<center>**ATTACHMENT I**</center>

TECHNICAL PROPOSAL INSTRUCTIONS

This Attachment contains detailed instructions for the completion of a project narrative. PLEASE READ EACH SECTION OF THE NARRATIVE INSTRUCTIONS CAREFULLY. NO GRANT WILL BE RECOMMENDED FOR FUNDING THAT FAILS TO SATISFACTORILY PROVIDE ANY OF THE INFORMATION REQUIRED BY THIS GUIDANCE.

FORMAT

The format delineated herein must be followed or the grant application package will not be accepted.

The text of the project narrative must be double-spaced with one-inch margins at the top, bottom, right and left sides. Pages must be numbered. The use of graphs, maps, and tables is permitted, but these must be properly labeled. In addition to using the required section headings, applicants are encouraged to use brief topic headings for paragraphs in the text.

The title, "PART I – PROJECT NARRATIVE" should be centered and the section headings and subheadings should be entered at the left-hand margin.

CONTENT

Content guidelines for the project narrative are discussed in the following five sections. The content must be concise and relevant. Avoid direct reiteration of statutory or regulatory requirements. The grant application must provide an explanation of the proposed project.

SECTION 1 – STATE SENIOR EMPLOYMENT SERVICES COORDINATION PLAN

Applicants must describe briefly how this grant application supports the State Senior Employment Services Coordination Plan. Alternatively, applicants may briefly describe what plans they have to update the State Plan when PY 2006 national grantees are identified.

SECTION 2 – TECHNICAL APPROACH

This section requires information about the operations of the proposed project and the methods and procedures that the applicant will use to implement them. This section must consist of three subsections; each is discussed separately below.

A. **Plan of Action.** Provide a description of each project function or activity. Applicants must provide adequate descriptions for the reviewer to ascertain how the applicant will implement the project. The following activities must be discussed separately:

(1) **20 CFR 641.500 and 641.520, Recruitment and Selection of Participants.** The revised income definitions and income inclusions and exclusions for determining SCSEP eligibility, as described in TEGL 13-04, must be used to determine and document participant eligibility. Indicate how eligibility will be determined and documented. Indicate the methods and resources that will be used to recruit project participants. Grant applicants must identify new strategies to recruit applicants who can meet the income eligibility guidelines.

(2) **20 CFR 641.505, Continued Eligibility for Enrollment in the SCSEP.** All applicants are required to recertify the income of each participant at least once each program year. Indicate the schedule for certifying participants and the actions to be taken for those found to be ineligible, including notification of their right to appeal this finding. Indicate where eligibility records will be maintained. Self-attestation of income eligibility, without appropriate documentation, is not permitted.

(3) **20 CFR 641.565(b)(ii)(A) and (B), Physical Examinations.** Describe the process for offering physicals to participants. Describe the process for maintaining documentation of those participants who elect to take physicals, and those who waive them.

(4) **20 CFR 641.535(a)(1), Orientation.** Describe participant and host agency orientation procedures. The description should include mention of participant and agency responsibilities, permissible political activities, grievance procedures, etc. If changes have been made in your operating manuals and procedures (including orientation materials provided to participant on policies) since the PY 2005 submission, provide one copy of the updated materials.

(5) **20 CFR 641.535(a)(2), Assessment.** Describe procedures for assessing the job aptitudes, readiness, and preferences of participants, as well as their potential for transition into unsubsidized employment. Training and supportive service needs of participants must also be addressed as part of this assessment. Assessments are to be conducted at least twice each year.

(6) **20 CFR 641.535(a)(3), Individual Employment Plan (IEP).** Describe how the assessment will be used to develop a participant's IEP, how often the IEP will be updated, and how the participant will participate in this process.

(7) **20 CFR 641.535(a)(4), Assignment to Community Service Work-Based Training Assignments.** Describe how participants will be assigned to community service work-based training assignments. Include such factors as:

(a) Types of community service work-based training activities that will be emphasized in assigning participants and how they were chosen

(b) Methods used to match participants with community service work-based training assignments

(c) Extent to which participants will be placed in community service work-based assignments involving the administration of the project itself. If the applicant intends to provide different wages, benefits or other conditions to those participants assigned to project administration than are provided to other participants, an explanation of the differences must be provided here.

