

DEPARTMENT OF LABOR**Employment and Training
Administration****Job Training Partnership Act: Title III
National Reserve Grants—Application
Procedures**

AGENCY: Employment and Training Administration, Labor.

ACTION: Notice of procedures for grant applications.

SUMMARY: The Employment and Training Administration of the U.S. Department of Labor (Department or DOL) is announcing policies and procedures for accessing funds to implement programs, pursuant to sections 323(a), 323(b), 325, 325A and 326 of the Job Training Partnership Act (the Act or JTPA). Applications prepared and submitted pursuant to these guidelines and received at the address below will be considered. These guidelines supersede guidelines for National Reserve Account grants previously published in the Federal Register on February 7, 1992, July 9, 1992, and July 19, 1993. Grant awards will be made only to the extent that funds remain available.

DATES: The grant policies and procedures described in these guidelines shall be effective immediately, and shall remain in effect until further notice. Funds are available for obligation by the Secretary of Labor (the Secretary) under Sections 302(a)(2) and 323 of the JTPA. Applications will be accepted on an ongoing basis as the need for funds arises at the State and local level. Applicants are strongly encouraged to submit fully documented applications as early as possible following notice of the dislocation event.

ADDRESSES: An original plus one copy of the application must be mailed or hand delivered to: Office of Grants and Contracts Management, Division of Acquisition and Assistance, Employment and Training Administration, U.S. Department of Labor, Room S-4203, 200 Constitution Avenue, NW, Washington, DC 20210; Attention: James C. DeLuca, Grant Officer. The application must be paginated and unbound. A copy of the application must simultaneously be mailed or delivered to the appropriate Regional Office(s) of the Employment and Training Administration. [A list of the Regional Offices is provided in Appendix A.] Emergency applications may be sent to the Grant Officer by electronic transmission (FAX No.: 202/219-8739) with a hard copy followup

within one day of the transmission, but the Department prefers that an applicant use an overnight mail service.

FOR FURTHER INFORMATION CONTACT: Ms. Shirley M. Smith, Chief, Division of Program Implementation, Office of Worker Retaining and Adjustment Programs. Telephone: 202/219-5577. (This is not a toll free number). Application packages and instructions and technical assistance on application requirements are available from Regional Offices of the Employment and Training Administration (see Appendix A) and from the Office of Worker Retraining and Adjustment Programs, Employment and Training Administration, U.S. Department of Labor, Room N-5426, 200 Constitution Avenue, NW., Washington, DC 20210.

SUPPLEMENTARY INFORMATION: The Department announces the availability of funds for grants to provide training, adjustment assistance, and employment services for dislocated workers, as defined in Sections 301(a), 314(h)(1), 325 (a) and (e), 325A (b) and (f), and 326(a)(1) of JTPA.

The application procedures, selection criteria, and approval process contained in this notice are issued pursuant to the JTPA regulations at 20 CFR 631.61.

This program announcement consists of five parts and five appendices:

- Part I provides background and basic DOL policies and emphases for discretionary grants under sections 323, 325, 325A and 326 of the Act;
- Part II describes specific program and administrative requirements that will apply to all grant awards;
- Part III describes basic grant application submission requirements and the criteria that will be used to evaluate applications for funding;
- Part IV describes responsibilities for oversight and performance management of awarded grants; and
- Part V describes the circumstances requiring and approval criteria for grant modification requests.

The appendices include directories of ETA Regional Offices and State Offices, copies of required assurances and certifications, and definitions of key terms.

Copies of complete application packages and instructions are available from ETA Regional Offices (see Appendix A) and State Dislocated Worker Units (see Appendix C).

The JTPA Title III program is listed in the *Catalogue of Federal Domestic Assistance* at No. 17-246 "Employment and Training Assistance—Dislocated Workers (JTPA Title III Programs)."

Signed in Washington, DC on this 19th day of September, 1996.

Timothy M. Barnicle,
Assistant Secretary of Labor.

Part I**A. Background**

The guidelines for the submission, award and management of JTPA Title III National Reserve Account (NRA) grants are designed and intended to foster efficient and responsive disbursement, and effective use of NRA funds. A primary objective of these guidelines is to establish a process which results in timely assistance to eligible dislocation events while supporting accomplishment of the quality service principles which have been defined by DOL for its customers. These principles are:

- Early intervention and contact with affected workers;
- Effective planning which mobilizes a full range of services and resources;
- Flexible, individualized service approaches which are tailored to the needs of the workers and circumstances of the dislocation event; and
- Service-delivery that achieves quality outcomes for the affected workers.

To ensure that NRA grant awards achieve these service principles, the NRA guidelines were developed by a Federal- State-local workgroup of representatives from each of the partner organizations involved in the implementation and management of NRA projects. The workgroup focused on developing guidelines which reflect the key principles of quality management: strategic planning, customer-driven quality, strong processes and continuous improvement, and management by facts/information.

B. DOL Policies and Emphases

1. DOL is establishing four primary objectives regarding the use of NRA funds:

- Effective use and integration of NRA funds with other available resources (e.g., Title III formula, Pell grants, Trade Adjustment Assistance);
- Targeting resources to need;
- Providing quality services and achieving quality outcomes for customers;
- Timely submission and processing of applications and implementation of services.

To support these objectives, DOL is committing to a 45 (calendar) day turnaround between the receipt of a complete application and a funding decision by the Secretary. The review and approval process presumes an

active review role by the State JTPA entity, including the Dislocated Worker Unit (DWU), to ensure the submission of complete and responsive applications. DOL expects that the State will not require more than 15 (calendar) days following its receipt of a complete application to review and transmit that application to the Grant Officer and the ETA Regional Office.

2. DOL is implementing two policies designed to support more flexible funding of projects and more timely delivery of services to eligible workers:

a. Grant Officer authority to approve, in appropriate cases, the use of grant funds to pay for pre-award costs of reemployment and retraining services specifically identified in the grant award document that were or are being provided to members of the eligible target group; and

b. Incremental or phased funding where appropriate.

These policies are intended to support a quality-based approach to the design and delivery of services to eligible dislocated workers. Quality improvements in services and outcomes achieved for dislocated workers are an important goal of NRA grant projects. The appropriateness of these funding options will be evaluated on a case-by-case basis.

In general, authorization of pre-award costs will only occur in exceptional circumstances where: (1) It was necessary for the State or substate to provide previously committed funds to serve the immediate needs of the eligible target group prior to the date of the grant award; and (2) it can be demonstrated that the needed action was due to an unanticipated or unusual circumstance and not as a result of untimely planning or submission of the funding request. Funds awarded in one Program Year cannot be used to pay for the costs of services incurred in a prior Program Year.

3. DOL expects that applications for NRA grant funds will flow from effective rapid response and early intervention activities, a significant State and local project planning effort, and will ensure an integration of all available resources (e.g., formula, discretionary, other public and private) to support the project plan. Applicants are required to provide rapid response-type, early intervention services in conjunction with any dislocation event for which NRA grant assistance is provided.

4. Application requirements are focused more on the use of quality participant service and management processes, and less on detailed operational planning decisions.

Applicants are expected to use NRA grant funds to implement innovative projects which achieve high quality services and outcomes for the dislocated workers who are served. Customer satisfaction measurement and continuous improvement will be required elements in each NRA grant project.

In summary, the guidelines provide more flexibility, but increase expectations regarding the linkage between discretionary grants and: rapid response and project planning activities; the mobilization and use of all available resources; and the implementation of quality service strategies and management processes.

Part II

Under Section 322(a), the Secretary has the responsibility to target resources efficiently to areas of most need, to encourage a rapid response to economic dislocations, and to promote the effective use of funds. In addition, Title III national reserve funds should provide a model for promoting higher quality services and outcomes in all dislocated worker programs.

A. Policies and Requirements Governing the Use of Title III National Reserve (NRA) Funds

1. All projects and activities funded shall be subject to the Act, the JTPA regulations, the requirements contained in the application instructions, and the Grant Officer's award document(s) and any subsequent grant amendment(s).

