

ATTACHMENT 1B

OJT/SS STATEMENT OF WORK FORMAT (Required) CONTENT AND FORM OF APPLICATION SUBMISSION

A State Department of Transportation (DOT) must use this Statement of Work format and outline. The SOW should not exceed 10 pages, single-spaced, single-sided, and have 12-point font (either Times Roman, Arial, or Calibri), be on 8.5 x 11-inch paper, and must include the information listed below to receive approval (herein State DOT and Applicant are synonymous):

Statement of Work

- A. Project Title
- B. Contact Person(s)
- C. Purpose Statement
- D. Statement of Problem
- E. Amount Requested
- F. Needs Assessment
- G. Program Goals & Objectives
- H. Scope of Work Narrative with Timetables/Milestones/Services
- I. Budget Proposal & Financial Requirements
- J. Geographic Location, Target Groups, & Emphasis Areas
- K. Strategic Partnerships
- L. Project Management
- M. Project Personnel, Resources, & In-kind Contributions
- N. Performance Period
- O. Performance Measures
- P. Evaluation and Monitoring Plan
- Q. Final Deliverables
- R. ***Section 508 Standards of the Rehabilitation Act***

A. Project Title

At the top of the document *title* the program/project. Give the project a short yet descriptive title.

B. Contact Person(s)

List the contact information for all lead person(s) along with his or her address, title, phone number, fax number, and email address.

C. Purpose Statement

Start with a *purpose statement*, which is a declarative sentence summarizing the specific topic of the document. A declarative sentence tells a fact or an argument. For example, "The purpose of the OJT/SS program is to create, sustain, and retain a viable workforce that can support current and future highway construction workforce needs." It orients the reader and offers an exact and concrete understanding of what the document will cover and what the reader can gain from reading it. For example

D. Statement of Problem

Characterize the workforce issue, problem, or opportunity present in the highway construction industry within the state that this program/project directly tries to resolve. Likewise, describe how the State DOT recognized the issue (i.e., whether the State DOT surveyed workforce investment boards, labor organizations, contractors, State personnel, educational institutions, or spoke to other interested stakeholders). In a narrative, detail how the program/project will specifically try to resolve the issue for the applying organization.

Explain why the State DOT plans to use a specified approach, as opposed to other potential approaches, and how its innovative facets have potential for nationwide, regional, local, or statewide application. In addition to innovative workforce practices, cite the unique features of the project, such as technological innovations, reductions in cost or time, or social and community involvement.

Finally, express uncertainties, external factors, and potential risks that could affect the schedule, cost, or success of the program. The State DOT should offer supporting documentation as an attachment that will not count toward the total page limit. The FHWA will consider such supplementary information but will not necessarily consider it in the project selection process.

E. Amount Requested

This line must be in the document verbatim, as follows:

For Fiscal Year 2020, the State DOT requests [insert amount] for this On-the-Job Training Supportive Services proposal.

F. Needs Assessment

The State DOTs must include a needs assessment. It is one of the most critical components of the application. The FHWA will use it to evaluate the degree to which the project shows a clear and specific industry need for the Federal investment and how well the proposed project discusses the OJT and OJT/SS policy priorities detailed in 23 CFR part 230. The State DOT must show relevant data and offer evidence of the industry need and value for the proposed program/project.

- The Intent to Approve Memorandum, signed by the Division Administrator or his/her designee certifying the SOW meets all Federal financial and program requirements;
- A detailed budget, in Excel with an indirect cost rate not exceeding 10 percent unless the State DOT provides a copy of an FHWA or other Federal Agency Indirect Cost Allocation Plan (iCAP) preapproved with a rate higher than the 10%;
- A copy of the entire SOW;
- A FY20 State DOT OJT/SS project synopsis detailed in the "FY20 OJTSS Project Synopsis Tracking Sheet" located in the Excel spreadsheet on the CTWD SharePoint site (1. FY20 OJTSS Project Synopsis Tracking Sheet).

ALLOCATION AND PERFORMANCE PROCESS

After concurring with the Division's recommendation to approve the State DOT's FY20 OJT/SS SOW and program in Intent to Approve memorandum, the CTWD issue a concurrence/allocation memorandum authorizing the Divisions to approve funding in FMIS. When the Division authorizes the project in FMIS, and/or when the State DOT awards the contract and the Division approves the project in FMIS, the 12-month performance period for the FY20 OJT/SS Program and associated project begins. Once the project(s) begins, the Division must approve any amendment(s) to the SOW, budget, or extension to the timeline and/or extensions to the end date. The State DOT must obligate and expend all allocated funds by the end of a 12-month performance period. Afterward a State DOT can only obligate funding for only the predetermined projects associated with allocation memo. State DOTs must close the project and deobligate any unexpended funds within 90 days after the end of the 12-month performance period. Funds not obligated near the end of the Fiscal Year might be deallocated during August Redistribution.