(d) Types of host agencies to be used and the procedures and criteria for selecting the community service work-based training assignments

(e) Average number of hours per week for participants in community service work-based training assignments

(f) Average hourly wage paid to participants during community service work-based training assignments

(g) Participant fringe benefits (if offered) and how they will be administered

(h) Procedures for assuring participants are given adequate supervision during their community service work-based training assignment

(i) Any policies that limit the amount of time a participant may spend in community service work-based training assignments

(8) **20 CFR 641.535(a)(5), Other Training.** Describe the training that will be provided to participants under OWB 04-04. Training involving OJE/WE or OJT in the private sector must be approved by the Department.

(9) **20 CFR 641.535, Supportive Services.** Describe the supportive services that will be offered to help participants obtain and retain an unsubsidized job. Identify the source(s) of these services.

(10) **Participant Transportation**. Executive Order (E.O.) 13330, issued by the President on February 24, 2004, mandates that a number of Federal agencies including the Department, collaborate to improve mobility, employment opportunities, and access to community services for persons who are transportation disadvantaged. The E.O. focuses on the provision of transportation access to persons with disabilities, older adults and persons with low incomes. In view of this mandate, grantees are now required to provide information on their

efforts to identify solutions for transportation-related issues for SCSEP participants in their State, especially in rural areas.

Describe the arrangements that will be made to provide transportation assistance to participants in their State, especially in rural areas.

(11) **20 CFR 641.545, Placement into Unsubsidized Employment.** Describe the steps that will be taken to move or place participants into unsubsidized employment. Include the cooperative measures that will be taken with the Workforce Investment Act and One-Stop Delivery System in support of this effort, and who will be responsible for this implementation. These strategies should support the President's and ETA's focus on high-growth industries, i.e., health care, information technology, biotechnology, geospatial technology, automotive, retail, advanced manufacturing, construction, transportation, hospitality, financial services and energy.

Applicants must also describe how they will work with the local economic development offices in rural areas to increase job opportunities in such locations.

If applicable to their labor market areas, applicants must also describe how they will work with regional grantees selected to participate in the Workforce Innovation in Regional Development (WIRED) initiative. The list of regional WIRED grantees can be found on www.doleta.gov.

(12) **20 CFR 641.570, Maximum Duration of Enrollment.** Maximum duration of enrollment is an optional provision of the regulations. A grantee may establish a maximum duration of enrollment in the grant agreement, when authorized by the Department. If such time limits have previously been established and approved, they must be identified in this section. If there is such a time limit on enrollment established in the grant agreement or if the grantee is proposing a durational limit for the PY 2006 grant, the grantee must describe its system to transition participants to unsubsidized employment or other assistance before the maximum enrollment duration has expired.

(13) **20 CFR 641.580, Terminations.** Applicants must describe their termination policies for: a) provision of false information; b) income eligibility determined at recertification; c) incorrect initial eligibility determination; and d) cause, including refusal to accept a reasonable number of job offers or referrals to unsubsidized employment consistent with the SCSEP IEP.

(14) **20 CFR 641.910, Applicant, Employee and Participant Complaint Resolution.** Describe fully the system of due process that will be used in cases where an adverse action is contemplated against a participant, an employee of the grantee or subgrantee, or in cases where an applicant for enrollment wishes to dispute an unfavorable determination of eligibility. Attach an example of the written explanation of the due process system that is given to each participant.

(15) **Over-Enrollment.** Describe how participant over-enrollment would be handled. Describe how participants will be notified of any durational limits that are imposed, and how participants will be required to sign an acknowledgement of such limits. Applicants must describe how they will work with other grantees to balance Equitable Distribution requirements with over-enrollment to achieve equitable distribution.

(16) **20 CFR 641.844, Maintenance of Effort.** Describe steps that will be taken to ensure compliance with the Maintenance of Effort provision.