2. Grant applications should be an outgrowth of an effective early intervention process. Applications for NRA funds should be the result of a planning process which has been activated through State rapid response and, as appropriate, an early intervention assistance process that may include the use of formula funds to initiate basic readjustment, retraining and supportive services. In cases where formula funds have been used to provide services (excluding rapid response, which is the State's responsibility) to the eligible target group prior to the date of grant award and the availability of formula funds in the State is limited, the Grant Officer may authorize the use of grant funds to pay for the costs of these services.

3. National reserve funds should supplement and expand the State and substate capability to respond effectively to dislocation events. NRA projects should generally be funded from multiple sources; and NRA funds should be used both to serve more dislocated workers and to achieve higher quality services and outcomes

than may be possible through the formula funded program alone. States and substate areas are expected to make maximum use of funds provided for the purpose of serving eligible dislocated workers. Requests for NRA funds, therefore, will be evaluated in terms of the policy delineated in Training and Employment Guidance Letter (TEGL) 7-95, and any subsequent modifications thereto, regarding intertitle transfers of funds under JTPA, as authorized by the FY 1996 Omnibus Appropriations Act.

Grantees will be expected to make a maximum effort to assist each eligible participant to apply and qualify for available sources of student financial assistance, consistent with the provisions of § 627.220 of the JTPA Regulations. It is important to note that student financial assistance not only provides more resources to the program, but also provides more resources, and expands the options, to the participant.

When an employer or other entity offers a tuition payment or tuition reimbursement program for the eligible workers, the grantee and/or project operator shall work with the employer/entity to establish an appropriate process for accessing the funds to pay for the costs of worker training.

4. NRA funded projects should support the key ETA service goals and be designed around principles that have been shown to be effective in achieving positive outcomes for dislocated workers (e.g., transition service centers, mechanisms for active employer and worker input in design and operation of the project, methods of continuous improvement based on customer feedback).

5. The NRA grant process should recognize and provide a means for responding to the fluidity of dislocation events. The Secretary may use an incremental funding approach to respond to dislocation events as determined by need. Incremental funding of a grant can be at the request of the applicant or at the discretion of the Secretary.

B. Eligible Circumstances for Use of NRA Funds

Services of the type described in JTPA section 314 may be provided with national reserve funds in the following circumstances:

- Plant closures and substantial layoffs within a State when the workers are not expected to return to their previous industry or occupation of employment;
- Dislocations resulting from natural disasters and other devastating events;
- Plant closures and substantial layoffs that occur on a multi-state basis;

- Substantial layoffs resulting from federal government actions;
- Provision of additional financial assistance to programs and activities being operated by State and substate grantees under Part A of Title III of JTPA, where economic conditions have sufficiently changed to warrant an increase in the area's formula allocation.

C. Participant Eligibility

Individuals who meet the eligibility criteria defined in sections 301(a), 314(h)(1), 325(a) and (e), 325A(b) and (f), or 326(a)(1) of JTPA, as amended by the Defense Authorization Act of 1995), shall be eligible for assistance through national reserve grants.

D. Allowable Activities and Services

NRA funds may be used to provide services of the type described in sections 314 and 325A(f) of the Act.

E. Required Services

Each project funded with national reserve funds—except applications for DISASTER projects and ADDITIONAL FINANCIAL ASSISTANCE (AFA)—must provide the following activities and services prior to or in conjunction with project implementation:

1. Contact with employers and employee representatives affected by a dislocation or potential dislocation of individuals, preferably not later than 2 business days after notification of such dislocation.
2. Establishment of a mechanism for involving representatives of the affected workers, the employer and the community in planning the project.
3. Collection of information on affected individuals to determine the approximate number of such individuals in need of assistance and interested in receiving services. Such information should include items such as age ranges, education and skills, job tenure, and wage ranges to allow preliminary assessments of likelihood to seek and obtain employment in the local labor market.
4. As appropriate, arranging for orientation sessions, counseling services, and early intervention services for affected individuals.

These services must be provided as a condition for award of the grant. These services should be provided by, under the direction of, or in collaboration with the State through its Dislocated Worker Unit.

F. Performance Outcomes

Each NRA grant project will be expected to achieve the end-of-project performance goals which are established

by ETA for the applicable program year. For PY 1996, the performance goals are:

1. Entered Employment Rate = 75.0%
2. Wage Replacement Rate for Entered Employments = 90.0%

Note: The "wage replacement rate" is defined in Appendix E.

3. Customer satisfaction rating of "extremely" or "very satisfied" with the services received = 70.0%

Note: Each grantee will be required to establish or use a system of customer satisfaction measurement and continuous improvement in conjunction with the NRA project. The project-related costs of operating this system are chargeable to the grant under the "Administration" cost category.

G. Administrative Requirements

1. General

Grantee organizations will be subject to the JTPA law, regulations, these guidelines, the terms and conditions of the grant and any subsequent modifications, to applicable Federal laws (including provisions in appropriations law), and any applicable requirements listed below—

a. State and local Governments (except for JTPA State grant recipients that receive national reserve grant funds under the JTPA State Grant Agreement "block grant")—OMB Circular A-87 (cost principles), and 29 CFR part 97 (Uniform Administrative Requirements for Grants with State and Local Governments).

b. Non-Profit Organizations—OMB Circulars A-122 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).

c. Educational Institutions—OMB Circulars A-21 (Cost Principles) and 29 CFR Part 95 (Administrative Requirements).

d. Profit Making Commercial Firms—Federal Acquisition Regulation (FAR)—48 CFR Part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements). In addition, the audit requirements at 20 CFR 627.480 shall apply to commercial recipients.

2. Financial Management

a. Cost limitations under section 315 of JTPA and 20 CFR 631.14 apply to national reserve grants, except where justification for adjusting these limitations is included in the grant application, or subsequent grant modification requests, and approved by the Grant Officer.

b. The limitation on administrative costs shall apply to the grant award, exclusive of funds expended for needs-related payments. This limitation applies to the total expenditures for program administration including any

funds reserved by the State where it is the applicant but not the project operator. Any costs associated with administering a system of needs-related payments shall be separately identified in the application budget and justified. The Grant Officer may approve additional costs for the administration of needs-related payments, based on information provided by the applicant. For National Reserve Account grants, cost limitations will be based on actual end-of-project expenditures.

c. NRA grant applicants should not automatically budget 15 percent of the award amount toward administration. All proposed costs in the budget must be reflected as either direct charges to specific budget line items or an indirect cost. The amount planned to be used for administration and the specific purposes for which it will be used must be specified in the budget.

d. If an indirect cost is used, a copy of the most recent approval document from the cognizant federal agency shall be included in the application.

e. Profits or fees are not an allowable expense for grantee organizations. Profits or fees are allowable for profit organizations which are subrecipients or project operators, subject to the provisions of § 627.420(e)(3) of the JTPA Regulations. However, no profits or fees will be allowed if the subrecipient or service provider is the employer, or a division or subsidiary of the employer, of the dislocated workers.

f. National reserve grant funds which have been expended for training prior to certification of Trade Adjustment Assistance (TAA) eligibility do not have to be reimbursed when TAA funds become available to cover the balance of the training. The source of funds used to pay these costs will be the decision of the grantee, in conformance with provisions of the Trade Act.

g. Unless otherwise waived by the Grant Officer, national reserve grant funds cannot be used to pay for the full cost of furniture or equipment that has a useful life which is longer than the grant period. Other funds should be used, as needed, for such purchases and an appropriate usage/depreciation charge should be applied to the grant.

3. Audit

Grantee organizations shall be responsible for complying with the audit requirements defined in § 627.480 of the JTPA Regulations (as published in the September 2, 1994, Federal Register).

4. Reporting Requirements

a. The grantee will be required to comply with two reporting requirements related to each NRA grant project:

(1) Applicants should contact the appropriate Regional Office of the Employment and Training Administration (see Appendix A) for currently applicable reporting requirements.

One signed original and one copy of applicable reports shall be provided to: U.S. Department of Labor, ETA, Office of the Comptroller, Division of Accounting, Room C-5325, 200 Constitution Ave., NW, Washington, DC 20210.

One copy shall also be provided to the ETA Regional Office, ATTN: Regional Administrator.

