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**WORKFORCE**  
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**TO:** Indiana's Workforce Investment System

**FROM:** Teresa L. Voors, Commissioner  
Indiana Department of Workforce Development

**THROUGH:** Scott Sanders  
Chief Financial Officer

**DATE:** February 15, 2010

**SUBJECT:** DWD Policy 2009-08  
Guidance for Requesting Workforce Investment Act (WIA) Governor's  
Discretionary and Rapid Response and American Recovery and Reinvestment Act  
(ARRA) of 2009 Funding

**Purpose**

This communication provides guidance on requesting specific Title I Workforce Investment Act (WIA) Governor's Discretionary and Rapid Response and American Recovery and Reinvestment Act (ARRA) of 2009 funding from the Grants Committee of the State Workforce Innovation Council (SWIC), acting as the State Council. The Grants Committee approved this policy on February 15, 2010.

**Rescission**

N/A.

**Content**

The Grants Committee of the State Workforce Innovation Council (SWIC) has been empowered with the authority to review and score proposals submitted for Title I Workforce Investment Act (WIA) Governor's Discretionary and Rapid Response and American Recovery and Reinvestment Act (ARRA) of 2009 funding. The Grants Committee will determine the award recipients for amounts less than \$1 million. For grant proposals requesting amounts of \$1 million or more, the same process and guidelines outlined in this policy shall be used and the recommendation for funding will be sent to the full SWIC for final approval. Proposals shall be submitted from Regional Workforce Boards and the Workforce Investment Board for Marion County.

Funding Requests

The Grants Committee will accept the following types of grant proposals for services to participants, as indicated:

- On-the-Job Training Fund – WIA Adults, Dislocated Workers and Out-of-School Youth
- Rapid Response – WIA Dislocated Workers
- Supplemental Title I WIA Adult, Dislocated Worker and Youth Formula Allocation Requests – WIA Adults, Dislocated Workers and Youth

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Funding requests and requests submitted from different entities will be considered in the future. Additional policy will be issued as other programs are developed by the SWIC.

#### Guidance for Proposal Submissions

All grant proposals shall be accompanied by a completed Grant Funding Worksheet.

([http://www.in.gov/dwd/docs/Grant\\_Request\\_Template.xls](http://www.in.gov/dwd/docs/Grant_Request_Template.xls)) Proposals must be submitted by the workforce investment board or regional workforce board or designee. Grant proposals must be received by the **15<sup>th</sup> calendar day of each month** in order to be considered for that month's Grants Committee meeting:

Indiana Department of Workforce Development  
Attn: Director, Budget & Accounting (Randy Gillespie)  
10 N. Senate Avenue, SE303  
Indianapolis, IN 46204

An electronic request is sufficient to meet the 15<sup>th</sup> calendar day requirement and must be followed by a hardcopy proposal via postal mail within three (3) business days.

- DWD will review proposals and prepare recommendations for the Grants Committee. As needed, DWD will address questions or discrepancies to the proposer, who is responsible for addressing and providing revisions in writing to the DWD within three (3) business days of the next scheduled Grants Committee meeting. In the event that a resolution is not reached before the deadline, the proposal review will be conducted at the next scheduled Grants Committee meeting.
- The Grants Committee will convene on the **fourth (4<sup>th</sup>) Thursday of each month** to review grant proposals for funding. A written decision of the Grants Committee will be sent to all grant proposers within one week of the decision. Grant proposals with funding at \$1 million and over will be sent to the full SWIC for funding consideration at their next scheduled meeting, along with a recommendation from the Grants Committee.
- Each award recipient shall submit, at a minimum, two reports: 1) a bi-annual report due on the tenth day of the sixth (6<sup>th</sup>) month after the grant award; and 2) a final report due on the same day as the grant close-out report. The grant closeout report is due 45 days after the grant end date. The reports will provide details of progress toward outcomes as defined in the grant narrative. Additional reports may be required based on the type of grant proposal approved for funding.
- Upon review of the bi-annual report or other required interim reports, the Grant Committee reserves the right to rescind a portion or all of the awarded funds based on progress towards outcomes as defined in the grant proposal and as reported in the bi-annual report or other interim reports.
- Proposers are encouraged to communicate with the Grants Committee through appropriate DWD channels. Contacting members of the Grant Committee outside of scheduled hearings regarding the status of funding requests is discouraged.

Guidelines for Completing the Funding Request Worksheet

A. Identifying Information – the following information will be provided:

- Date grant proposal submitted
- Project title
- Proposal grant period
- Organization's Name
- Point of Contact – name, email address, telephone numbers and street address, including city, state, and zip code
- Requested Grant Period

Amount Requested – The amounts requested for program and administration must equal the total amount requested. Administration cannot be more than 10 percent of the total amount requested.

B. Minimum Requirements

Information provided in the Funding Request, the Current Financial Information, the Justification for Funding, the Proposal Activities Chart, and the Budget Information for Requested Funds will be used by the Grants Committee when making award decisions. The most current data and information should be provided in the grant proposal.

