



# WHAT'S IN MY GRANT PACKAGE?

U.S. DEPARTMENT OF LABOR  
EMPLOYMENT AND TRAINING ADMINISTRATION

**ARRA GREEN JOB AND HEALTH  
CARE / EMERGING INDUSTRIES  
NEW GRANTEE POST AWARD  
FORUM**

JUNE 15-16, 2010 | SAN FRANCISCO, CA

**Christine Chudd**  
Chief, Division of Demonstration  
Grants



# Grant Agreement Face Sheet

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- Grant Agreement Face Sheet
  - General Provisions
  - Uniform Administrative Requirements
  - Cost Principles
  - Other Requirements





# Grant Agreement Face Sheet

## Other Requirements: Lobbying Certification

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### 29 CFR Part 93 *Lobbying Certification*

- Grant recipient/subrecipient requirements:
  - Disclosure of Lobbying Activities (SF-LLL-A)
  - Lobbying Certification and Disclosure of Lobbying Activities form



# Grant Agreement Face Sheet

## Other Requirements: Equal Opportunity

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### 29 CFR Part 37 *Non-Discrimination and Equal Opportunity Requirements*

- Discrimination is prohibited on the basis of:
  - race
  - color
  - religion
  - sex
  - national origin
  - age
  - disability
  - political affiliation, *and*
  - Citizenship / status as a lawfully admitted immigrant authorized to work in the United States.



# Grant Agreement Face Sheet

## Other Requirements: Equal Opportunity

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- EO Notice Communication:
  - ⦿ Communicated to applicants/applicants for employment/employees/members of the public
  - ⦿ Posted prominently
  - ⦿ Provided to each participant and made a part of each participant's file
    - ⦿ EO Notice content required wording:  
29 CFR Part 37.30
- Complaints may be filed directly with USDOL
- EEOC notice not specific to WIA funded programs



# Grant Agreement Face Sheet

## Other Requirements: Equal Opportunity

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- EO Communication Requirements
  - Publications/Broadcasts/Recruitment Brochures/Other Materials
  - Program or activity is an *“equal opportunity employer/program”* and *“auxiliary aids and services are available upon request to individuals with disabilities”*
    - Required wording: 29 CFR 37.34



# Grant Agreement Face Sheet

## Other Requirements: Equal Opportunity

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- EO Data Collection Requirements:
  - ⊙ Required data collection categories
  - ⊙ Information may not be furnished on behalf of the individual
  - ⊙ An individual has the right to refuse to provide any part or all of the data
  - ⊙ Applicant, participant, applicant for employment and employee



# Grant Award Document

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- I. STATEMENT OF WORK
- II. BUDGET INFORMATION
- III. ASSURANCES / CERTIFICATIONS
- IV. SPECIAL CLAUSES / CONDITIONS



# Part I: Statement of Work

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## Statement of Work (SOW)

- ⦿ Project Description
- ⦿ Timelines
- ⦿ Outcomes
- ⦿ Deliverables



# Part IV: Special Clauses and Conditions

## Special Clauses

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### 1. Budget Line Item Flexibility

- ⊙ Prior GO approval required for:
  - ⊙ **ANY** increase/decrease in **personnel, fringe benefits, and/or indirect costs** line items
  - ⊙ More than 20% change for any other line item
- ⊙ Prior FPO review required for:
  - ⊙ Change **within** personnel line item
  - ⊙ Change **within** fringe benefits
- ⊙ Prior FPO consultation suggested for
  - ⊙ **ANY** change to budget

Pre-Test 4



# Part IV: Special Clauses and Conditions

## Special Clauses

### 1. Budget Line Item Flexibility

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$ <b>Prior Approval needed</b>	\$ <b>needed</b>	\$	\$	\$ 0.00
b. Fringe Benefits	<b>Prior Approval needed</b>				0.00
c. Travel	<b>20% Flexibility</b>				0.00
d. Equipment	<b>20% Flexibility</b>				0.00
e. Supplies	<b>20% Flexibility</b>				0.00
f. Contractual	<b>20% Flexibility</b>				0.00
g. Construction					0.00
h. Other	<b>20% Flexibility</b>				0.00
i. Total Direct Charges (sum of 6a-6h)		0.00	0.00	0.00	0.00
j. Indirect Charges	<b>Prior Approval needed</b>				0.00
k. TOTALS (sum of 6i and 6j)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00



# Part IV: Special Clauses and Conditions

## Special Clauses

## 2. Indirect Cost Rate & Cost Allocation Plan

- A. Current ICR or CAP on file
- B. No ICR or CAP
  - ⊙ Temporary Billing Rate Approved
  - ⊙ Forward ICR proposal to cognizant Federal agency within 90 days

### PART IV - SPECIAL CLAUSES

#### Clause #1:- BUDGET LINE ITEM FLEXIBILITY

- < Flexibility is allowed within the grant budget (except wages, salaries and fringe benefits), provided no single line item is increased or decreased by more than 20%. Changes in excess of 20% and any changes in wages, salaries and fringe benefits, and indirect cost rates **MUST** receive prior written approval from the Grant Officer.
- < Any changes in mix or match within the wages and salaries line does not require a grant modification. However, these changes must be reviewed by your assigned DOL Federal Project Officer (FPO) prior to implementing these changes. Failure to obtain such prior written approval may result in cost disallowance.