(2) The grantee shall provide information required on the Standardized Program Information Record (SPIR) (OMB No. 1205-0321).

b. The grantee will be requested to provide the following additional performance information to the Grant Officer and to the Regional Office:

(1) One copy each of its periodic performance management reports on the project, consistent with the performance management procedures which are described in the approved grant.

These reports should be provided no later than 30 days after the end of the report period.

At a minimum, the grantee's performance management procedures will be expected to address how the grantee will measure progress and manage performance against the project's objectives as defined in the approved Implementation Schedule and the Cumulative Quarterly Expenditure Plan.

(2) An End-of-Project Report providing a summary analysis of the accomplishments of the project in relation to its goals, strengths and weaknesses in project design and implementation, and suggestions for improvements in the NRA grants management process. This report should be provided no later than 90 days after the end date of the project.

H. State Review

1. Responsibility

Where the applicant is an entity other than the State JTPA administrative entity, the State, in its role of managing the use of Title III resources in the State to provide services to eligible dislocated workers, will be expected to provide comments on the application. The JTPA Liaison shall submit with each application for NRA grant funds a letter providing his/her comments on the

application. The applicant will submit the application to the State JTPA administrative entity for review (see Appendix B: List of State JTPA Liaisons and Appendix C: List of State Dislocated Worker Units). In the case of a non-State entity submitting an application for a multi-State project, the applicant will submit the application to the State JTPA administrative entity in each state in which the project will operate.

The State's review and comments should include:

- A determination that the application is complete and responsive to the guidelines (a completeness review checklist is included in Appendix G);
- An assessment of the responsiveness of the project plan to the dislocation event;
- A verification that the applicant has the ability to satisfactorily undertake the proposed project;
- A certification that available State and local resources are inadequate to meet the requirements of the proposed project; and
- A certification that the required services identified in Section II.C have been or are being provided.

The State's review and determination letter must be included in the application package.

Note: This requirement shall not apply to applications submitted by eligible Native American grantees.

2. Timing

The State should, and is strongly urged to complete the review and forward the application to the Grant Officer, with a copy to the appropriate Regional Office, within 15 calendar days after receiving a complete application.

I. Secretary's Rights Reserved

1. The Secretary reserves the right to distribute a portion of national reserve funds in a manner other than that provided by this notice, consistent with the JTPA, and taking into consideration special circumstances and unique needs which may arise. This may include the funding of projects through a separate competitive grant process.

2. The Secretary also reserves the right to fund individual projects on an incremental basis where the Department determines that such an action would result in the most effective use of available resources.

3. If the Department receives an insufficient number of applications which are of acceptable quality, and which meet the guidelines and selection criteria contained in this notice, to fully and effectively use the funds in the national reserve account, the

Department will take whatever action it deems necessary and appropriate, consistent with the Act and the regulations. Unobligated funds remaining when the Secretary's obligational authority expires will be returned to the Treasury.

Part III

A. Types of Grant Applications for NRA Funds

There are four types of applications which may be submitted for Title III NRA funds:

- A standard or REGULAR application;
- An application for a DISASTER assistance project;
- An application for a MULTI-STATE project where the applicant is not a State entity;
- An application for ADDITIONAL FINANCIAL ASSISTANCE (AFA).

A REGULAR or MULTI-STATE application may be submitted to operate a project in accordance with Section 323, Section 325 (Defense Conversion), Section 325A (Defense Diversification), Section 326 of the Act (Clean Air Employment Transition Assistance), or for NAFTA-impacted workers. AFA projects may only be operated in accordance with Section 323; and DISASTER projects may only be operated in accordance with Sections 323 and 324.

B. Eligible Applicants for NRA Grants

Eligible applicants for NRA grants include States, Title III substate grantees, employers, representatives of employees, Native American tribal entities eligible to receive JTPA grant funds pursuant to section 401 of JTPA, and other entities which are certified by the State(s) as qualified project operators. Eligibility of specific types of entities for the various types of NRA grants is more completely described in the grant application package.

C. Grant Application Submission Requirements

To be considered for funding, an application will need to include the information identified in this section. Specific requirements for each type of application are fully described in the application package available through ETA Regional Offices and State Dislocated Worker Units.

If an applicant plans to operate a project through more than one project operator (see definitions in Appendix E), each project operator shall be identified and a separate Budget and Implementation Schedule provided. Where appropriate, description of separate target groups and service

processes for each project operator shall also be provided. In all cases, the applicant must also include a summary Budget and Implementation Schedule for the entire project.

1. *State's Review and Comment Letter.*—A letter from the State consistent with the provisions of Section II.H.

2. *Transmittal Letter.*—A letter requesting national reserve funds on behalf of the applicant, signed by the Governor (or his/her authorized JTPA signatory official), or by the applicant's authorized signatory must accompany the application. [Note: Where the applicant is the State, the Review and Comment and Transmittal requirements may be covered in one letter.]

3. *Standard Form (SF 424).*—Each application must include a completed SF 424, Application for Federal Domestic Assistance (Catalogue No. 17.246) with an original signature by the authorized signatory.

4. *Assurances and Certifications.*—Each application must include an original signed copy, by the authorized signatory, of the "Assurances and Certifications for National Reserve Grants" [See Appendix D]. Non-State grantees will be required to complete additional assurances and certifications, where applicable.

5. *Synopsis of the Project.*—Each application must include a completed "Project Synopsis," which identifies the applicant, the target group, the amount of requested funds, the number of planned participants, and the primary occupations targeted for training and job placement.

6. *Project Narrative.*—The narrative portion of the application, excluding attachments, should not exceed thirty (30) double-spaced pages, typewritten on one side of the paper only, and paginated. The narrative must specifically address each of the elements listed below. Use of tables and charts to summarize relevant data and information is strongly encouraged. However, the applicant must provide sufficient narrative interpretations of data summarized in any tables and charts to support the need for the project and the effectiveness of the planned service strategy.

The project narrative shall include:

a. *Required Services.* A description of the specific actions which have been completed regarding the required services described in section II.E of these guidelines.

If all required services have not been completed at the time of submitting the application, a timetable for completing them must be included in the application.

b. *Analysis of Target Group.* (1) A description of how the number of affected workers which are expected to participate in the program was determined.

(2) Where layoffs have occurred more than 4 months prior to the submittal of the application to the State (or DOL if the State is the project operator), the application shall describe the methods which are being and will be used to maintain continuing contact with the workers.

(3) Identify if all or part of the dislocation is potentially trade-impacted. Indicate the status of any NAFTA and/or TAA petitions which have been filed or planned to be filed in conjunction with this dislocation.

(4) If the proposed target group includes workers dislocated as a result of the relocation of a company facility or the transfer of a company operation to another location, the city and State to which the relocation or transfer is being made shall be identified.

Note: This information will not be used to evaluate the application, but is being requested to help the Department enforce section 141(c) of the Act.

c. *Analysis of Labor Market Conditions.* A brief description of local labor market conditions, including any other job markets in which job placement is an appropriate option for the affected workers. The description must address current and expected labor supply and demand relationships as they relate to the reemployment and wage recovery potential for the target group of workers.

d. *Description of Client Service Process.* A description of the client service process to be used for effective training and job placement of the population to be served.

e. *Needs-Related Payments.* A description of how the estimate of the funds required for needs-related payments to the participants to be served through the project was developed. The description should include an identification of the estimated number of participants who will need or be eligible for needs-related payments, and the applicant's policies for payment of needs-related payments.

f. *Relocation/Out-of-Area Job Search Assistance.* If relocation and/or out-of-area job search assistance are to be provided, a description of the circumstances that make these appropriate services for the target group.

g. *Management Process.* A description of the core management process and procedures to be used by the project operator in implementing the project

and in managing and controlling project performance and expenditures.

h. *Coordination and Linkages.* (1) For States and Title III substate grantee applicants, a description only of coordination relationships which go beyond those that are described in the Title III State or substate plan.

(2) For other applicants, a signed statement from the State Dislocated Worker Unit and/or the applicable Title III substate grantee that the level of coordination relationships which have been, or are being developed is adequate.

(i) *Financial and Management Capabilities.* For applicants who are neither the State nor a Title III substate grantee, a description of financial and management capabilities of the applicant.

