)(B) and paragraphs (2)(A) and (3) of section 133(b) (regarding distributing funds under subtitle B to States and local areas for adult employment and training activities). In conducting the study, the Secretary shall examine means of improving the formulas by--
 - (I) developing formulas based on statistically reliable data;
 - (II) developing formulas that are consistent with the goals and objectives of this title; and
 - (III) developing formulas based on organizational and financial stability of State boards and local boards.
 - (ii) Report.--The Secretary shall prepare and submit to Congress a report containing the results of the study, including recommendations for improved formulas.
- (3) Multistate projects.--
- (A) In general.--
 - (i) Authority.--Under a plan published under subsection (a), the Secretary may, through grants or contracts, carry out multistate projects that require demonstrated expertise that is available at the national level to effectively disseminate best practices and models for implementing employment and training services, address the specialized employment and training needs of particular service populations, or address industry-wide skill shortages.
 - (ii) Design of grants.--Grants or contracts awarded under this subsection shall be designed to obtain

information relating to the provision of services under different economic conditions or to various demographic groups in order to provide guidance at the national and State levels about how best to administer specific employment and training services.

- (4) Limitations.--
- (A) Competitive awards.--Grants or contracts awarded for carrying out projects under this subsection in amounts that exceed \$100,000 shall be awarded only on a competitive basis, except that a noncompetitive award may be made in the case of a project that is funded jointly with other public or private sector entities that provide a substantial portion of assistance under the grant or contract for the project.
 - (B) Time limits.--A grant or contract shall not be awarded under this subsection to the same organization for more than 3 consecutive years unless such grant or contract is competitively reevaluated within such period.
 - (C) Peer review.--
 - (i) In general.--The Secretary shall utilize a peer review process--
 - (I) to review and evaluate all applications for grants in amounts that exceed \$500,000 that are submitted under this section; and
 - (II) to review and designate exemplary and promising programs under this section.
 - (ii) Availability of funds.--The Secretary is authorized to use funds provided under this section to carry out peer review activities under this subparagraph.
 - (D) Priority.--In awarding grants or contracts under this subsection, priority shall be provided to entities with nationally recognized expertise in the methods, techniques, and knowledge of workforce investment activities and shall include appropriate time limits, established by the Secretary, for the duration of such projects.
- (d) Dislocated Worker Projects.--Of the amount made available pursuant to section 132(a)(2)(A) for any program year, the Secretary shall use not more than 10 percent of such amount to carry out demonstration and pilot projects, multiservice projects, and multistate projects, relating to the employment and training needs of dislocated workers. Of the requirements of this section, such projects shall be subject only to the provisions relating to review and evaluation of applications under subsection (c)(4)(C). Such projects may include demonstration and pilot projects relating to promoting self-employment, promoting job creation, averting dislocations, assisting dislocated farmers, assisting dislocated fishermen, and promoting public works. Such projects shall be

administered through the dislocated worker office described in section 173(b).

SEC. 172. EVALUATIONS.

- (a) Programs and Activities Carried Out Under This Title.--For the purpose of improving the management and effectiveness of programs and activities carried out under this title, the Secretary shall provide for the continuing evaluation of the programs and activities, including those programs and activities carried out under section 171. Such evaluations shall address--
- (1) the general effectiveness of such programs and activities in relation to their cost, including the extent to which the programs and activities--
 - (A) improve the employment competencies of participants in comparison to comparably-situated individuals who did not participate in such programs and activities; and
 - (B) to the extent feasible, increase the level of total employment over the level that would have existed in the absence of such programs and activities;
 - (2) the effectiveness of the performance measures relating to such programs and activities;
 - (3) the effectiveness of the structure and mechanisms for delivery of services through such programs and activities;
 - (4) the impact of the programs and activities on the community and participants involved;
 - (5) the impact of such programs and activities on related programs and activities;
 - (6) the extent to which such programs and activities meet the needs of various demographic groups; and
 - (7) such other factors as may be appropriate.
- (b) Other Programs and Activities.--The Secretary may conduct evaluations of other federally funded employment-related programs and activities under other provisions of law.
- (c) Techniques.--Evaluations conducted under this section shall utilize appropriate methodology and research designs, including the use of control groups chosen by scientific random assignment methodologies. The Secretary shall conduct as least 1 multisite control group evaluation under this section by the end of fiscal year 2005.
- (d) Reports.--The entity carrying out an evaluation described in subsection (a) or (b) shall prepare and submit to the Secretary a draft report and a final report containing the results of the evaluation.
- (e) Reports to Congress.--Not later than 30 days after the completion of such a draft report, the Secretary shall transmit the draft report to the Committee on Education and the Workforce of the House of Representatives and the Committee on Labor and Human Resources of the Senate. Not later than 60 days after the completion of such a final

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- report, the Secretary shall transmit the final report to such committees of the Congress.
- (f) Coordination.--The Secretary shall ensure the coordination of evaluations carried out by States pursuant to section 136(e) with the evaluations carried out under this section.

SEC. 181. REQUIREMENTS AND RESTRICTIONS.