CTWD may grant an extension of time, but only for good cause (e.g., consequences beyond the State DOTs control per the FHWA Project Fund Management Grants-5/23/18). Accordingly, a State DOT must submit the request in writing 30 days in advance of the expiration of the performance period in the SOW and certainly before the FMIS project end date (2 CFR 200.308 (b)). The Division/State DOT can submit the request via e-mail to Michael.Caliendo@dot.gov with a description, amount, and reason for requesting an extension.

To ensure a successful OJT/SS program, Divisions and State DOTs must monitor and provide OJT/SS program oversight, regularly track progress, and demonstrate the achievement of program goals/objectives. State DOTs must submit quarterly progress reports to their respective Division Offices (At Minimum). The Division must post the report to the CTWD SharePoint site (#3 Folder). It is important that Divisions and State DOTs agree on the reporting deliverables, like performance and outcome measures beforehand. Detail all reporting mechanisms in the SOW; although, the Division may request accomplishment reports more frequent than quarterly.

Divisions must maintain a sufficient level of program oversight to measure progress, successes, and outcomes. CTWD expects the Division to submit a short narrative report at the end of the project performance period (not past end date) describing OJT/SS program outcomes detailing outcomes to the performance measures identified in the SOW. Place this report in the SharePoint site under Accomplishment Report (#3 Folder). If there are any questions, please contact Michael Caliendo at (208) 334-9180 x131, or Michael.Caliendo@dot.gov

I. Budget Proposal & Financial Requirements

Deliver a cost proposal showing staffing levels, hours, indirect, and direct costs for the total project and the amount of funding requested from FHWA. The proposal must describe the source and the number of matching funds, if any. The cost proposal also must set forth the nature and value of in-kind resources that team members will contribute. Show a line-item budget for the total project, with enough detail to show the various components of the project. All Statement of Work proposals must apply cost the principles found in 2 CFR part 200, subpart E. The Catalog of Federal Domestic Assistance (CFDA) number is 20.205 for this program.

Direct costs are costs associated with a final cost goal, such as a Federal award, or other internally or externally funded activity, or the State DOT can directly assign the cost to such activities with a high degree of accuracy.

Indirect costs are costs that are not directly accountable to a cost object (such as a project, facility, function, or product). Indirect costs may be either fixed or variable. Indirect costs include administration, personnel and security costs. Think of these costs as not directly related to production. For example, an indirect cost may be overhead. Treat costs incurred for the same purpose in like circumstances consistently as either direct or indirect (F&A) costs.

Unless a State DOT and/or its sub recipient has a negotiated and approved indirect cost rate associated with an Indirect Cost Allocation Plan (iCAP), then the entity may choose to charge a de minimis rate of 10% of modified total direct costs (MTDC).

J. Geographic Location, Target Groups, & Emphasis Areas

Give a precise location(s) of the project(s), geographic area(s), and target group(s) served by this proposed effort. The State DOT may attach maps or other graphic aids to help support conclusions, as needed. In addition, provide details of how this effort will link to actual construction jobs.

K. Strategic Partnerships

State DOT must commit to working with one or more external strategic partner(s) with great interest and involvement in the project. An external partner must be an entity that has no direct relationship to the State DOT. For example, the external partner may not be a Department within the State DOT organization. An external partner entity could include (not limited) to:

- Educational institutions, which include entities offering professional accreditation, degree, and/or certification programs, such as universities, community colleges, or trade schools;

- Public workforce investment systems, such as local workforce investment boards and their one-stop systems;
- Labor organizations, such as labor unions and labor management organizations; and/or,
- Non-profit organizations that support the mission of highway construction and transportation workforce development.

L. Project Management

The State DOT must describe its proposed approach for managing and staffing the project including the distribution of responsibilities among potential partner(s) entities. For example, include responsibilities, such as regular reporting, performance measurement, and technical/management interactions with FHWA.

M. Project Personnel, Resources, & In-kind Contributions

List all known key individuals who will work on the project, along with short descriptions of their technical ability and experience. Attach resumes or written overview of a person's experience and other qualifications (curriculum vitae) if available. Project staff resumes or curriculum vitae will not count towards the total page count for proposal submissions. Describe how the State DOT will engage in a competitive process to ask for organizational partners and/or consultants.