7. *Implementation Plan.*—The application shall include the following implementation information:

a. An identification of activities, timeframes and responsibilities for implementing the project in a timely manner after award. The activities must include organization and opening of service facilities, staffing, and the execution of agreements with key service providers.

b. A quarterly implementation schedule showing the number of participants, enrollments in training, participants receiving needs-related payments, terminations, and entered employments.

8. *Project Budget.*—The application must include a budget for all costs required to implement the project design effectively, as described in the preceding sections.

a. *Cost Classification.* Costs must be classified under the following cost categories: Administration, Basic Readjustment Services, Retraining, Supportive Services and Needs-Related Payments, as defined in 20 CFR 631.13.

b. *Budget Forms.* The application shall include the following completed budget information:

(1) *Project Line Item Budget,* which shall reflect the total costs required to implement the project design that are to be paid with NRA grant funds.

(2) *Service Plan Matrix,* which shall identify the specific activities and services in the project design and the planned funding sources for each.

(3) *Planned Cumulative Quarterly Expenditures of NRA Grant Funds,* which shall provide a quarterly expenditure plan for the use of NRA grant funds, identified by cost category.

Collectively, these budget forms present a total cost picture to implement the project and indicate how NRA funds

will be integrated with other available sources of funds.

c. *Use of Grant Funds for Pre-Award Costs.* If the applicant is requesting approval from the Grant Officer for use of grant funds to pay for costs of providing services to the target group which have been incurred prior to issuance of the Notice of Obligation (NOO), the applicant shall submit two sets of the required budget forms: one which includes requested pre-award costs, and one which does not include these costs. The applicant must provide a detailed explanation of why grant funds are needed to cover these costs. If the Grant Officer approves the request, such costs will be specifically identified in the grant award document. If the applicant does not request and the Grant Officer does not approve the use of grant funds for such costs, then grant funds cannot be used to pay for any such costs.

d. *Justification for Requested NRA Funds.* The applicant must provide information which justifies the level of requested NRA funds in relation to other available Title III funds in the State. The information must include an identification of available formula and NRA funds, actual obligations and expenditures, and the projected need for unexpended funds. Available Title III funds in the State shall include funds allotted by formula at the beginning of the Program Year plus any carryover funds from previous PYs. Available Title III funds shall include any Title III funds which have been transferred to other Titles under the provisions of TEGL 7-95, and any subsequent modifications thereto, and which remain unexpended.

e. *Justification for Project Design Performance.* The applicant must provide information which compares the planned design and performance for the project with performance information for the formula program for the most recently completed Program Year in the substate area, or State if appropriate, in which the project is to be implemented. If the planned performance for this project varies from the related experience on the formula program by more than ten percent (10%), the applicant must provide an explanation, including supporting documentation, of the factors which are causing the differences in performance. Performance factors to be addressed must include: cost per participant, entered employment rate, cost per entered employment, average wage at placement, average duration of participation, and maximum amounts of needs-related payments which can be paid to an individual participant.

9. *Description of State's Administrative Responsibilities.*—The application shall include an identification of the individual(s) within the State administrative entity who will be responsible for the oversight activities, as described in Part IV of these guidelines.

The State is expected to perform the following core responsibilities related to each NRA project for which the State is the grantee:

- Maintain participant and financial information and submit required reports;
- Ensure compliance of project operations with applicable statutory and regulatory requirements;
- Carry out the required project site visits;
- Provide needed technical assistance to the project operator(s).

If the State is performing only these core responsibilities in conjunction with the project, it may receive no more than 1.5% of the approved grant funds, up to a maximum amount of \$25,000.

If the State is performing more than the core administrative responsibilities and/or wants to request more than \$25,000 in NRA grant funds for State-level administration, it must include in the application:

- a. A detailed description of the additional administrative responsibilities to be performed and a timetable for undertaking and completing them;
- b. A line-item budget identifying the costs of the State-level administrative responsibilities;
- c. An explanation of why these responsibilities are more appropriately performed at the State level instead of by the project operator;
- d. A certification that State formula funds are not available to cover the costs;
- e. A signed letter from the project operator(s) commenting on the proposed plan for performing project administrative functions.

10. *Review and Comment.*—Each application shall include documentation of the following review and comment requirements:

a. *Substate Grantees.* The application must include letters from the Governor (or his/her designated signatory official for JTPA) and each appropriate JTPA Title III substate grantee indicating that they have been provided an opportunity to review and comment on the application. Each letter shall provide a description of funding, services and/or assistance to be provided to the project.

b. *Labor Organizations.* Each application where a substantial number

(20% or more) of the affected workers are represented by a labor organization(s) must provide documentation of full consultation with each appropriate local labor organization in the development of the project design.

Each application shall describe the procedure which has been or will be used to consult with any labor organization which represents a substantial number of the workers employed in the local labor market in occupations in which participants are being trained through the proposed project.

D. *Application Review Criteria*

1. *Overall Considerations.* To be considered, the application must demonstrate that the proposed project meets the purpose of and is consistent with the Act and regulations; and provides all the information required by these guidelines. Applications which are not complete in accordance with the requirements defined in these guidelines will not be evaluated for funding until all required information and documentation is provided.

2. *Specific Evaluation Criteria.* The following specific criteria shall apply to the evaluation of complete applications:

a. *Target Group.* The extent to which the application identifies an eligible target group and provides a reasonable estimate of the portion of the total eligible group to be assisted through the project, based on available information.

b. *Need for NRA Funds.* The extent to which an effort has been made to access other available federal, State and local resources to finance the project and the request for NRA funds is supported by available information on resources and resource utilization.

c. *Management Plan.* Extent to which an adequate process and plan is in effect to deliver the required services, and the applicant has described appropriate management processes to guide and control project implementation.

d. *Participant Service Plan.* Extent to which the described participant service process is responsive to the dislocation circumstances and the ETA customer service principles; and the Implementation Plan provides a timely response to the dislocation(s).

e. *Reasonableness of Proposed Costs.* Extent to which proposed cost items relate to the service plan and that cost levels are appropriate given experience on other projects in the same service area, or on information provided in the application.

These criteria will be used to develop a recommendation on each application regarding fundability (YES/NO),

funding level, and funding method (e.g., full funding, incremental funding, incremental release of funds).

Part IV

A. Performance Management/Oversight Requirements

There will be a minimum of two onsite reviews of each NRA grant project: one within 90 days after grant award; a second at approximately the midpoint of the grant period or six months after the project begins enrolling participants (whichever comes first). Additional onsite reviews may be conducted based on the complexity, duration and/or performance of the project, and/or recommendations from either of the two required reviews.

1. 90-Day Review

The purpose of this review is to verify that the required services have been or are being provided; the implementation actions regarding facilities, staffing, and project operator agreements have been completed; and that the core management and participant service processes are being planned and implemented appropriately.

This review must be completed no later than the end of the 4th month following grant award.

2. Midpoint Review

The purpose of this review is to assess the effectiveness of the participant service process and the core service elements of outreach, recruitment, eligibility; assessment and service planning; referral to services; and job development. This review will also analyze the approach to collecting and using customer feedback information.

Although both the 90 day and the midpoint reviews will, as a matter of course, look at compliance issues, the focus is on ensuring that critical elements are in place to be able to accomplish the project's objectives and effectively use the grant funds which have been awarded.

B. Performance/Oversight Responsibilities

The States and ETA Regional Offices will have primary responsibility for the onsite reviews in cases where the project operator is an entity other than the State. The Regional Office will be

responsible for the onsite reviews of all projects in which the grantee is a non-JTPA entity, or in which the State is the project operator.

In cases in which the State is the grantee but not the project operator, the State will have the primary responsibility for conducting the 90 day review. The midpoint review of such projects will be jointly conducted by the State and the Regional Office. National Office staff will participate in midpoint reviews of selected large and/or complex projects.

For both 90 day and midpoint reviews, a summary report from the site review shall be submitted to the Title III Program Office, ATTN: Chief of the Division of Program Implementation and to the ETA Regional Administrator, no later than 30 (calendar) days after the review is completed.

A copy of the report shall be provided to the State and to the grantee (if other than the State) for follow-up.