- (a) Benefits.--
- (1) Wages.--
- (A) In general.--Individuals in on-the-job training or individuals employed in activities under this title shall be compensated at the same rates, including periodic increases, as trainees or employees who are similarly situated in similar occupations by the same employer and who have similar training, experience, and skills, and such rates shall be in accordance with applicable law, but in no event less than the higher of the rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1)) or the applicable state or local minimum wage law.
- (B) Rule of construction.--The reference in subparagraph (A) to section 6(a)(1) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206(a)(1))--
- (i) shall be deemed to be a reference to section 6(a)(3) of that Act for individuals in American Samoa; and
- (ii) shall not be applicable for individuals in other territorial jurisdictions in which section 6 of the Fair Labor Standards Act of 1938 does not apply.
- (2) Treatment of allowances, earnings, and payments.-- Allowances, earnings, and payments to individuals participating in programs under this title shall not be considered as income for the purposes of determining eligibility for and the amount of income transfer and in-kind aid furnished under any Federal or federally assisted program based on need, other than as provided under the Social Security Act (42 U.S.C. 301 et seq.).
- (b) Labor Standards.--
- (1) Limitations on activities that impact wages of employees.-- No funds provided under this title shall be used to pay the wages of incumbent employees during their participation in economic development activities provided through a statewide workforce investment system.
- (2) Displacement.--
- (A) Prohibition.--A participant in a program or activity authorized under this title (referred to in this section as a ``specified activity'') shall not displace (including a partial displacement, such as a reduction in the hours of nonovertime work, wages, or employment

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- benefits) any currently employed employee (as of the date of the participation).
- (B) Prohibition on impairment of contracts.--A specified activity shall not impair an existing contract for services or collective bargaining agreement, and no such activity that would be inconsistent with the terms of a collective bargaining agreement shall be undertaken without the written concurrence of the labor organization and employer concerned.
- (3) Other prohibitions.--A participant in a specified activity shall not be employed in a job if--
- (A) any other individual is on layoff from the same or any substantially equivalent job;
- (B) the employer has terminated the employment of any regular employee or otherwise reduced the workforce of the employer with the intention of filling the vacancy so created with the participant; or
- (C) the job is created in a promotional line that will infringe in any way upon the promotional opportunities of currently employed individuals (as of the date of the participation).
- (4) Health and safety.--Health and safety standards established under Federal and State law otherwise applicable to working conditions of employees shall be equally applicable to working conditions of participants engaged in specified activities. To the extent that a State workers' compensation law applies, workers' compensation shall be provided to participants on the same basis as the compensation is provided to other individuals in the State in similar employment.
- (5) Employment conditions.--Individuals in on-the-job training or individuals employed in programs and activities under this title, shall be provided benefits and working conditions at the same level and to the same extent as other trainees or employees working a similar length of time and doing the same type of work.
- (6) Opportunity to submit comments.--Interested members of the public, including representatives of businesses and of labor organizations, shall be provided an opportunity to submit comments to the Secretary with respect to programs and activities proposed to be funded under subtitle B.
- (7) No impact on union organizing.--Each recipient of funds under this title shall provide to the Secretary assurances that none of such funds will be used to assist, promote, or deter union organizing.
- (c) Grievance Procedure.--
- (1) In general.--Each State and local area receiving an allotment under this title shall establish and maintain a procedure for grievances or complaints alleging violations of the requirements of this title from participants and other interested or affected parties. Such procedure shall include an opportunity for a hearing and be completed

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- within 60 days after the filing of the grievance or complaint.
- (2) Investigation.--
- (A) In general.--The Secretary shall investigate an allegation of a violation described in paragraph (1) if--
- (i) a decision relating to such violation has not been reached within 60 days after the date of the filing of the grievance or complaint and either party appeals to the Secretary; or
- (ii) a decision relating to such violation has been reached within such 60 days and the party to which such decision is adverse appeals such decision to the Secretary.
- (B) Additional requirement.--The Secretary shall make a final determination relating to an appeal made under subparagraph (A) no later than 120 days after receiving such appeal.
- (3) Remedies.--Remedies that may be imposed under this section for a violation of any requirement of this title shall be limited--
- (A) to suspension or termination of payments under this title;
- (B) to prohibition of placement of a participant with an employer that has violated any requirement under this title;
- (C) where applicable, to reinstatement of an employee, payment of lost wages and benefits, and reestablishment of other relevant terms, conditions, and privileges of employment; and
- (D) where appropriate, to other equitable relief.
- (4) Rule of construction.--Nothing in paragraph (3) shall be construed to prohibit a grievant or complainant from pursuing a remedy authorized under another Federal, State, or local law for a violation of this title.
- (d) Relocation.--
- (1) Prohibition on use of funds to encourage or induce relocation.--No funds provided under this title shall be used, or proposed for use, to encourage or induce the relocation of a business or part of a business if such relocation would result in a loss of employment for any employee of such business at the original location and such original location is within the United States.
- (2) Prohibition on use of funds for customized or skill training and related activities after relocation.--No funds provided under this title for an employment and training activity shall be used for customized or skill training, on-the-job training, or company-specific assessments of job applicants or employees, for any business or part of a business that has relocated, until the date that is 120 days after the date on which such business commences operations at the new location, if the relocation of such business or part of a business results in a loss of

employment for any employee of such business at the original location and such original location is within the United States.

- (3) Repayment.--If the Secretary determines that a violation of paragraph (1) or (2) has occurred, the Secretary shall require the State that has violated such paragraph to repay to the United States an amount equal to the amount expended in violation of such paragraph.
- (e) Limitation on Use of Funds.--No funds available under this title shall be used for employment generating activities, economic development activities, investment in revolving loan funds, capitalization of businesses, investment in contract bidding resource centers, and similar activities that are not directly related to training for eligible individuals under this title. No funds available under subtitle B shall be used for foreign travel.
- (f) Testing and Sanctioning for Use of Controlled Substances.--
 - (1) In general.--Notwithstanding any other provision of law, a State shall not be prohibited by the Federal Government from--
 - (A) testing participants in programs under subtitle B for the use of controlled substances; and
 - (B) sanctioning such participants who test positive for the use of such controlled substances.
 - (2) Additional requirements.--
 - (A) Period of sanction.--In sanctioning participants in programs under subtitle B who test positive for the use of controlled substances--
 - (i) with respect to the first occurrence for which a participant tests positive, a State may exclude the participant from the program for a period not to exceed 6 months; and
 - (ii) with respect to the second occurrence and each subsequent occurrence for which a participant tests positive, a State may exclude the participant from the program for a period not to exceed 2 years.
 - (B) Appeal.--The testing of participants and the imposition of sanctions under this subsection shall be subject to expeditious appeal in accordance with due process procedures established by the State.
 - (C) Privacy.--A State shall establish procedures for testing participants for the use of controlled substances that ensure a maximum degree of privacy for the participants.
 - (4) Funding requirement.--In testing and sanctioning of participants for the use of controlled substances in accordance with this subsection, the only Federal funds that a State may use are the amounts made available for the administration of statewide workforce investment activities under section 134(a)(3)(B).