(17) **Procedures for Payroll and Payment of Workers' Compensation Costs.** Describe how payroll and workers' compensation premiums are paid to participants. Include in this description an estimate of how much is paid in a grant year for workers' compensation premiums and separately for workers' compensation claims. GRANTEES MAY NOT DELEGATE THESE PROCEDURES TO HOST AGENCIES.

NOTE: Workers' compensation coverage is required at all times during a participant's training, even when co-enrolled in a 502(e) project.

(18) **Collaboration.** Each applicant must describe how it will collaborate with other entities serving the same area—e.g., the One-Stop Delivery System or other grantees—to maximize opportunities for SCSEP participants to obtain intensive and training services, and to move into unsubsidized employment. Describe how MOUs will be established in areas where they do not exist, and the timeline for having agreements with all areas.

(19) **20 CFR 641.500(b), Cross-Border Agreements.** State applicants may enter into agreements to permit cross-border enrollment of eligible participants. Such agreements must cover both State and national grantee slots and must be submitted as an attachment to this section.

B. **Performance Standards and Reporting Requirements.** Describe plans for implementing the performance standards and reporting requirements in PY 2006, including the provision of computers and broadband Internet access for all local persons who have data entry responsibilities. Describe how existing staff resources will be augmented to meet the data collection and reporting needs.

NOTE: All DCS users should transition to the Internet in PY 2006. This migration will require a high-speed internet connection for all DCS users. Non-DCS users will be required to capture all the data required by the DCS and upload their data to SPARQ in the required format on a schedule to be developed. **Timely reporting of the required data by all grantees is not optional. Failure to provide complete and accurate data by the established time limits each quarter is a violation of the terms of the grant and may result in**

administrative action, including the withholding of funds. Any applicant that lacks the necessary hardware, Internet connections, or personnel to meet obligations must take corrective action prior to the start of PY 2006. The performance narrative must address how applicants will accomplish both the mechanics of data collection and reporting and the achievement of the performance goals described in Section 9 of the TEGL.

(1) **Data Collection and Reporting.** In this section, each applicant must describe how it will ensure complete, accurate, and timely data collection and reporting by all sub-grantees. Specifically, each applicant must indicate:

   (a) How it will ensure that personnel capturing and recording data are familiar with the latest instructions for data collection, including DOL guidances, TEGLs, the Data Collection Handbook, and Internet postings

   (b) How it will ensure that data are submitted on a timely basis

   (c) That sub-grantees will be legally obligated to enter all required data relating to all participants served during the period covered by its sub-grants

   (d) That sub-grantees will be legally obligated to turn over complete hard copy files, as well as data files in the specified electronic format, to the grantee at the time that the sub-grantee ceases to administer the SCSEP program

   (e) That any new sub-grantees will be legally obligated to enter into SPARQ complete data related to any participants whom they acquire upon becoming sub-grantees

   (f) How non-DCS users will ensure that data are uploaded to SPARQ in accordance with Department guidance.

   NOTE: Any applicant that fails to submit accurate data in PY 2006 or has insufficient data (i.e., a number of projects have not submitted files or have had files rejected) will be subject to sanctions, including a potential loss of funding.

(2) **Performance Measures.** As described in Section 9 of the TEGL, successful applicants will be accountable for meeting their negotiated performance goals for PY 2006. All applicants must describe the steps they will take to meet their PY 2006 goals for each performance measure. Any applicant whose PY 2005 baseline performance indicates that it has failed to achieve 80% of its PY 2005 goal for any SCSEP performance measure must describe in this section the steps it is taking to address the deficiency in performance and specifically how it will meet its goal for that measure in PY 2006.

C. Equitable Distribution. <u>Describe the current slot imbalances and the steps your state is proposing to correct such inequities in conjunction with national SCSEP grantees in the state</u>. Applicants must ensure that this information is consistent with the Equitable Distribution report and the State Plan.

SECTION 3 – GEOGRAPHIC AREAS TO BE SERVED

List the cities and counties where the project and its subprojects will be conducted. Include the number of SCSEP <u>authorized positions</u> to be established in each jurisdiction. For those applicants that operate a project located in a city that also serve surrounding counties (or other jurisdictions), the authorized positions for the surrounding counties/jurisdictions must be listed as well. Please indicate where authorized positions have been changed from the prior year. Also include a listing of how many slots are filled and the number that are vacant. We suggest using a chart format. Losses in positions because of the reduced allotment should be taken from over-served counties.