C. State Administration

States are expected to perform the following core responsibilities related to NRA projects in which the State is the grantee:

- Maintenance of participant and financial information and submission of required reports;
- Ensure compliance of project operations with applicable statutory and regulatory requirements;
- Provide needed technical assistance.

If this is the limit of the State's role on the project, the State is playing a "pass-through" administrative role and is subject to the following limit on the State's share of administrative costs which can be charged to the project: 1.5% of the grant award up to a maximum of \$25,000. As described in section III.C.9 of these guidelines, the State may request a higher amount for State administration, but must provide a detailed justification.

Part V

A. Circumstances Requiring a Grant Modification Request

In general, a grant modification request will be required when circumstances change to the extent that:

- Actual end-of-project performance is expected to vary by more than 15%

from plan regarding: total participants, participants to be enrolled in training, or expenditures for retraining;

- Actual end-of-project expenditures will be less than the award, or the amount of the award will be insufficient to satisfactorily complete the project;
- The project objectives cannot be accomplished in the approved grant period;
- There is a need to redefine the eligible target group for the project.

Modification requests to reduce the performance measures in the approved grant (i.e., entered employment rate, wage replacement rate, customer satisfaction rating) to be consistent with actual performance will not be approved.

Non-State grantees will also be required to comply with applicable OMB Circular requirements regarding grant modifications, where applicable.

B. Review and Approval of Grant Modification Requests

Requests for grant modifications will be considered consistent with the general purposes of the national reserve account, the selection criteria for national reserve projects, and the purposes of the original grant award. Modifications which request changes in the approved grant budget that comprise 25% or more of the grant award, or which significantly change the project design will be reviewed on the same basis as a new application, except that Assistant Secretary rather than Secretary approval will be required.

Grant modification requests should not be submitted later than 90 days prior to the expiration date of the grant. A request to deobligate or reprogram grant funds should be submitted no later than 120 days prior to the expiration date of the grant.

The Grant Officer will advise the State, or grantee if not the State, in writing of any approval or disapproval of the requested grant modifications within 30 (calendar) days of receipt of a *complete* grant modification request. Such notification will occur within 45 (calendar) days for modifications requiring Assistant Secretary approval.

Appendix A.—Directory of Regional Offices of the Employment and Training Administration

REGIONAL OFFICES OF THE EMPLOYMENT AND TRAINING ADMINISTRATION

Region (States served)	Contact information
Region I (Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, Vermont)—Robert J. Semler, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., JFK Federal Building, Room E-350, Boston, Massachusetts 02203, (617) 565-3630.
Region II (New York, New Jersey, Puerto Rico, Virgin Islands)—Albert Garizio, Acting Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 201 Varick Street, Room 755, New York, New York 10014, (212) 337-2139.
Region III (Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia)—Edwin G. Strong, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 3535 Market Street, Room 13300, Philadelphia, Pennsylvania 19104, (215) 596-6336.
Region IV (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee)—Toussiant L. Hayes, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 1371 Peachtree Street, NE; Room 400, Atlanta, Georgia 30367, (404) 347-4411.
Region V (Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin) Joseph Juarez, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 230 South Dearborn Street, Room 628, Chicago, Illinois 60604, (312) 353-0313.
Region VI (Arkansas, Louisiana, New Mexico, Oklahoma, Texas)—Donald A. Balcer, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 525 Griffin Street, Room 317, Dallas, Texas 75202, (214) 767-8263.
Region VII (Iowa, Kansas, Missouri, Nebraska)—William H. Hood, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 1100 Main Street, Suite 1050, Kansas City, Missouri 64105, (816) 426-3796.
Region VIII (Colorado, Montana, North Dakota, South Dakota, Utah, Wyoming)—Peter E. Rell, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 1999 Broadway Street, Suite 1780, Denver, Colorado 80202-5716, (303) 391-5740.
Region IX (Arizona, California, Hawaii, Nevada, Pacific Territories)—Armando Quiroz, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 71 Stevenson Street, Suite 830, San Francisco, California 94105, (415) 975-4612.
Region X (Alaska, Idaho, Oregon, Washington)—Bill Janes, Regional Administrator.	U.S. Dept. of Labor/Employment & Training Admin., 1111 Third Avenue, Suite 900, Seattle, Washington 98101-3212, (206) 553-7700.

Appendix B.—Directory of State JTPA Liaisons

State JTPA Liaisons

(As of 4/1/96)

ALABAMA

Robert E. Lunsford, Director, Alabama Department of Economic and Community Affairs, P.O. Box 5690, Montgomery, Alabama 36103-5690, Telephone: 334-242-5893, FAX: 334-242-5855,

ALASKA

Jeff Smith, Director, Division of Community and Rural Development, Alaska Department of Community and Regional Affairs, 333 West 4th Avenue, Suite 220, Anchorage, Alaska 99501-2341, Telephone: 907-269-4607, FAX: 907-269-4520

ARIZONA

Bill Hernandez, Assistant Director, Division of Employment and Rehabilitation Services, 1789 West Jefferson; P.O. Box 6123, Suite 901A, Phoenix, Arizona 85005, Telephone: 602-542-4910, FAX: 602-542-2273

ARKANSAS

Sharon Robinette, Administrator, Office of Employment & Training Services, Arkansas Employment Security Department, P.O. Box 2981, Little Rock, Arkansas 72203, Telephone: 501-682-5227, FAX: 501-682-3144

CALIFORNIA

Victoria L. Bradshaw, Director, Employment Development Department, 800 Capitol Mall, MIC 69, P.O. Box 826880, Sacramento, California 94280-0001, Telephone: 916-654-8210, FAX: 916-657-5294

COLORADO

Vickey Ricketts, Executive Director, Governor's Job Training Office, 720 South Colorado Boulevard, Suite 550, Denver, Colorado 80222, Telephone: 303-758-5020, FAX: 303-758-5578

CONNECTICUT

John E. Saunders, Deputy Commissioner, Connecticut State Department of Labor, 200 Folly Brook Boulevard, Wethersfield, Connecticut 06109, Telephone: 203-566-4280, FAX: 203-566-1520

DELAWARE

Louis A. Masci, Administrator, Employment and Training, Delaware Department of Labor, University Plaza, P.O. Box 9499, Newark, Delaware 19714-9499, Telephone: 302-368-6810, FAX: 302-368-6995

FLORIDA

Doug Jamerson, Secretary, Department of Labor and Employment Security, 2012 Capital Circle, Southeast, Suite 303, Hartman Building, Tallahassee, Florida 32399-2152, Telephone: 904-922-7021, FAX: 904-488-8930

GEORGIA

David B. Poythress, Commissioner, Georgia Department of Labor, Sussex Place, 148 International Boulevard, N.E., Room 600, Atlanta, Georgia 30303, Telephone: 404-656-3011, FAX: 404-656-2683

HAWAII

Lorraine H. Akiba, Director, Department of Labor and Industrial Relations, 830 Punchbowl Street, Room 321, Honolulu, Hawaii 96813, Telephone: 808-586-8844, FAX: 808-586-9099

IDAHO

Roger B. Madsen, Director, Idaho Department of Employment, 317 Maine Street, Boise, Idaho 83735-0001, Telephone: 208-334-6110, FAX: 208-334-6430

ILLINOIS

Herbert D. Dennis, Manager, JTPA Programs Division, Department of Commerce and Community Affairs, 620 East Adams, 6th Floor, Springfield, Illinois 62701, Telephone: 217-785-6006, FAX: 217-785-6454

INDIANA

Timothy C. Joyce, Commissioner, Indiana Department of Workforce Development, Indiana Government Center South, SE302, 10 North Senate Avenue, Indianapolis, Indiana 46204-2277, Telephone: 317-233-5661, FAX: 317-233-4793

IOWA

Cynthia P. Eisenhower, Director,
Workforce Development Department,
1000 E. Grand, Des Moines, Iowa
50319, Telephone: 515-281-5365,
FAX: 515-281-4698

KANSAS

Wayne L. Franklin, Secretary, Kansas
Department of Human Resources, 401
S.W. Topeka Boulevard, Topeka,
Kansas 66603-3182, Telephone: 913-
296-7474, FAX: 913-296-0179