SEC. 195. GENERAL PROGRAM REQUIREMENTS.

Except as otherwise provided in this title, the following conditions are applicable to all programs under this title:

- (1) Each program under this title shall provide employment and training opportunities to those who can benefit from, and who are most in need of, such opportunities. In addition, efforts shall be made to develop programs which contribute to occupational development, upward mobility, development of new careers, and opportunities for nontraditional employment.
- (2) Funds provided under this title shall only be used for activities that are in addition to those that would otherwise be available in the local area in the absence of such funds.
- (3) (A) Any local area may enter into an agreement with another local area (including a local area that is a city or county within the same labor market) to pay or share the cost of educating, training, or placing individuals participating in programs assisted under this title, including the provision of supportive services.
(B) Such agreement shall be approved by each local board providing guidance to the local area and shall be described in the local plan under section 118.
- (4) On-the-job training contracts under this title shall not be entered into with employers who have received payments under previous contracts and have exhibited a pattern of failing to provide on-the-job training participants with continued long-term employment as regular employees with wages and employment benefits (including health benefits) and working conditions at the same level and to the same extent as other employees working a similar length of time and doing the same type of work.
- (5) No person or organization may charge an individual a fee for the placement or referral of the individual in or to a workforce investment activity under this title.
- (6) The Secretary shall not provide financial assistance for any program under this title that involves political activities.
- (7) (A) Income under any program administered by a public or private nonprofit entity may be retained by such entity only if such income is used to continue to carry out the program.
(B) Income subject to the requirements of subparagraph (A) shall include--
 - (i) receipts from goods or services (including conferences) provided as a result of activities funded under this title;
 - (ii) funds provided to a service provider under this title that are in excess of the costs associated with the services provided; and
 - (iii) interest income earned on funds received under this title.
(C) For purposes of this paragraph, each entity receiving

financial assistance under this title shall maintain records sufficient to determine the amount of such income received and the purposes for which such income is expended.

- (8) (A) The Secretary shall notify the Governor and the appropriate local board and chief elected official of, and consult with the Governor and such board and official concerning, any activity to be funded by the Secretary under this title within the corresponding State or local area.
- (B) The Governor shall notify the appropriate local board and chief elected official of, and consult with such board and official concerning, any activity to be funded by the Governor under this title within the corresponding local area.
- (9) (A) All education programs for youth supported with funds provided under chapter 4 of subtitle B shall be consistent with applicable State and local educational standards.
- (B) Standards and procedures with respect to awarding academic credit and certifying educational attainment in programs conducted under such chapter shall be consistent with the requirements of applicable State and local law, including regulation.
- (10) No funds available under this title may be used for public service employment except as specifically authorized under this title.
- (11) The Federal requirements governing the title, use, and disposition of real property, equipment, and supplies purchased with funds provided under this title shall be the Federal requirements generally applicable to Federal grants to States and local governments.
- (12) Nothing in this title shall be construed to provide an individual with an entitlement to a service under this title.
- (13) Services, facilities, or equipment funded under this title may be used, as appropriate, on a fee-for-service basis, by employers in a local area in order to provide employment and training activities to incumbent workers--
- (A) when such services, facilities, or equipment are not in use for the provision of services for eligible participants under this title;
- (B) if such use for incumbent workers would not have an adverse affect on the provision of services to eligible participants under this title; and
- (C) if the income derived from such fees is used to carry out the programs authorized under this title.

Appendix C - TEGL 17-05 Common Measures at a Glance

ADULT MEASURES	YOUTH MEASURES
Entered Employment	Placement in Employment or Education
<p>Of those who are not employed at the date of participation:</p> <p># of adult participants who are employed in the first quarter after the exit quarter</p> <p># of adult participants who exit during the quarter</p>	<p>Of those who are not in post-secondary education or employment (including the military) at the date of participation:</p> <p># of youth participants who are in employment (including the military) or enrolled in post-secondary education and/or advanced training/occupational skills training in the first quarter after the exit quarter</p> <p># of youth participants who exit during the quarter</p>
Employment Retention	Attainment of a Degree or Certificate
<p>Of those who are employed in the first quarter after the exit quarter:</p> <p># of adult participants who are employed in both the second and third quarters after the exit quarter</p> <p># of adult participants who exit during the quarter</p>	<p>Of those enrolled in education (at the date of participation or at any point during the program):</p> <p># of youth participants who attain a diploma, GED, or certificate by the end of the third quarter after the exit quarter</p> <p># of youth participants who exit during the quarter</p>
Average Earnings	Literacy and Numeracy Gains
<p>Of those adult participants who are employed in the first, second, and third quarters after the exit quarter:</p> <p>Total earnings in the second plus the total earnings in the third quarters after the exit quarter</p> <p># of adult participants who exit during the quarter,</p>	<p>Of those out-of-school youth who are basic skills deficient:</p> <p># of youth participants who increase one or more educational functioning levels</p> <p># of youth participants who have completed a year in the program (i.e., one year from the date of first youth program service) plus the # of youth participants who exit before completing a year in the youth program</p>

Appendix D - Sample Quarterly Earmark Program Narrative Report

Consult your FPO for specific format or additional items to be included.