The following explains the terms used and the data and information required for Current Financial Information:

Regional Operator Level (Program Funds)

- 1) Total Current Allocation includes the current program year allocation plus all funding carried into the current program year.
- 2) Total Obligation to Service Provider(s) includes the total amount of funding obligated for the service provider(s).
- 3) Total Holdback for Regional Operations is the total amount of funding reserved for operations at the Regional Operator-level, such as indirect costs, etc.
- 4) Total Available for Obligation reflects the balance when subtracting the amount of Total Obligations to Service Providers and Total Holdback for Regional Operations from the Total Current Allocation. This amount must be less than or equal to the Total Obligation to Service Provider(s) stated in 2.
- 5) Total Accrued Expense for Regional Operations is the sum of the Regional Operator's operations' expenses incurred to the current date of the grant request.
- 6) Total Accrued Expense – All Other is the sum of all other expenses incurred to the current date of the grant request.

Regional Operator (Administrative Funds)

- 1) Allocation (include carry-in) includes the current program year allocation plus all funding carried into the current program year.
- 2) Accrued Expenses is the sum of expenses incurred to the current date of the grant request.

- 3) Obligations for remainder of current Program Year is the amount of funding obligated for the remainder of the current Program Year.

Service Provider Level (Program Funds) (Cumulative for all Service Providers)

- 1) Total Allocation (include carry-in) includes the current program year allocation plus all funding carried into the current program year.
- 2) Total Obligation for Direct Client Services includes the total amount of funding obligated for direct client services.
- 3) Total Holdback for Operations is the total amount of funding reserved for operations at the service provider-level, such as indirect costs, etc.
- 4) Total Available for Obligation reflects the balance when subtracting the amount of Total Obligations for Direct Client Services and Total Holdback for Operations from the Total Allocation. This amount must be less than or equal to the Total Obligation for Direct Client Services stated in 2.
- 5) Total Accrued Expense for Operations is the sum of service providers' operational expenses incurred to the current date of the grant request.
- 6) Total Accrued Expense for Direct Client Services is the sum of service providers' direct client services incurred to the current date of the grant request.
- 7) Total Accrued Expense is the sum of all other expenses incurred to the current date of the grant request.

Service Provider – Administrative Funds (portion of allocation from Regional Operator reserved for Service Provider Administration)

- 1) Allocation (include carry-in) includes the current program year allocation plus all funding carried into the current program year.
- 2) Accrued Expense is the sum of expenses incurred to the current date of the grant request.
- 3) Obligations for remainder of current Program Year is the amount of funding obligated for the remainder of the current Program Year.

Justification for Funding

This is the narrative portion of the grant proposal. Additional pages may be attached as needed. The Narrative shall include but is not limited to:

- 1) The Statement of Need;
- 2) The entities involved in the planning for the proposal and their roles;
- 3) The current economy described (local, regional);
- 4) The impact to the community if the proposal is not funded which is described;
- 5) The population(s) to be served which is identified and their characteristics; and
- 6) The type and amount of other funding sources leveraged for the project.

Proposal Activities Chart – include the following:

- 1) Program Quarter – dates during quarter when activities will be conducted
- 2) Activity to be Conducted – listing of activities to occur
- 3) Measurable Outcomes – expected results. Must be quantifiable

The following explains the terms used and the data and information required for the Budget Information for Requested Funds:

Budget for Requested Program Funds – Regional Operator

- 1) Amount Requested is the amount of Governor's Discretionary or Rapid Response Funding requested.
- 2) Administration is up to ten (10) percent of the amount requested for administration.
- 3) Program Staff Salaries and Benefits is the amount of funding obligated for program staff salaries and benefits.
- 4) Other Operations Costs is the amount of funding obligated for all other operational expenses.
- 5) Allocation to Service Provider is the amount of funding to be allocated to the service provider for activities.
- 6) Other (please define)
- 7) Other (please define)

Budget for Requested Program Funds – Service Provider (cumulative for all Service Providers)

- 1) Amount Provided is the total amount allocated to all the service providers from the Regional Operator.
- 2) Administration is up to ten (10) percent of the total amount allocated to all the service providers for administration.
- 3) Program Staff Salaries and Benefits is the total amount obligated for service provider program staff salaries and benefits
- 4) Other Operations Costs is the total amount obligated for service provider operations costs.
- 5) Direct Client Services is the total amount obligated for service provider direct client services.
- 6) Other (please define)
- 7) Other (please define)

A copy of the Grant Funding Worksheet is again provided.

([http://www.in.gov/dwd/docs/Grant\\_Request\\_Template.xls](http://www.in.gov/dwd/docs/Grant_Request_Template.xls)) Note that the worksheet contains three sections: financial information, justification, and budget.

Appeals Process

In the event of denial of a grant request, the potential grantee has thirty (30) days from the date of denial to file a written appeal to the Chair of the State Workforce Innovation Council. The Chair will review the appeal and if warranted, schedule a conference with the Grants Committee and the potential grantee. A final decision on the awarding of funds will be communicated to the potential grantee within thirty (30) days of the conference.

**Review Date**

February 29, 2012

**Ownership**

Indiana Department of Workforce Development, Budget and Accounting.

**Effective Date**

Upon receipt

**Action**

The guidance contained in this policy should be distributed to all parties involved in preparing the request for WIA Governor's Discretionary or Rapid Response funding and American Recovery and Reinvestment Act (ARRA) of 2009 funding.

**Contact Person**

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