

**Fiscal Year 2013  
On-the-Job Training  
and  
On-the-Job Training/Supportive Services Program  
Statements of Work**



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## **PART 1: INSTRUCTIONS AND GUIDELINES**

### **Section A: Scope of Work**

Statement of Works (SOWs) shall include the following information:

- A purpose statement that provides a SOW, which details how the STA proposes to use the requested funding. A budget summary that includes a cost breakdown of the funds the State Transportation Agency (STA) is requesting.
- The period of performance shall not exceed one year. The STA should clearly indicate in the statement of work a defined start and end date for delivering specific services. SOW shall provide milestones for completion and implementation dates for all tasks and activities under the program.
- In the SOW, explain how the identified needs of the OJT/SS program will be addressed. A needs assessment (not needed for the SOW) may be accomplished through surveys, internal data about participation, and information from service providers, construction company owners, and State construction project engineers who have knowledge about highway construction projects.
- A clear and precise timeline that establishes milestones for all tasks or activities that will be performed under the program within the period of performance.

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

In the SOW the STA shall explain how needs of the OJT/SS program would be addressed through the program, performance goals and objectives, and a monitoring plan. The STA shall establish measurable goals for program results and state how they will measure success in SOW. Performance measurements provide metrics that indicate how well goals and objectives were met under the program.

Program accomplishments must be measured that correlate with the services provided by the program. *For example, accomplishments; 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 and apprenticeship programs.*

## **PART 2: BUDGET SUMMARY AND NARRATIVE**

A performance-based budget summary shall be submitted with the SOW. The budget summary shall outline how the OJT/SS program's total cost is allocated by each line item. A narrative should correspond to the information provided in your budget summary and detailed information for each line item. This summary should be in a table format and include the following:

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***Note: Statements of Work shall not exceed 10 pages – no attachments or exhibits***

- Line item categories;
- Identification of in-kind contributions and/or services; and
- Total amount of funds allocated for each category.

STAs must aim to develop metric-based SOW. For example, “X number of program participants will be trained in Benefit X for Z number of dollars.” (For example: 25 program participants will be trained as truck drivers for a total of \$100,000. While precise outcomes are difficult to predict we seek to ensure that STAs are contemplating cost effective and appropriate employment training methodologies. The metric-based approach will help ensure solid measurable outcomes are attained.

Performance-based budget identifies specific tasks and dollar amounts associated with each task. The tasks are specifically related to the SOW. Payments are made upon the completion of each specific task. A performance-based budget serves as a good monitoring tool; it provide a basis for how much of the budget has been expended, the duration of the activity, and the dollar amount for providing the services.

FHWA will require a financial snapshot during the program’s midpoint to determine if you are on target to achieve your targeted spending goals. If the STA has not expended at least 50 percent of funding allocations by the mid-point; a determination will be made about future funding.

***The total dollar amount in your budget summary and the requested amount in your purpose statement must match. If these amounts are different, your SOW shall not be reviewed for consideration and will be returned to the Division Offices unapproved.***

### **PART 3: OVERSIGHT AND MONITORING PLAN**

The STA shall provide program oversight and include a monitoring plan with the SOW. Program oversight and monitoring plans are one of the most important portions of the SOW. FHWA requires all recipients of funding to use one or more oversight/monitoring instruments to track progress and demonstrate achievement of the program goals and objectives.

To ensure effectiveness of the OJT/SS program, STA’s shall maintain a sufficient level of program oversight over to measure progress and address shortfalls. The FHWA Division Office, through its oversight and stewardship responsibilities, shall conduct periodic reviews of the STA’s OJT/SS program. This oversight will be done to assess whether states efforts have led to increased opportunities for workers underrepresented in the highway construction workforce.

The oversight and monitoring plan should include:

- A review of each program objective with a narrative explaining what metrics will be used to determine whether each objective has been achieved;
- The type of data to be collected for evaluation purposes;

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- Identification of the frequency with which the information will be collected
- Plans for completing and summarizes the project, tasks, and accomplishments, lessons learned, and recommendations for improvements.

#### **PART 4: REPORTING REQUIREMENTS**

STA must provide copies of its service provider’s monthly or quarterly reports, at Division Office’s discretion, to the FHWA Division Office. FHWA Division Office submits dashboard metrics to **HCR by Dec. 1**. (Details on dashboard metrics to follow.) Monthly Progress reports are required every 30 days from contract award. The reports will be sent to the FHWA Division Offices and shall include sufficient data to help evaluate performance, identify problems, and recommend solutions. The Monthly report shall include the following:

- 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, and ethnicity. Did the STA 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?*
- Any 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 STA under-estimate the amount of funding needed to accomplish its performance objectives?*
- Recommendations for improvement; and
- List any other items that may have had an impact upon the OJT/SS projects(s)

#### **PART 5: REQUIREMENTS**

FY 2013 OJT/SS formula-based is in effect. Funds will be distributed by “formula” and every State will receive a portion of the total funding. A State’s share of available funds will be based on the percent of Federal-aid dollars allocated to the State by FHWA’s Office of the Chief Financial Officer. For example, if a State’s FY 2012 obligation limitation was 1.7% of Federal-aid funds available, then that State’s share of OJT/SS funds would be 1.7% of the total OJT/SS funds available.

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### **Milestones Dates and Deliverables for 2013**

- **December 17, 2012** - HCR sends solicitation memo to FHWA Division Offices.
- **December 21, 2012** - FHWA Division Offices notify HCR electronically of date. solicitation memo was forwarded to STA, and date STA posts notification of this funding initiative on its web site or provided other public notification.
- **January 18, 2013** - FHWA Division Offices notify HCR of STA's intention to submit, or not submit, an SOW for FY2013 OJT/SS Program. Intentions not to submit must be writing and signed by STA CEO.
- **March 1, 2013** - STAs shall submit SOWs to FHWA Division Offices for review and evaluation.
- **March 22, 2013** - FHWA Division Offices submit a **summary** of the SOW and recommendation of approval to the HCR.
- **May 1, 2013** - HCR anticipates notifying the FHWA Division Offices of approved OJT/SS -SOW. FHWA Division Offices will notify STAs immediately upon approval.
- **June 1, 2013** - FHWA Division Offices will work with STA to obligate their approved funds.
- **June 15, 2013** - Once SOW have been approved by HCR and program funds obligated, STAs must then issue an RFP (or other public competitive process) to acquire the services of an external consultant to provide the services called for the STAs.
- **September 30, 2013** - All program funds must be **invoiced** or **expended** by the end of the Federal fiscal year.

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