N. Period of Performance

The estimated period of performance for awards is 1-2 years.

Within the State DOT's Statement of Work, include a schedule for completion of tasks assuming a total period of performance cannot exceed 24 months. If the State DOT proposes a phased plan, describe the schedule for the more phases on a separate page or separate pages which do not count toward the page limit.

After concurrence with the Division's recommendation to approve the State DOT's FY20 OJT/SS Program, CTWD will issue an allocation memo asking for FMIS Team to distribute the funds to each State. When the Division authorizes the project in FMIS, or when the State DOT awards the contract, and the Division approves the project in FMIS, then the 12-month performance period for the FY20 OJT/SS program begins. Once the project begins, the Division must approve any amendment(s) to an SOW or budget and must notify the CTWD National OJT/SS Program Manager prior to approving a change. As described for FY20, please make sure to coordinate the OJT/SS and NSTI program budgets and ensure the total amount stays under the

“up to” allocation. The State DOT must obligate and expend all allocated funds by the end of the 12-month performance period. FHWA may grant extensions for compelling cause, but State DOTs must send the written request to extend to the FHWA Division in advance of the end-date (as shown in FMIS) with a description, amount, and reason. The Division must then approve the extension and request FHWA OJT/SS National Program Manager’s concurrence. The Divisions must send the request to extend via e-mail to Michael.Caliendo@dot.gov. State DOTs must deobligate all unexpended balances within 90 days of the end of the 12-month performance period.

O. Performance Measures

The FHWA requires the State DOT to use OMB-approved governmentwide standard information collections when offering financial and performance information. As proper and per the above-mentioned information collections, the FHWA requires the State DOT to relate financial data to performance accomplishments of the Federal award. Also, following the above-mentioned governmentwide standard information collections, and when applicable, State DOT must also give cost information to show cost effective practices (e.g., through unit cost data). The State DOT (i.e., recipient's) performance needs measuring in a way that will help the Federal awarding agency and other non-Federal entities to improve program outcomes, share lessons learned, and spread the adoption of promising practices.

The State DOT must show the national, state, regional, or local impact of the State DOT’s project on the highway construction industry and detail the broader employment opportunities, including the number of jobs directly supported or created by the program. The Statement of Work needs to include a description of the plan for recording the outcomes on a quarterly. The program must also deliver a final report at the end of the project. The final report must include at minimum:

1. Number of Individuals Affected

State DOT should define “affected individuals” in terms that make sense for the proposed project. For example, other reported outcomes could include the number of:

- Targeted individuals (women, minorities, and disadvantaged individuals) that entered the program;
- Individuals successfully completing the program and/or achieved an applicable credential, etc.;
- Placed new workers and/or advanced incumbent workers;
- Retained workers after 90 days or some other relevant period.

2. Performance Metrics

The FHWA prefers quantitative metrics but will consider qualitative metrics if the State DOT bases the information and experiences on those affected by the program (as opposed to the self-assessment of the applicant or partner agencies). Metrics could include survey results, exit interviews, and longitudinal tracking of staff (during the period of performance only), but not limited to this data. A State DOT SOW must include at least one performance metric. As part of the proposal give projections (for quantitative measures) or short hypotheses (for qualitative measures) of what type of impact/performance FHWA could expect from the project.

3. A 1-2 Page Project Description

The project description should detail the project's goals and measurements and the final report should say if the State DOT met the goals and measures. This statement can also include "lessons learned."

4. 1-2 Page Statement of Applicability to Other Entities

In the final report, the State DOT needs to describe how the project will apply or scale to other applications elsewhere and what effects another agency or program might realize.

P. Evaluation & Monitoring Plan

State DOT and FHWA Division Office staffs must regularly evaluate and check the supportive services contracted or obtained under this grant. The State DOT and Division Office should prove a well define evaluation and monitoring plan prior to the implementation of the program/project.

Q. Final Deliverables

Proposals must describe at least one final project deliverable and how it will improve the state of the practice within the highway construction industry and/or state. State DOTs and its sub recipients must make any final products and project deliverables available to FHWA at no cost if FHWA chooses to dissemination examples and/or case studies throughout the industry. Acceptable final products and deliverables include (not limited to) class materials, Websites, applications and/or software, recruitment materials, flyers, brochures, pictures, and reports, etc. Additionally, FHWA requires written quarterly progress reports and one final report. State DOTs must send these reports to the Division and detail the reporting timeline in the SOW. Moreover, the State DOT must, include a schedule for the project deliverables.