KENTUCKY

Jill K. Day, Staff Assistant, Office of
Training and Reemployment,
Workforce Development Cabinet, 275
East Main Street, 2-West, Frankfort,
Kentucky 40621, Telephone: 502-
564-5360, FAX: 502-564-7452

LOUISIANA

Calvin E. Beale, Assistant Secretary,
Louisiana Department of Labor, P.O.
Box 94094, Baton Rouge, Louisiana
70804-9094, Telephone: 504-342-
7693, FAX: 504-342-7960

MAINE

Valerie Landry, Commissioner, Maine
Department of Labor, 20 Union Street;
P.O. Box 309, Augusta, Maine 04330,
Telephone: 207-287-3788, FAX: 207-
287-5292

MARYLAND

Sheila Tolliver, Assistant Secretary,
Department of Labor, Licensing and
Regulations, 1100 North Eutaw Street,
Room 600, Baltimore, Maryland
21201, Telephone: 410-767-2400,
FAX: 410-767-2986

MASSACHUSETTS

Nils L. Nordberg, Commissioner,
Department of Employment and
Training, Charles F. Hurley Building,
Government Center, 19 Staniford
Street, Boston, Massachusetts 02114,
Telephone: 617-727-6600, FAX: 617-
727-0315

MICHIGAN

Douglas E. Stites, Chief Operating
Officer and Vice President for
Workforce Development, Michigan
Jobs Commission, 201 North
Washington Square, Lansing,
Michigan 48913, Telephone: 517-
373-6227, FAX: 517-373-0314

MINNESOTA

Byron Lee Zuidema, Assistant
Commissioner, Community Based
Services, Minnesota Department of
Economic Security, 390 North Robert
Street, 1st Floor, St. Paul, Minnesota

55101, Telephone: 612-296-3700,
FAX: 612-296-0994

MISSISSIPPI

Jean Denson, Director, Employment
Training Division, Mississippi
Department of Economic and
Community Development, 301 West
Pearl Street, Jackson, Mississippi
39203-3089, Telephone: 601-949-
2234, FAX: 601-949-2291

MISSOURI

Julie Gibson, Director, Division of Job
Development and Training,
Department of Economic
Development, P.O. Box 1087,
Jefferson City, Missouri 65102-1087,
Telephone: 314-751-4750, FAX: 314-
751-6765,

MONTANA

Ingrid Danielson, Bureau Chief, State
Job Training Bureau, Montana
Department of Labor and Industry,
P.O. Box 1728, Helena, Montana
59624, Telephone: 406-444-4500,
FAX: 406-444-3037

NEBRASKA

Dan Dolan, Commissioner, Department
of Labor, P.O. Box 94600, 550 South
16th Street, Lincoln, Nebraska 68509-
4600, Telephone: 402-471-9000,
FAX: 402-471-2318

NEVADA

Roger Dremner, Executive Director,
State Job Training Office, Capitol
Complex, 400 West King, Carson City,
Nevada 89710, Telephone: 702-687-
4310, FAX: 702-687-3957

NEW HAMPSHIRE

Ray O. Worden, Executive Director,
New Hampshire Job Training
Coordinating Council, 64B Old
Suncook Road, Concord, New
Hampshire 03301, Telephone: 603-
228-9500, FAX: 603-228-8557

NEW JERSEY

Peter Calderone, Commissioner, State of
New Jersey Department of Labor,
CN055, Trenton, New Jersey 08629-
0055, Telephone: 609-292-2323,
FAX: 609-633-9271

NEW MEXICO

Clinton D. Harden, Jr., Secretary, New
Mexico Department of Labor, P.O. Box
87103, Albuquerque, New Mexico
87103, Telephone: 505-841-8409,
FAX: 505-841-8491

NEW YORK

John E. Sweeney, Commissioner, New
York State Department of Labor, State
Office Building Campus, Building 12,
Room 500, Albany, New York 12240,

Telephone: 518-457-2741, FAX: 518-
457-6908

NORTH CAROLINA

R. Scott Ralls, Director, Division of
Employment and Training,
Department of Commerce, 111
Seaboard Avenue, Raleigh, North
Carolina 27604, Telephone: 919-733-
6383, FAX: 919-733-6923

NORTH DAKOTA

Gerald P. Balzer, Executive Director, Job
Service North Dakota, 1000 East
Divide Avenue; P.O. Box 5507,
Bismarck, North Dakota 58506-5507,
Telephone: 701-224-2836, FAX: 701-
224-4000

OHIO

Evelyn Bissonnette, Director, Job
Training Partnership-Ohio, Ohio
Bureau of Employment Services, 145
South Front Street, 4th Floor,
Columbus, Ohio 43216, Telephone:
614-466-3817, FAX: 614-752-6582

OKLAHOMA

Glen E. Robards, Jr., Associate Director,
Oklahoma Employment Security
Commission, 2401 North Lincoln,
Will Rogers Building, Room 408,
Oklahoma City, Oklahoma 73152,
Telephone: 405-557-5329, FAX: 405-
557-1478

OREGON

Jacki Bessler-Perasso, Acting Manager,
Business Resources Division, Oregon
Economic Development Department,
255 Capitol Street, N.E., Suite 399,
Salem, Oregon 97310-1600,
Telephone: 503-373-1995, FAX: 503-
581-5115

PENNSYLVANIA

Alan R. Williamson, Deputy Secretary
for Employment Security and Job
Training, Department of Labor and
Industry, 7th and Forster Streets,
Room 1700, Harrisburg, Pennsylvania
17120, Telephone: 717-787-3907,
FAX: 717-787-8826

RHODE ISLAND

Robert Palumbo, Associate Director,
Department of Employment and
Training, 101 Friendship Street,
Providence, Rhode Island 02903-
3740, Telephone: 401-277-3600,
FAX: 401-277-2731

SOUTH CAROLINA

Dr. Robert E. David, Executive Director,
South Carolina Employment Security
Comm., 1550 Gadsden Street; P.O.
Box 1406, Columbia, South Carolina
29202, Telephone: 803-737-2617,
FAX: 803-737-2642

SOUTH DAKOTA

Craig W. Johnson, Secretary, South Dakota Department of Labor, Kneip Building, 700 Governor's Drive, Pierre, South Dakota 57501-2277, Telephone: 605-773-3101, FAX: 605-773-4211

TENNESSEE

Robert L. Morris, II, Assistant Commissioner, Tennessee Department of Labor, 710 James Robertson Parkway, 4th Floor, Nashville, Tennessee 37243-0658, Telephone: 615-741-6772, FAX: 615-741-3003

TEXAS

Linda Williamson, Deputy Director, Workforce Development Division, Texas Workforce Commission, 211 East 7th Street, Suite 1000, Austin, Texas 78701, Telephone: 512-936-0468, FAX: 512-936-0313

UTAH

Gregory B. Gardner, Director, Office of Job Training, 324 South State Street, Suite 500, Salt Lake City, Utah 84114-7162, Telephone: 801-538-8750, FAX: 801-359-3928

VERMONT

Robert Ware, Director, Jobs and Training Division, Department of Employment and Training, 5 Green Mountain Drive, P.O. Box 488, Montpelier, Vermont 05601-0488, Telephone: 802-828-4300, FAX: 802-828-4022

VIRGINIA

Ann Y. McGee, Executive Director, Governor's Employment and Training Department, Theatre Row Building, 730 East Broad Street, 9th Floor, Richmond, Virginia 23219, Telephone: 804-786-2308, FAX: 804-786-2310

WASHINGTON

Larry A. Malo, Assistant Commissioner, Training and Employment Analysis Division, Employment Security Department, 605 Woodview Drive, S.E., MS KG11, Olympia, Washington 98504-5311, Telephone: 206-438-4611, FAX: 206-438-3174

WEST VIRGINIA

Andrew N. Richardson, Commissioner, Bureau of Employment Programs, Job Training Programs Division, 112 California Avenue, Room 610, Charleston, West Virginia 25305-0112, Telephone: 304-558-2630, FAX: 304-558-2992

WISCONSIN

June Suhling, Administrator, Division of Jobs, Employment and Training

Services, Wisconsin Department of Industry, Labor and Human Relations, 201 East Washington Avenue, Room 201X, P.O. Box 7972, Madison, Wisconsin 53707, Telephone: 608-266-2439, FAX: 608-267-2392

