

# FISCAL YEAR 2012 INSTRUCTIONS AND GUIDELINES

For

## On-the-Job Training/Supportive Services Program Statements of Work (SOW)



Prepared by the WVDOT, based  
upon guidance from the  
Federal Highway Administration  
Office of Civil Rights

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# PART 1: INSTRUCTIONS AND GUIDELINES

## Section A: Scope of Work

This section of the proposals should include the following information:

- ✦ A **purpose statement** that provides a summary and includes a detailed breakdown of funding the WVDOT is requesting, a rationale why the funding is requested, and a detailed plan for how the funds will be used. *[For example: ABC State requests \$250,000 in OJT/SS funds to recruit, train, and employ women, minorities and disadvantaged individuals to increase the effectiveness of the approved training programs on Federal-aid highway construction projects and education program.]*
- ✦ The **performance period** will not exceed one year; the proposal will clearly establish the beginning and ending dates for delivering specific services.
- ✦ The Statement of Work will explain how the identified needs of the OJT/SS program will be addressed in achieving the stated goals and objectives. A recent **needs assessment** (not needed for the Statement of Work) may be accomplished through a variety of means, including recent surveys, reviewing internal data about participation, and obtaining information from service providers, construction company owners, and State construction and project engineers who have knowledge about performance on highway construction projects.
- ✦ A clear and precise **timeline** that includes: 1) all key tasks or activities that will be carried out to implement the program; 2) milestones for all key tasks or activities will be carried out over the performance period; and 3) quarterly dates for submission of evaluation and monitoring data results to FHWA. An annual report is submitted within 60 days of the program's completion. FHWA will require a financial snapshot during the program's midpoint to determine if the program is on target to achieve your anticipated spending goals. This is an important milestone; determinations will be made about future funding should the program not have expended at least 50 percent of the funding allocations by the mid-point.

## Section B: Performance Goals, Objectives, and Measurements

A performance-based OJT/SS program will include goals and objectives, activities/strategies, and performance measurements. Performance measurements reflect how well goals and objectives were met. While it may be difficult to measure results of specific activities, accomplishments are measured that correlate to the services provided. A performance-based program is results oriented.

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*Note: Statements of Work shall not exceed 10 pages - no attachments/exhibits*

## PART 2: BUDGET SUMMARY AND NARRATIVE

The budget summary is required; it outlines how the OJT/SS program's total cost is allocated by line items. This summary is in table format and includes:

- ✚ Main budget line item categories;
- ✚ Identification of in-kind contributions and/or services; and,
- ✚ Total amount of funds for each category.
- ✚ **A performance-based budget** is useful because it identifies specific tasks and the dollar amounts associated with each task. The tasks are specifically related to the Statement of Work, and are based on the needs assessment. Payments are made based upon the completion of specific tasks. A performance-based budget also serves as a good monitoring tool because on a monthly or quarterly basis, it can be determined how much of the budget has been expended, the duration of the activity, and the dollar amount for providing the services.

**The dollar amount in the budget summary must match the amount in the purpose statement. If these amounts differ, the Statement of Work will not be reviewed any further for funding consideration.**

In addition to the budget summary, a budget narrative explains how the funds will be used. This narrative should correspond to the information provided in the budget summary and provide further information on each line item submission. **The WVDOT will carefully review the budget to ensure that the estimated costs and expenses are reasonable before the Statement of Work is submitted to FHWA Division Offices.**

## PART 3: EVALUATION AND MONITORING

The plan for program monitoring and evaluation is one of the most important portions of the Statement of Work. FHWA requires all recipients of funding to use one or more monitoring/evaluation instruments to track progress and demonstrate achievement of the program goals and objectives.

To ensure effectiveness of the OJT/SS program, the WVDOT maintains a sufficient level of program oversight over any supportive services consultants to measure progress and address shortfalls. The FHWA Division Office, through its oversight and stewardship responsibilities, conducts periodic reviews of the WVDOT's OJT/SS program.

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The monitoring and evaluation plan includes:

- ✦ A review of each program objective and a narrative explaining how it will be determined whether each objective has been achieved.
- ✦ The type of information to be collected for evaluation purposes.
- ✦ Identification of the frequency with which the information will be collected (i.e., semi/annual report)
- ✦ Plans for completing an annual report that summarizes the project, tasks, accomplishments, lessons learned, and recommendations for improvements.

Program accomplishments measured must correlate with the program services provided. *[For example: accomplishments can be measured in: recruitment, skill training, job placement, outreach, transportation to and from worksites, post-graduation follow-up, job-site mentoring, pre-employment assessment, mediation, pre-and post-employment counseling, and pre-apprenticeship programs.]*

## **PART 4: REPORTING REQUIREMENTS**

Quarterly progress reports are required, beginning 90 days from the contract award. The WVDOT will send reports to the FHWA Division Office and include sufficient data and narrative to help evaluate performance, identify problems, and recommend solutions. At a minimum, the reports must include accomplishments for each goal and objective. An annual report is sent to the Headquarters Office of Civil Rights 60 calendar days after the end of the fourth quarter and must include:

- ✦ A detailed account of accomplishments *[For example: How many individuals were trained in each project? Were any of the trainees placed in highway construction jobs upon graduation? If so, in what job classification? List the participant's enrollment breakdown by: gender, race, ethnicity, and disability. Did the WVDOT or grantee partner with other organizations to implement the program, and if so, what are those organizations and how did they contribute to the success of the program?]*
- ✦ Concerns identified and resolutions implemented; *[For example: Were there logistical or resource obstacles that prevented the program from meeting its performance measures? Were there any problems in recruiting particular targeted groups and if so, why? Did the WVDOT underestimate the amount of funding needed to accomplish its performance objectives?]*
- ✦ Recommendations for improvement; and,
- ✦ List any other items that may have impact the OJT/SS project(s).

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## **PART 5: CLOSING AND NEW REQUIREMENTS**

Please use only FY 2012 OJT/SS guidelines to complete your Statement(s) of Work and not previously issued guidelines.

These guidelines reflect changes to the OJT/SS program and have eliminated some previous components. The FHWA frequently receives requests for information about the OJT/SS program from the Office of the Secretary of the USDOT, Congressional Committees, and other Federal and State entities. Therefore, although these components have been eliminated to streamline the Statement of Work submission process, the WVDOT and FHWA Division Office may request and maintain additional information on file to support their program efforts.

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