Appendix A – State DOT SOW Application

**National Summer Transportation Institute State DOT
Statement of Work Application**

Transmittal Sheet

Host Site (College/University):

Address (including zip):

Contact Representatives

Host Site

Project Director:

Title:

Phone:

E-Mail:

State Transportation Agency Liaison:

Name:

Title:

Phone:

E-Mail:

Federal Highway Administration Division Office

Name:

Title:

Phone:

E-Mail:

Please Complete and Return This Sheet Along with Your Statement of Work to your Division FHWA Civil Rights Specialist.

National Summer Transportation Institute
State DOT Statement of Work Application

Section A: Program Information

Host Site (Name):			
State Abbreviation:		Zip:	
Congressional District Number(s):			
FHWA Funding Requested:			
Is this a new NSTI? Y/N			
Number of years in existence:			
Type of In-Kind Contributions:	N/A	Monetary	\$
	Other (Provide brief description):		

Program Length:	(In weeks)	
Program Dates:	From:	To:
NSTI (weeks):		
FAA ACE Academy (days):		
ACE Academy Location:		
Anticipated Number of Students:		

Select Type of Program:	Residential	Non-Residential
Select Grade Levels:	Middle School (grades 6-8)	High School (grades 9-12)
Priority (if applicable, rank 1-5)		

Each National Summer Transportation Institute (NSTI) Host Site is responsible for the following:

1. **Financial Reimbursement:** Submit all invoices in a timely manner. Note: Expenses on invoices should reflect only the expenses listed in the approved budget.
2. **Section 508 Standards of the Rehabilitation Act:** Ensure that their procurement of electronic and information technology considers the needs of all end users – including members of the public with disabilities who are seeking information or services, have access to and use of information and data that is comparable to that provided to others.
3. **Annual Post Program Survey:** Complete the online NSTI Survey via a web link which will be provided by HIN-CTWD at the end of the program.
4. **Program Evaluations:** Conduct weekly and post program participant evaluations and submit to FHWA Division Office.

Note: Where needed, reasonable accommodations must be made for persons with disabilities.

Section B: Program Overview

Provide a one or two-page summary of the NSTI program the host site plans to implement. Information in this section should address the program objectives delineated in the solicitation memorandum, and include a description of curriculum, specific field trips planned, and examples of any enhancement activities planned.

Section C: Program Administration

- 1. Recruitment and Student Selection Procedures**
- 2. Staffing Requirements - Complete Table A**
- 3. Program Cost (Detailed Budget Summary) - Complete Table B**
- 4. Inter-Modal Advisory Committee - Complete Table C**
- 5. Specific-Named Partners - Complete Table D**
- 6. Implementation Schedule - Complete Table E**
- 7. Program Curriculum (STEM-Focused)**
 - Academic
 - Enhancement
 - Sports/Recreation (*residential programs*)
- 8. Follow-up Survey of Students**

Note: See SharePoint for Excel Tables A-E

AVIATION CAREER EXPERIENCE:

For more information, please see the point of contact NSTI Program Manager.

Please review application in its entirety to confirm information is accurate.

Name of State DOT Representative who reviewed this proposal:

Date:

Appendix -- B Recruiting Notice

To: (Indicate Middle or High School) Guidance Counselors
From: Project Director
Subject: (Insert Year) National Summer Transportation Institute
Date:

The [college/university] will host the (insert year) National Summer Transportation Institute (NSTI) Program for [middle or high school] participants from [program dates] in [State]. This will be a [residential or non-residential] program. The purpose of the NSTI Program is to create awareness and stimulate interest in higher education and careers in the transportation industry.

The curriculum will expose participants to new frontiers and adventures such as highway design, transportation of people and cargo, inter-modal operations, laws, regulations, safety, and career opportunities. In addition, participants will participate in enrichment activities such as, computer training, field trips, and hands-on projects.

Approximately [number of participants] in [grade levels] will receive full scholarships to participate in the NSTI program. Scholarships will include the following:

- | | |
|----------------------|------------------------|
| ■ Tuition | ■ Equipment/Supplies |
| ■ Workshops/Handouts | ■ Travel (Field Trips) |
| ■ Room and Board | ■ Lab Fees |
| ■ Facility Usage | ■ Speakers |

The attached application form is being sent to [middle or high schools] across the State. Guidance counselors should identify two participants per school for the NSTI Program and assist them with completing the forms in the enclosed application package.