According to the terms and conditions of the grant, each grant recipient is required to submit a quarterly progress report. This suggested format will assist you in providing the report information described in the Uniform Administrative Requirements at 29 CFR 95.51 or 29 CFR 97.40.

Sample QUARTERLY EARMARK PROGRAM NARRATIVE REPORT

****Consult your FPO for specific format or additional items to be included.****

According to the terms and conditions of the grant, each grant recipient is required to submit a quarterly progress report. This suggested format will assist you in providing the report information described in the Uniform Administrative Requirements at 29 CFR 95.51 or 29 CFR 97.40.

Section I: Grantee and Program Identifying Information

Report Quarter Ending Date:

1a. Grantee Name:	1c. Grant Number:
1b. Project Name:	
1d. Name and Phone Number of Person Submitting Report:	
1e. Grant Period of Performance:	

Section II: Work Schedule Status and Accomplishments

This section of the report should provide an update on the status of each identified components/tasks from your grant proposal Work Schedule

PROJECT COMPONENT	TASK	YEAR 1				YEAR 2				STATUS
		1	2	3	4	1	2	3	4	

Section III: Performance Measures Update

In order to reflect a comparison of goals to accomplishments, grantees can use the pertinent columns of Section 3 Performance Measures in their approved grant proposal. Grantees should include information on enrollments in this section of the quarterly report.

PERFORMANCE MEASURE <i>Performance Measure name only, do not include measurement parameters</i>	EXPECTED LEVEL OF PERFORMANCE <i>What's in your grant proposal?</i>		CURRENT REPORT QUARTER <i>What did you do this quarter?</i>	CUMULATIVE TOTAL <i>What are your project totals to date?</i>	
	A	B	C	D	E
	<i>Numeric Target</i>	<i>Target Percentage</i>	<i>Actual Numeric Level</i>	<i>Actual Numeric Level</i>	<i>Percent of Expected Level (D/A)</i>

Appendix D - Sample Quarterly Earmark Program Narrative Report-Continued

Section IV: Variance from Plan

Provide a brief narrative explanation for each of the elements identified below.

- 1) **If performance has varied from plan, state the reasons for the variance and corrective action taken or planned to address the variance. Please note that some actions such as significant changes to the statement of work, staffing or budget line items, may require a modification to the grant.**

- 2) **Describe any technical assistance the grantee may require to address performance issues identified below.**

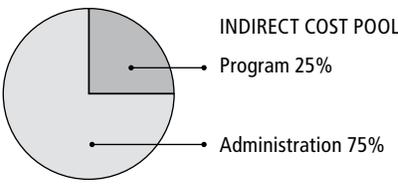
Section V: Other Information (Optional)

Provide a brief narrative explanation for each of the elements identified below.

- 1) **Describe any promising approaches or processes and any success stories, articles, awards, public announcements, or other news about the project for the current quarter. If available, please attach with your report.**

- 2) **Any additional comments.**

Appendix E - Administrative and Program Cost Fact Sheet

<p>The costs of administration are that allocable portion of necessary and reasonable allowable costs of...</p> <p>State and local Workforce Investment Boards</p> <p>Direct recipients including:</p> <ul style="list-style-type: none"> • State grant recipients • Local grant recipients • One-stop operators • Local grant subrecipient - 117(d)(3)(b)(i)(II) • Local fiscal agents - 117(d)(3)(b)(i)(II) <p>...associated with the major functions.</p>	<p>These costs:</p> <p>Are not related to the direct provision of workforce investment services, including services to participants and employers</p> <p>Can be personnel</p> <p>Can be non-personnel</p> <p>Can be direct</p> <p>Can be indirect</p>
ADMINISTRATIVE COSTS	
<p>1. General administrative functions and coordination of functions:</p> <ul style="list-style-type: none"> • accounting • audit resolution • audits • budgeting • financial and cash management • general legal services functions • incident report resolution • information system development (see 5) • investigation resolution • payroll functions • personnel management • procurement • property management • purchasing • review resolution • development of systems and procedures for administrative functions <p>2. Oversight and monitoring related to WIA Administrative functions</p>	<p>3. Costs of goods and services required for administrative functions of the program, including goods and services such as:</p> <ul style="list-style-type: none"> • office supplies • postage • rental and maintenance of office space • rental or purchase of equipment • utilities <p>4. Travel costs incurred for official business in carrying out administrative activities or the overall management of the WIA system</p> <p>5. Costs of information systems related to administrative functions. For example:</p> <ul style="list-style-type: none"> • personnel • procurement • purchasing • property management • accounting and payroll systems, including the purchase, systems development and operating costs of such systems. <p>6. Awards to subrecipients or vendors that are solely for the performance of administrative functions.</p>
PROGRAM COSTS	
<p>1. Specific costs charged to an overhead or indirect cost pool that can be identified directly as a program cost. Note: Documentation of such charges must be maintained</p> <p>2. All costs incurred for functions and activities of subrecipients and vendor are charged as a program cost. Note: Except for those awards to subrecipients or vendors that are solely for the performance of administrative functions</p> <p>3. Costs of the following information systems, including the purchase, systems development and operating (e.g. data entry) costs are charged as a program cost.</p> <ul style="list-style-type: none"> • Tracking or monitoring of participant and performance information • Employment statistics information, including job listing information, job skills information, and demand occupation information • Performance and program cost information on eligible providers of training services, youth activities, and appropriate education activities. • Local area performance information • Information relating to supportive services and unemployment insurance claims for program participants. 	<p>4. That portion of indirect costs determined as a proportionate share of the indirect costs in the indirect cost pool which are the costs of program functions, not administrative functions.</p> <div style="text-align: center;">  <p>INDIRECT COST POOL</p> <p>Program 25%</p> <p>Administration 75%</p> </div> <p>Indirect Cost (IDC) Rate = 20%</p> <p>Total Costs in ICP = \$400,000</p> <p>Base (e.g. Total Direct Salaries & Wages) = \$2,000,000</p> <p>WIA Total Direct Salaries & Wages x IDC Rate = Indirect Amount For WIA</p> <p>\$1,000,000 x 20% = \$200,000</p> <p>25% of \$200,000 = \$50,000 Program</p> <p>75% of \$200,000 = \$150,000 Administration</p>
ADMINISTRATIVE OR PROGRAM COSTS	
<ul style="list-style-type: none"> • Personnel and related non-personnel costs of staff who perform both administrative functions and programmatic services are to be allocated as administrative costs or program costs to the benefitting cost objectives/categories based on documented distributions of actual time worked or other equitable cost allocation methods 	<ul style="list-style-type: none"> • Continuous improvement activities are charged to administration or program based on the purpose or nature of the activity to be improved. Note: Documentation of such charges must be maintained.