SECTION 4 – PROGRAM ADMINISTRATION

A. Organizational Structure. Describe the organizational structure of the project, including an explanation of the mission and function of each unit connected with the project.

B. 20 CFR 641.861, Subproject Management. In completing this section, applicants need not provide specific information on their subgrantees or contractors. The Department is interested only in general procedures and practices utilized by the applicant to manage and select their subproject operators. Applicants must describe how they will assure that subgrantees, affiliates, contractors, or other entities receive adequate resources to effectively operate local projects.

C. Training of Subproject (Local) Staff. Describe the training that will be provided to increase the skills, knowledge, and abilities of local staff. Include how you will keep sub-grantees informed of all significant policy, program, data collection, and performance developments and directives for which grantee is accountable. Where applicable, include a description of the proposed staff training with dates, content, and potential participants.

D. Project Monitoring. Explain the methods and procedures that will be used to monitor and evaluate project activities, subgrantees, and contractors to determine whether the project is being administered in accordance with Federal guidelines and regulations and whether project goals and timetables are being met. Respond to the following particulars:

  (1) Frequency of monitoring/evaluation visits to local projects

  (2) Person(s) responsible for monitoring and evaluation

(3) Criteria used to monitor and evaluate project activities

(4) Methods for prescribing remedial action when necessary

(5) Follow-up procedures to ensure that any identified problem has been remedied

(6) Validation of sub-project reports

E. **Financial Monitoring.** Describe how the financial management system of local subprojects will be monitored. The following particulars should be addressed:

(1) Person(s) responsible for monitoring subgrantee expenditures

(2) Frequency of monitoring of expenditures

(3) Follow-up procedures to be used

(4) Validation of financial reports

F. **File Maintenance.** Describe how files are maintained for privacy. Also describe how your files are set up, including whether they are electronic or hard copy files. Include a description of how you will ensure that participant files are maintained for three (3) program years after the program year in which all follow-up activity for a participant has been completed.

Applicants should describe how personnel records will be protected to avoid identity theft and other violations of personal information. Specific steps should be outlined to assure that participant records are securely stored and access is limited to appropriate staff. If applicable, describe measures that are taken to protect the electronic storage and retrieval of personnel information.

Grantees interested in using electronic media for record keeping must describe the safeguards that will be used to preclude tampering with the information and assurances that electronic signatures, pin numbers, etc., belong to the individual who is certifying the information. If document authenticity can be assured and safe guarded, utilization of electronic media is an acceptable means of record keeping.

G. **Audits.** Describe audit coverage including plans to audit local projects as well as plans to audit the headquarters activities. To the extent feasible, provide dates, possible audit firms and selection procedures for future audits. Provide specific references to the most recent audit. Include the name of the audit firm and the date, and <u>attach one copy of the most recent audit for your grant and for your subgrantees.</u>

SECTION 5. CONTINGENCY PLAN FOR PARTICIPANTS:

Applicants must describe how current, on-board participants will be transferred to new grantees if a grantee loses all or some of its positions. Such losses may occur if there are position reductions resulting from swaps, new Census data, or reductions in funding.

The Department will expect states to assist with the transition of national grantees to ensure a smooth transition for participants. Applicants should specifically identify plans to:

A. **Meeting**. Describe how and when a meeting and/or conference call(s) will be held with incumbent and new national grantee(s) to discuss the transition process and timelines.

B. **Communications**. Describe how it will ensure that positive communications are presented to participants regarding the transition.

C. **Complaints**. Describe the procedures for alerting the responsible national grantee organization when a complain is made to state office regarding the transition.

D. **Participants**. Describe the procedures for reassuring participants who are concerned about the transition process.

E. **Records**. Describe how it will assist with the turnover of records to the new national grantee(s) if necessary.

F. **Issues**. Describe procedures for reporting issues that cannot be resolved to the Department.

By accepting this grant, the applicant agrees to carry out the transition plan, should that be necessary.