WYOMING

Elizabeth A. Nelson, Deputy Director, Department of Employment, P.O. Box 2760, Casper, Wyoming 82602, Telephone: 307-235-3254, FAX: 307-235-3278

DISTRICT OF COLUMBIA

F. Alexis Roberson, Acting Director, D.C. Department of Employment Services, 500 C Street, N.W., Suite 600, Washington, D.C. 20001, Telephone: 202-724-7185, FAX: 202-724-7112

PUERTO RICO

Cesar Juan Almodovar, Secretary of Labor and President Council for Occupational Development and Human Resources, 431 Ponce de Leon, 17th Floor, Hato Rey, Puerto Rico 00918, Telephone: 809-754-5633, FAX: 809-763-0195

VIRGIN ISLANDS

Lisa Harris-Moorhead, Commissioner, V. I. Department of Labor, 2131 Hospital Street, Christiansted, St. Croix, Virgin Islands 00820, Telephone: 809-773-1994, FAX: 809-773-1515

AMERICAN SAMOA

Patolo Mageo, Acting Director, Department of Human Resources, American Samoa Government, Pago Pago, American Samoa 96799, Telephone: 9-1-0288-011-684-633-5172, FAX: 9-1-0288-011-684-633-1139

GUAM

William Cundiff, Director, Agency for Human Resources Development, P.O. Box CQ, Agana, Guam 96910, Telephone: 9-1-0288-011-671-475-0751, FAX: 9-1-0288-011-671-477-5022

NORTHERN MARIANAS

Felix Nogis, JTPA Administrator, Office of the Governor, Commonwealth of the Northern Mariana Islands, Saipan, MP 96950, Telephone: 9-1-0288-011-670-664-1700, FAX: 9-1-0288-011-670-322-5096

REPUBLIC OF THE MARSHALL ISLANDS

Evelyn Konou, Minister of Education, P.O. Box 3, Majuro, Republic of the Marshall Islands 96960, Telephone:

9-1-0288-11-692-9-3345, FAX: 9-1-0288-11-680-488-1625

REPUBLIC OF PALAU

Josephine Ulengchong, Palau JTPA Director, P.O. Box 100, Koror, Republic of Palau 96940, Telephone: 9-1-0288-011-680-488-2513, FAX: 9-1-0288-011-680-488-1725

FEDERATED STATES OF MICRONESIA

Kapilly Capelle, Office of Administrative Services, FSM National Government, Palikir, Pohnpei, Eastern Caroline Islands 96941, Telephone: 9-1-0288-011-691-320-2618, FAX: 9-1-0288-011-691-320-5854

Appendix C.—Directory of State Dislocated Worker Units***Dislocated Worker Units***

(As of 4/1/96)

ALABAMA

Raymond A. Clenney, Coordinator, Job Training Division, Alabama Department of Economic and Community Affairs, 401 Adams Avenue, Post Office Box 5690, Montgomery, Alabama 36103-5690, Telephone: (334) 242-5893

ALASKA

Carolyn Tuovinen, DWU Coordinator, Division of Community and Rural Development, Department of Community and Regional Affairs, 333 West 4th Avenue, Suite 220, Anchorage, Alaska 99501-2341, Telephone: (907) 269-4658

ARIZONA

Tommy Landa, DWU Coordinator, Job Training Partnership Act, 1789 West Jefferson, Site Code 920Z, Phoenix, Arizona 85005, Telephone: (602) 542-2484

ARKANSAS,

Linda Morris, Arkansas Employment Security Department, Post Office Box 2981, Little Rock, Arkansas 72203-2981, Telephone: (501) 682-3137

CALIFORNIA

Robert Hermsmeier, Displaced Worker Services Section Manager, Job Training Partnership Div., MIC 69, Employment Development Department, Post Office Box 826880, Sacramento, CA 94280-0001, Telephone: (916) 654-9212

COLORADO

Dick Rautio, Planner, Dislocated Worker Unit, Governor's Job Training Office, Suite 550, 720 South Colorado

Boulevard, Denver, Colorado 80222,
Telephone: (303) 758-5020

CONNECTICUT

Kathleen Wimer, Title III Coordinator,
State Department of Labor, 200 Folly
Brook Boulevard, Wethersfield,
Connecticut 06109, Telephone: (203)
566-7550

DELAWARE

Alice Mitchell, Technical Service
Manager, Delaware Department of
Labor, Division of Employment and
Training, University Plaza; Post Office
Box 9499, Newark, Delaware 19714-
9499, Telephone: (302) 368-6913

FLORIDA

Arnell Bryant-Willis, Chief, Bureau of
Job Training, Div. of Labor,
Employment and Training, 1320
Executive Center Drive, Atkins
Building—Room 211, Tallahassee, FL
32399-0667, Telephone: (904) 488-
9250

GEORGIA

Robert Davis, Chief, Worker Adjustment
Section, Georgia Department of Labor,
Sussex Place, 148 International Blvd.,
NE, Atlanta, Georgia 30303,
Telephone: (404) 656-6336

HAWAII

Carol Kanayama, Acting Administrator,
Office of Employment and Training
Admin., Department of Labor and
Industrial Relations, 830 Punchbowl
Street, Rm. 316, Honolulu, Hawaii
96813, Telephone: (808) 586-9067

IDAHO

Cheryl Brush, Bureau Chief, Planning,
Employment and Training Programs,
Department of Employment, 317 Main
Street, Boise, Idaho 83735-0001,
Telephone: (208) 334-6303

ILLINOIS

Herbert Dennis, Manager, Job Training
Division, Dept. of Commerce and
Community Affairs, 620 East Adams
Street, Springfield, Illinois 62701,
Telephone: (217) 785-6006

INDIANA

Sharon K. Langlotz, Director, Dislocated
Worker Unit, Indiana Department of
Workforce Development, 10 North
Senate Avenue, Indianapolis, Indiana
46204, Telephone: (317) 232-7371

IOWA

Jeff Nall, Administrator, Division of
Workforce Development, Iowa Dept.
of Economic Development, 200 East
Grand Avenue, Des Moines, Iowa
50309, Telephone: (515) 281-9013

KANSAS

Armand Corpolongo, Job Training
Director, Department of Human
Resources, Div. of Employment &
Training, 401 SW Topeka Boulevard,
Topeka, Kansas 66603, Telephone:
(913) 296-7876

KENTUCKY

Jill K. Day, Staff Assistant, Office of
Training and Reemployment,
Workforce Development Cabinet, 275
East Main, 3 Floor West, Frankfort,
Kentucky 40621, Telephone: (502)
564-5360

LOUISIANA

Dale Miller, Assistant Director, Special
Programs Section Office of Labor,
Federal Training Program Div., Post
Office Box 94094, Baton Rouge, LA
70804-9094, Telephone: (504) 342-
7637

MAINE

Michael Bourret, Dir. of Workforce
Development, Maine Department of
Labor, Bureau of Employment and
Training Programs, 20 Union Street,
State House Station 55, Augusta,
Maine 04330, Telephone: (207) 287-
3377

MARYLAND

Ron Windsor, Office of Employment
Training, Dept. of Economic and
Employment Development, 1100
North Eutaw Street, Room 3109,
Baltimore, Maryland 21201,
Telephone: (410) 767-2832

MASSACHUSETTS

Suzanne Teegarden, Director, Industrial
Services Program, The Schrafft
Center, 529 Main Street, Suite 400,
Boston, Massachusetts 02129,
Telephone: (617) 727-8158 -X319

MICHIGAN

James Hover, Workforce Transition
Unit, Michigan Jobs Commission, 201
N. Washington Square, Lansing,
Michigan 48913, Telephone: (517)
373-2162

MINNESOTA

Jim Korkki, Director, Dislocated Worker
Program, Community-Based Services,
Minnesota Dept. of Economic
Security, 390 North Robert Street,
First Floor, St. Paul, Minnesota 55101,
Telephone: (612) 296-6061

MISSISSIPPI

Jean Denson, Director, Employment
Training Division, Mississippi Dept.
of Economic and Community
Development, 301 West Pearl Street,