Appendix F - How to Apply for an Indirect Cost Rate

Who Needs An Indirect Cost Rate: If the grantee operates with a single funding source than an indirect cost rate is not needed. However, if the grantee has multiple funding sources, especially federal funding sources, that support the operations and activities of the organization than an indirect cost rate is needed.

Why Obtain An Indirect Cost Rate: An indirect costs rate is necessary for the equitable distribution of cost to all benefiting activities. It provides for the systematic allocation of indirect cost to cost objectives in reasonable proportion with the benefits received. These costs are not readily assignable to specific awards and activities because a direct relationship to cost objectives (e.g., grants, contracts, fundraising, services to members, etc.) cannot be shown or would be somewhat arbitrary in nature.

How to Apply for An Indirect Cost Rate: The following website <http://www.dol.gov/oasam/programs/boc/costdeterminationguide/main.htm#toc> contains indirect cost rate procedures, forms and examples. For organizations with no prior approved indirect cost rate, an indirect cost rate proposal must be developed and submitted to the U.S. Department of Labor, Office of Cost Determination (OCD) no later than 3 months after the effective date of the DOL agreement,.

Prior to the preparation of an indirect cost rate proposal and supporting documentation, the cost principles established by OMB Circular A-122 for grantees or the Federal Acquisition Regulations (Part 31) should be thoroughly reviewed. The entity will then be ready to prepare an indirect cost rate proposal based on the following steps:

1. Organization Review

- Obtain organization chart(s) and any information or material explaining the various services and/or functions for each unit.
- If no organizational chart(s) formally exist, prepare a “roughed-out” chart as well as the description of the various services performed by each unit shown on the chart.
- Determine which units are indirect (administrative) functions of the organization.
- Determine the services that are allowable and allocable to Federal grants and Contracts, under OMB Circular A-122, and FAR Part 31.

2. Review Federal and Non-Federal Funding

- Review the “Federal and Non-Federal Outlays” to determine programs being funded; verify with the appropriate staff.
- Prepare a list of all funded programs in detail as to the amount or percent of reimbursement of direct and indirect cost and any restrictions or references to statutes or regulations.
- Determine at what organizational level the various funded programs apply. Illustrate the list of funded programs on a copy of the organization chart.
- Contact the Federal agency which provides the most funds regarding the procedures for the

submission, review and approval of indirect cost rates.

3. Review the Accounting Structure

- Obtain a chart of accounts or some accounting listing of the way in which the actual dollars expended can be related to various programs and/or organization structure.
- Reconcile the accounting structure to the organization chart.
- Determine changes to implement an indirect cost rate system of billing.

4. Prepare a Cost Policy Statement

- Develop a written policy that outlines the costs considered as direct, the costs considered to be indirect, and the rationale to support those costs. A model cost policy statement in Appendix II.

5. Prepare an Indirect Cost Proposal

- Determine which method is best for the organization, i.e., direct cost allocation or simplified and whether special indirect cost rates are required. In selecting the appropriate method, the non-profit organization should consider the following:
 - a. Organizational structure
 - b. Level of Federal funding
 - c. Reports generated from their accounting system
 - d. Availability of data on square footage, number of transactions, employees, purchase orders, etc.
 - e. Additional effort and cost required to achieve a greater degree of accuracy.
- Prepare the indirect cost rate proposal following the examples shown in Section III.
- Obtain signed Certificate of Indirect Costs from Executive Director or other designated official (refer to Appendix III).
- Compile all remaining documentation required by the cognizant Federal agency.
- Reconcile the indirect cost rate proposal to the audited financial statements. Any differences need to be explained.

6. Obtain Cognizant Agency Approval

- Present proposal to cognizant agency; note differences if any; document meeting and/or telephone conversations, and approval. Make any agreed upon changes.
- Receive approved/executed rate agreement.

7. Implementation

- If necessary, obtain modification to Federal agreement.
- Prepare claims using the lower of either the approved rate, or the ceiling rate for your grant or contract.
- Maintain documentation for audit purposes.

B. Indirect Cost Rate Allocation Bases

The following allocation bases are examples only for use when indirect costs are allocated to benefiting cost objectives by means of an indirect cost rate.