#### Clause #2: - INDIRECT COST RATE AND COST ALLOCATION PLAN

This clause is applicable to all awardees receiving funds from multiple sources. Organizations receiving funds from only one source do not need an approved indirect cost rate (ICR) or cost allocation plan (CAP).

Mark the appropriate clause for your organization and fill in the blanks, as appropriate:

A. A current approved CAP or ICR agreement dated \_\_\_\_\_ has been provided and approved by \_\_\_\_\_ (Federal Cognizant agency - Copy Attached).

Regarding only the ICR agreement, please provide the following:

- a) Indirect Rate approved \_\_\_\_\_ %
- b) Type of Indirect Cost Rate (Provisional/Fixed) \_\_\_\_\_
- c) Allocation Base \_\_\_\_\_
- d) Current period applicable to rate \_\_\_\_\_

B. No CAP or ICR agreement has been approved by a Federal Agency.

#### Note:

Regarding "B", a Temporary Billing Rate of \_\_\_\_\_ % or amount of \$ 88,306 has been approved for the first 90 days of the grant period. This rate is based on the fact that your organization has not established an ICR agreement or approved CAP.

Within this 90-day period, you **must** submit an acceptable indirect cost proposal or CAP to your Federal cognizant agency<sup>1</sup> to obtain a provisional indirect rate or a CAP approval. **Failure on your part to submit an indirect cost proposal within this 90 day period means that you shall not receive further reimbursement for your billing rate.**

If DOL is your Federal cognizant agency, proposals shall be sent to the appropriate office in the DOL's Division of Cost Determination (see detailed list attached).



# Part IV: Special Clauses and Conditions

## Special Conditions

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### Equipment

- ⦿ Per unit acquisition cost of \$5,000+ and
- ⦿ Useful life of more than 1 year
- ⦿ A “unit” consists of all necessary component parts
- ⦿ Prior approval from Grant Officer required
- ⦿ Grantee maintains title after end of grant



# Part IV: Special Clauses and Conditions

## Special Conditions

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### Pre-Award Costs

- ⦿ Costs incurred prior to start date
- ⦿ Unallowable by Grant Officer
- ⦿ Example: grant planning activities



# Part IV: Special Clauses and Conditions

## Special Conditions: Reports

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### Additional Information: Subrecipient Reporting

- Subrecipient Reporting

- ⊙ Required

- ⊙ Accrual reporting method

- ⊙ Suggested

- ⊙ Monthly reports

- More data

- More accurate financial data

- ⊙ Reports submitted within 15 days of quarter end

- ⊙ Written estimate of accrued costs



# Part IV: Special Clauses and Conditions

## Special Conditions: Reports

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### Monitoring of Subrecipients

- Program design and outcomes
- Financial and administrative management
- Includes
  - ⊙ Monitoring tool
  - ⊙ Schedule
  - ⊙ Corrective action to address findings



## Part IV: Special Clauses and Conditions

### Special Conditions: Veterans' Priority

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#### Jobs for Veterans Act, PL 107-288

- ⦿ Grantees are responsible for
  - ⦿ Giving priority of services to veterans and certain spouses when providing services to eligible participants (covered persons)
  - ⦿ Developing procedures to provide priority of service.
  - ⦿ Gathering data on the number served and outcomes



## Part IV: Special Clauses and Conditions

### Special Conditions

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### Jobs for Veterans Act, PL 107-288

- ⦿ Priority of Service means:
  - ⦿ The covered person receives access to the service or resource earlier in time than the non-covered person; or
  - ⦿ If the service or resource is limited, the covered person receives access to the service or resource instead of or before the non-covered person



# Additional Provisions

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## Sample Acknowledgement of Funding Source

This project received \$100,000 (75% of its total cost) from a grant awarded under the Recovery Act—Green Capacity Building Grant as implemented by the U.S. Department of Labor’s Employment and Training Administration



# Additional Provisions

## Rights to Products and Materials

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### GRANTEE

Agrees to give US DOL ETA all

- ⦿ Training Modules
- ⦿ Curricula
- ⦿ Technical Assistance Products
- ⦿ Competency Models
- ⦿ Other capacity building products



# Additional Provisions

## Rights to Products and Materials

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### USDOL-ETA

- ⦿ Retains license to
  - ⦿ Reproduce
  - ⦿ Publish
  - ⦿ Use
  - ⦿ Authorize others to use



# ARRA Additional Provisions

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## Select Provisions of ARRA-Funded Programs

- ⦿ ARRA funds may not be used for work on casinos or other gambling establishments, aquariums, zoos, golf courses or swimming pools
- ⦿ Whistleblower Protection
- ⦿ Buy American Requirements