Jackson, MS 39203-3089, Telephone:
(601) 949-2234

MISSOURI

Julie Gibson, Director, Div. of Job
Development and Training,
Department of Economic
Development, Post Office Box 1087,
Jefferson City, MO 65102-1087,
Telephone: (314) 751-7796

MONTANA

Mary Walsh, DWU Coordinator, State
Job Training Bureau, Montana Dept.
of Labor and Industry, Post Office Box
1728, Helena, Montana 59624,
Telephone: (406) 444-4500

NEBRASKA

Edward Kosark, Nebraska Department of
Labor, Job Training Program Division,
550 South 16th Street, Lincoln,
Nebraska 68509, Telephone: (402)
471-9903

NEVADA

Jan Pirozzi, DWU, State Job Training
Office, Capitol Complex, 400 West
King St., Suite 108, Carson City,
Nevada 89710, Telephone: (702) 687-
4310

NEW HAMPSHIRE

Boby Stevens, DWU Director, New
Hampshire Job Training Coordinating
Council, 64-B Old Suncock Road,
Concord, New Hampshire 03301,
Telephone: (603) 228-9500 X440

NEW JERSEY

Thomas Drabik, Director, Rapid
Response Team, Labor Management
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Appendix D.—Assurances and Certifications

Assurances and Certifications for JTPA
Title III National Reserve Grants

assures that:

1. Use of funds provided through this grant will be in accordance with the Act, applicable regulations, the application and any amendments thereto as approved by the Grant Officer, and shall be consistent with the executed award document signed by the Grant Officer.

2. Services under this grant will be provided only to eligible dislocated workers.

3. Services will not be denied on the basis of residence to eligible dislocated workers.

4. The project design will reflect full consultation with each local labor organization(s) representing 20% or more of the workers affected by the layoff(s) covered by this grant.

5. The project will provide activities and services which are supported with funds reserved by the Secretary pursuant to § 302(a)(2) and § 322(a)(3) of the Job Training Partnership Act.

6. The project will operate in accordance with the General Administrative Provisions of the Act, as described in Title I, Parts C and D, and section 312(e) of the Act; 20 CFR Part 627 of the Regulations; and 20 CFR Part 631, § 631.13, § 631.15, § 631.16, § 631.17, § 631.31, § 631.37, and Subpart G.

7. The project will maintain accurate and timely participant and fiscal records, and will submit complete, accurate and timely reports as specified by the Grant Officer.

8. Except as described in the application and as approved by the Grant Officer, projects administered by State or Title III substate grantees will adhere to all policies and procedures identified in the approved State Title III Plan, and applicable Title III substate plan.

9. Retraining will only occur in occupations with a demand for workers.

10. By signing these Assurances and Certifications, the applicant is assuring compliance with the provisions of each of the following:

a. Assurances—Non-Construction Programs (SF 424B);

b. Debarment, Suspension, Ineligibility and Voluntary Exclusion—Primary Covered and Lower Tier Transactions (29 CFR Part 98);

c. Certification Regarding Lobbying (29 CFR Part 93);

d. Certification Regarding Drug-Free Workplace (29 CFR Part 98);

e. Certification of Release of Information;

f. Compliance with Nondiscrimination and Equal Opportunity Requirements of JTPA (29 CFR Part 34).

11. Each contract for on-the-job training will comply with the provisions at § 627.240 of the Regulations.

12. It will conduct at least once annually a comprehensive review and verification of financial management, procurement systems, participant data, and subrecipient monitoring procedures and systems for the project operator.

13. Funds awarded under this grant will not supplant available resources, and will be coordinated with all resources available to provide assistance to the target group.

14. It will provide effective administration and oversight of the funds awarded through this grant; and that it will review expenditures and enrollment data against the planned levels for the project and notify the Grant Officer expeditiously of any potential over- or underexpenditure of grant funds.

15. It will compile and maintain information on project implementation on a monthly basis, and shall provide such information to the Department as requested.

16. It will develop and implement a system for collecting information from participants regarding satisfaction with outcomes and the service process, and for using that information in a continuous improvement process regarding project design and operation.

federally funded General Assistance or General Relief payments)

- foster child care payments
- educational financial assistance received under Title IV of the Higher Education Act
- needs-based scholarship assistance
- income earned while on active military duty.

In addition, when a Federal statute specifically provides that income or payments received under such statute shall be excluded in determining eligibility for and the level of benefits received under any other federal statute, such income shall be excluded.

With the exception of the above, and any other exclusions which can be determined appropriate, family income to be used in determining eligibility for needs-related payments shall be all income actually received from all sources by all members of the family for the six-month period prior to application, annualized. When computing family income, income of a spouse and other family members is counted for the portion of the six-month period, prior to application that the person was actually a member of the family.

3. *High performance workplace activities* are activities designed to increase the productivity of workers and the efficiency of work processes. They include, but are not limited to: analyzing and restructuring ("reengineering") work processes to strip down processes and work procedures to the most essential parts; acquisition and installation of flexible, multi-purpose, usually computer-based equipment; development and installation of self-control performance management procedures; worker participation in designing new work procedures and methods, including evaluation and selection of new technologies and equipment to be used in the workplace; development of worker skills in self-control systems and procedures, decision-making, working in team-based environment; development of worker competence in using new technologies, including an active role by worker representatives in evaluating and selecting training methodologies and materials.

4. *Obsolete skills*, for purposes of establishing eligibility for skills upgrading, means skills or skill levels that would not allow the individual worker to meet current hiring requirements for the occupation in the local labor market, or a labor market to which the individual is willing to relocate. Examples of reasons for "obsolete skills" include: skills that are

based on individual employer requirements and are not transferrable to other workplaces; skills that are satisfactory in low technology work environments, but are inadequate to meet hiring criteria or for successful job performance in similar occupations within the current local labor market.

5. *Project Operator* is an entity which receives an award from the grantee to operate a full service program for all or part of the target group covered by the grant. Project operators may be defined on the basis of geographical service areas or specific segments of the target population, but shall not be considered to be individual service offices or locations, or providers of specific services (e.g., occupational skills training). In general, project operators would qualify as "subrecipients" as defined at 20 CFR 626.5 of the JTPA Regulations.

6. *State*, for the purposes of these grant application guidelines, shall mean the 50 States of the United States, as represented by the State JTPA agency under the Governor/Secretary Agreement and the JTPA Agreement, block grants. "State" shall also include the following grant eligible territories and legal jurisdictions: District of Columbia, Commonwealth of Puerto Rico, Virgin Islands, Guam, American Samoa, Commonwealth of Northern Marianas, Republic of the Marshall Islands, Federated States of Micronesia, and Republic of Palau, as represented by the State JTPA agency under the Governor/Secretary and the JTPA Grant Agreements, "block grant".

7. *Substate area* means that geographic area in a State designated by the Governor pursuant to his/her authority under section 312 of JTPA.

8. *Substate grantee* means that agency or organization selected to administer programs under agreement among the Governor, the local elected official or officials of the applicable substate area, and the private industry council or councils of such area, as provided in section 312 of JTPA.

9. *Substantial layoff*, for the purpose of eligibility of a layoff for assistance with national reserve account funds, is any reduction-in-force which is not the result of a plant closure and which results in an employment loss at any single site of employment during any 30 period for at least 33% of the employees (who work 20 or more hours per week) or at least 50 employees (who work 20 or more hours per week).

10. *Wage replacement rate for entered employments* is the number which represents the average, for all project participants, of the ratio of the

Signature of Authorized Signatory

Date

Name

Appendix E.—Definitions of Key Terms

Definitions of Key Terms

1. *Family*, for purposes of establishing eligibility for needs-related payments, means two or more persons related by blood, marriage, or decree of court who are living in a single residence, and are included in one of the following categories:

- A husband, wife and dependent children;
- A parent or guardian and dependent children;
- A husband and wife.

2. *Family income* means income as defined by the Department of Health and Human Services in connection with the annual poverty guidelines. Items which should not be included in computing family income are:

- unemployment compensation
- child support and public assistance (including Aid to Families with Dependent Children, Supplemental Security Income, Emergency Assistance money payments, and non-

placement wage to the dislocation wage
for each participant.

$$\sum = \frac{\text{placement wage}}{\text{dislocation wage}}$$

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