1. Direct salaries and wages including (or excluding) all fringe benefits.
2. Direct salaries and wages including vacation, holiday, sick pay, and other paid absences but excluding all other fringe benefits.
3. Total direct cost excluding (if applicable) capital expenditures (buildings, individual items of equipment; alterations and renovations), subawards or that portion of each subaward in excess of \$25,000 and flow-through funds.
4. Total direct costs excluding (if applicable) capital expenditures (buildings, individual items of equipment; alterations and renovations); subawards or that portion of each subaward in excess of \$25,000; rental/maintenance of off-site activities; student (enrollee) tuition payments and student support costs (e.g. student aid, stipends, dependency allowances, scholarships, fellowships).
5. Modified total direct costs consisting of salaries and wages, fringe benefits, materials and supplies, services, travel, and subawards up to \$25,000 each or all subawards.

NOTE: *The cost of equipment purchases, major renovation or subcontract costs may vary considerably from program to program which causes the indirect cost to be allocated in a disproportionate amount to the benefit derived. Therefore, such costs will be excluded from the base when a total direct cost is being used.*

- For commercial entities, total costs less G&A expenses.

The selection of an appropriate allocation method is based upon the commonality of costs to all cost objectives. In general, a correlation exists between the incurrence of administrative effort with the expenditures for direct labor. In most cases, a direct labor base will produce an equitable distribution of indirect costs. However, where the ratio of direct labor to total direct costs varies significantly from program to program, an “adjusted” total direct cost base should be used in allocating costs to benefiting programs.

C. Indirect Cost Rate Proposal Documentation

The following information is required on an annual basis from non-profit and commercial organizations that claim indirect costs on cost reimbursable contracts or grants with the U.S. Department of Labor.

1. Organization Profile

- a. A chart showing the organizational structure during the period for which the proposal applies, along with a functional statement noting the duties and/or responsibilities of all units that comprise the organization. (Once this is submitted, only revisions need be submitted with subsequent proposals.)
- b. A copy of the financial data [financial statement (certified, if appropriate), budgets, accounting reports, etc.] upon which the rate is based.
- c. A listing of directly awarded grants and contracts by Federal agency, total dollar amount, period of performance, and the indirect cost limitations (if any) applicable to each, such as, ceiling rates or amounts restricted by administrative or statutory regulations.

2. Cost Policy Statement

The purpose of the Cost Policy Statement (CPS) is to establish an unambiguous understanding between a contractor/grantee and the Federal Government as to what costs will be charged directly and what costs will be charged indirectly. The Division of Cost Determination requires that an up-to-date CPS be reviewed by its Cost Negotiators as part of the cost determination process when the indirect cost rate proposal is negotiated. Therefore, contractor/grantees are required to submit a CPS with their first proposal. Subsequent proposals need only identify changes that are being made to the initial CPS.

If the contractor/grantee is not proposing any changes, the following suggested language should be included in the transmittal letter when a proposal is submitted:

[ABC Non-Profit/Commercial Organization] hereby confirms that no changes to its accounting policies and practices as set forth in its Cost Policy Statement dated [September 13, 1997] have been made. An example of a CPS is shown in Appendix II.

3. Personnel Costs Worksheet

A sample of a personnel costs worksheet is presented as Exhibit A in Section III. When preparing a Provisional Indirect Cost Proposal, current approved budget figures should be used in the preparation of the personnel costs worksheet. When a Final Indirect Cost Proposal is prepared, actual personnel costs should be used in preparation of this Exhibit. Actual personnel costs should be documented in accordance with OMB Circular A-122, Attachment B, paragraph 7.m. (1) through (4), and the FAR.

4. Allocation of Personnel Worksheet

This document reflects the estimated/actual salary costs for each Federal and Non-Federal cost objective. The percentage of time per position should be spread under the appropriate cost objective, making sure that 100 percent is allocated for each position.

The grantee/contractor must maintain a time distribution system for use by employees whose time is charged to more than one cost objective. Documented payrolls should be maintained supporting whether the salaries and wages were directly or indirectly charged.

An example of an Allocation of Personnel Worksheet is shown in Exhibit B. An example of an acceptable time distribution report is shown in Exhibit B-1.

5. Statement of Employee Benefits

This document should contain the estimated/actual costs of the items in the employee fringe benefit pool. Employee (fringe) benefits should follow the salary of the individual and are a consideration in the determination of the reasonableness of the compensation. Fringe benefits should be accrued in the period incurred, including accrued leave if employees have an irrevocable right to be compensated during employment or upon termination of employment. Generally, the cost of annual leave is recognized when it is earned by the employee, and holiday and other types of leave are considered a cost to the extent of actual compensation to employees. An example of a Statement of Employee Benefits is shown in Exhibit C.

6. Statement of Total Costs

This document should contain all line items of costs included in the entities' chart of accounts with applicable columns for direct costs (by cost center), indirect costs, (overhead, G&A, etc.) and unallowable costs (if applicable).

The total costs should reconcile to the entities' financial statements. If the reconciliation is not clear, the entity should provide a separate schedule supporting the difference.

Examples of Statement of Total Costs are shown in Exhibits D of F, as applicable, for the simplified method or direct allocation method, respectively.

7. Statement of Indirect Costs

This document should contain all line items of costs included in the indirect cost "pool(s)", the applicable allocation base(s), and the resulting indirect cost rate(s).

The allocation base should be traceable to the statement of total costs. If it is not clearly traceable, an additional schedule should be provided to supporting the reconciliation.

Examples of Statement of Total Costs are shown in Exhibits E of G, as applicable, for the simplified method or direct allocation method, respectively.

8. Certificate of Indirect Costs

No proposal to establish indirect cost rates shall be acceptable unless such costs have been certified by the non-profit or profit organization. A “Certificate of Indirect Costs” must be signed on behalf of the organization by an individual at a level no lower than executive director or chief financial officer of the organization that submits the proposal. The required certificate is shown in Appendix III.

D. Indirect Cost Proposal — Review Procedures

Some of the most likely issues to be raised by the DCD cost negotiator during the review of the indirect cost proposal submitted by an organization result from the following procedures used by the cost negotiator. By keeping these procedures in mind when preparing the indirect cost rate proposal, organizations should be able to anticipate the type of issues that may be raised during negotiations. This should help in preparing documentation to justify the approaches taken.

- Determine that the applicable cost principles (stated in the Circulars or the FAR) were followed.
- Review the organization chart for a visual picture of the flow of responsibility, identification of areas of common costs, and the location of those areas in which federally-funded activity exists
- Perform a mathematical verification of the proposal.
- Determine that the proposal reconciles with the supporting audit, official budget or financial statement.
- Review the financial report for any indication of activities which may have been omitted from the indirect cost proposal, i.e., the omission of restricted fund costs or the existence of an affiliated organization receiving supportive service from the parent organization.
- Determine that the cost centers in the indirect cost pool pertain to functions that are supportive of all direct activity.
- Determine that costs that are statutorily unallowable or for reasons of non-allocability have been eliminated from the indirect cost pool.
- Determine whether these unallowable or non-allocable items should be added to the distribution base.
- Determine that “pass-through” funds have been excluded from the base.
- Determine that all personal service costs eliminated from the indirect cost pool have been added to the base.
- Review the analysis of direct costs for the determination of:
 - a. Consistency in charging specific items of cost.
 - b. The selection of an appropriate base for allocating indirect costs.

-
- Review the contract/grant budget and payments or contractor/grantee records for a determination of: (if deemed feasible under the circumstances)
 - a. The direct funding of indirect costs.
 - b. Any limitations placed upon the full recovery of indirect costs, i.e. ceiling rates or amounts.
 - c. Total Federal funds involved.
 - Check with the appropriate Federal Program Manager for any problems he/she may be aware of relating to the charging of costs.

E. Administration Limits and Indirect Cost Claims

Various DOL funding instruments have statutory or regulatory limitations on the costs of “administration”. The costs of administration are those portions of reasonable, necessary and allowable costs associated with the overall program management and administration and which are not directly related to the provision of services to participants or otherwise allocable to the program cost objectives/categories. These costs can be both personnel and non-personnel and both direct and indirect. Therefore, the statutory or regulatory limitation affects the combined claims for indirect costs and direct administration costs. Generally, direct administration costs differ from indirect charges in that the latter are considered organization-wide costs.

Examples of functions that are classified as direct “administration” are as follows:

- Overall program management, program coordination, and office management functions, including the salaries and related costs of the executive director, project director, project evaluator when directly allocated.
- Preparing program plans, budgets schedules, and related amendments.
- Monitoring of programs, projects, subrecipients and related systems and processes.
- Developing systems and procedures, including management information systems, for assuring compliance with program requirements. Preparing reports and other documents related to the program requirements.
- Evaluating program results against stated objectives; and
- Performing administration services such as program specific payroll, accounting, auditing or legal activities.
- Examples of non-labor costs for direct administration include:
 - Costs for goods and services required for administration of the program, including such goods and services as the rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space.
 - Travel costs incurred for official business in carrying out program management and administrative activities.

Appendix G - SF 424A and Budget Worksheet

OMB Approval No. 0348 - 0044

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Congressional Earmark 2008	17.261	\$ -	\$ -	\$ -	\$ -	\$ -
2.		-	-	-	-	-
3.		-	-	-	-	-
4.		-	-	-	-	-
5. Totals		\$ -	\$ -	\$ -	\$ -	\$ -
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(1)	(2)	(3)	(4)	(5)	
a. Personnel	\$ -	\$ -	\$ -	\$ -	\$ -	
b. Fringe Benefits	-	-	-	-	-	
c. Travel	-	-	-	-	-	
d. Equipment	-	-	-	-	-	
e. Supplies	-	-	-	-	-	
f. Contractual	-	-	-	-	-	
g. Construction	-	-	-	-	-	
h. Other	-	-	-	-	-	
i. Total Direct Charges (sum of 6a - 6h)	\$ -	\$ -	\$ -	\$ -	\$ -	
j. Indirect Charges	-	-	-	-	-	
k. TOTALS (sum of 6i and 6 j)	\$ -	\$ -	\$ -	\$ -	\$ -	
7. Program Income	\$ -	\$ -	\$ -	\$ -	\$ -	

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Budget-1

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8 - 11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES FOR FEDERAL FUNDS FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. Congressional Earmark 2008	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges		22. Indirect Charges			
23. Remarks					

Budget-2

Name of Grantee Organization
Amount Awarded

Funding Period
to
of Months: <input type="text"/>

Object Class Category (a.): PERSONNEL				
A Position	B % of Time	C Monthly Salary/Wage	D # of Months	E Cost
1.		\$		\$
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
16.				
17.				
18.				
19.				
20.				
TOTAL PERSONNEL				\$

Budget Narrative - PERSONNEL

Object Class Category (b.): FRINGE BENEFITS				
A	B	C	D	E
Position/s	Benefit/s	Rate	Base Amount	Cost
1.			\$	\$
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
14.				
16.				
17.				
18.				
19.				
20.				
21.				
22.				
23.				
24.				
25.				
26.				
27.				
28.				
29.				
30.				
31.				
32.				
33.				
34.				
35.				
36.				
37.				
38.				
39.				
40.				
TOTAL FRINGE BENEFITS				\$

Budget Narrative - FRINGE BENEFITS

Object Class Category (c.): TRAVEL					
A Item	B # of Staff	C # of Units	D Unit Type	E Cost per Unit	F Cost
1.				\$	\$
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
14.					
16.					
17.					
18.					
19.					
20.					
TOTAL TRAVEL					\$

Budget Narrative: TRAVEL

Object Class Category (d.): EQUIPMENT			
(Includes equipment costing \$5,000 or more and a useful life of more than one year)			
A	B	C	D
Item	# of Items	Cost per Item	Cost
1.		\$	\$
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
14.			
16.			
17.			
18.			
19.			
20.			
TOTAL EQUIPMENT			\$

Budget Narrative: EQUIPMENT

Object Class Category (e.): SUPPLIES (Includes equipment costing less than \$5,000)				
A Item	B # of Units	C Unit Type	D Cost per Unit	E Cost
1.			\$	\$
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
14.				
16.				
17.				
18.				
19.				
20.				
TOTAL SUPPLIES				\$

Budget Narrative: SUPPLIES

Object Class Category (f.): CONTRACTUAL	
A	B
Brief Description	Cost
1.	\$
2.	
3.	
4.	
5.	
6.	
7.	
8.	
9.	
10.	
11.	
12.	
13.	
14.	
14.	
16.	
17.	
18.	
19.	
20.	
TOTAL CONTRACTUAL	\$

Budget Narrative: CONTRACTUAL

Object Class Category (h.): OTHER COSTS (Including Training Expenses)				
A Item	B # of Units	C Unit Type	D Cost per Unit	E Cost
1.			\$	\$
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
14.				
16.				
17.				
18.				
19.				
20.				
TOTAL OTHER COSTS				\$

Budget Narrative: OTHER COSTS

Appendix H - TEGL 11-03, Requirement of DUNS Number for Federal Grant Application

EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. Department of Labor Washington, D. C. 20210	CLASSIFICATION Admin. & Mgmt./DUNS Numbers
	CORRESPONDENCE SYMBOL OFAM
	ISSUE DATE November 3, 2003
RESCISSIONS None	EXPIRATION DATE Continuing

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 11-03

TO: ALL STATE WORKFORCE LIAISONS
ALL STATE WORKFORCE AGENCIES

FROM: EMILY STOVER DeROCCO
ASSISTANT SECRETARY

SUBJECT: Requirement of DUNS Number for Federal Grant Applicants

1. **Purpose.** To inform grant applicants of the requirement to include a Dun & Bradstreet (D & B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements on or after October 1, 2003.
2. **References.** Federal Register Notice, Vol. 68, No. 124, Friday, June 27, 2003; Federal Financial Assistance Management Act of 1999, Pub. L. 106-107; grants.gov initiative under the President's Management Agenda.
(<http://whitehouse.gov/omb/budget/fy2002/mgmt.pdf>)
3. **Background.** Public Law 106-107 requires that the Employment and Training Administration (ETA) assist the Office of Management and Budget (OMB) in establishing an interagency process to streamline and simplify Federal financial assistance procedures for non-Federal entities.

OMB has determined that there is a need for improved statistical tracking of Federal grants and cooperative agreements. Use of the DUNS number will provide a means to identify entities receiving Federal awards. The DUNS number will be used for tracking purposes and to validate address and point of contact information. The DUNS number is already in use by the Federal government to identify entities receiving Federal contracts.

Under the grants.gov initiative, ETA is in the process of developing an electronic grant application system using standard data elements. The DUNS number is one of those data elements. By using the grants.gov portal, entities will be able to store in a central Federal registration repository fixed organizational information that does not change

from application to application. Applicants will not have to re-enter this information on each electronic application they submit.

4. **Applicability.** The DUNS requirement applies to all types of entities applying for Federal grants or cooperative agreements under discretionary and mandatory grant programs or activities. Under this requirement, the applicant is the entity that meets the agency's or program's eligibility criteria and has the legal authority to apply. For example, a consortium formed to apply for a grant or cooperative agreement must obtain a DUNS number for that consortium.

Every application for a new award or a renewal of an award, including applications or plans under mandatory grant programs, submitted on or after October 1, 2003, must include a DUNS number for the applicant. An application will not be considered complete until a valid DUNS number is provided by the applicant. An applicant is not required at this time to submit DUNS numbers for entities with which it may enter into sub-awards. The DUNS number does not replace existing numbers, such as the Employer Identification Number, that are required by statute or regulation. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (grants.gov).

5. **Action Required.** Entities that anticipate applying for Federal grants or cooperative agreements must obtain a DUNS number in advance of a specific application. It is the responsibility of the applicant to obtain the number. Applicants can receive a DUNS number by calling the dedicated toll-free DUNS number request line at 1-866-705-5711. The process to request a number takes approximately 10 minutes and is free of charge. Be prepared to provide the following information:

- a. Name of business
- b. Business address
- c. Local phone number
- d. Name of the CEO/business owner
- e. Legal structure of the business (corporation, partnership, proprietorship)
- f. Year business started
- g. Primary line of business
- h. Total number of employees (full and part time)

Applicants may also register for the DUNS number at Dun & Bradstreet's Web site: <https://www.dnb.com/product/eupdate/requestOptions.html>. Click on the link, "DUNS Number only" at the right hand, bottom corner of the screen to access the free registration page. Please note that registration via the Web site may take up to 14 business days to complete.

Inquiries. Questions regarding the issuance should be directed to the appropriate Regional Office.

**The Essential Guide for
Writing an Earmark Grant Proposal**

Revised April 2008

Prepared for:

U.S. Department of Labor
Employment and Training Administration

