

Accountability and Grants Management: Connecting the Dots



Aspects of Program Management



U.S. Department of Labor
Employment and Training
Administration

***U.S. Department of Labor, ETA, Region
4 Discretionary Grantee Training
Conference
March 1-2, 2011***

Presentation Overview



- FPOs Roles and Responsibilities
- Grant Award Documents (SGA, Agreement, Regs, & OMB Circulars)
- Developing Program Policies and Procedures
- Memorandum of Understandings (MOUs)
- Determining Participant Eligibility
- Participant Files
- On-Site Monitoring Visits – What to Expect
- Q & As

Role of the Federal Project Officer (FPO)



Federal Project Officer (FPO)

- Primary DOL contact
- Provides guidance, oversight, monitoring, and technical assistance
- Not authorized to make any changes to terms of grant agreement
- Responsible for reports approval

Other Grant Contacts



- COTR/GOTR
- T/A Coaches
- Grant Officers

Other Grant Contacts Cont.



- National vs. Regional Grant Officers
- National Program (Team) Leads
- Regional Program Leads

Grant Award – Announcing the Grant



Issuing an SGA

- Solicitation for Grant Application (SGA) via News Release
or
- Training and Employment Guidance Letter (TEGL)

Solicitation for Grant Application



News Release, Employment & Training Administration (ETA) - U.S. Department of La...

http://www.doleta.gov/ETA_News_Releases/20100883.cfm

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About ETA

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- Research
- ETA Programs
- Laws and Regulations

Performance & Results

- Guidance For Planning Performance
- Performance Goals
- Guidance & Data Evaluation

News Release

ETA News Release: [06/29/2010]
Contact Name: Lina Garcia
Phone Number: (202) 693-4661
Release Number: 10-0883-NAT

US Department of Labor awards \$125 million in final round of Community-Based

WASHINGTON - The U.S. Department of Labor today awarded \$125 million in grants to 41 communi round is the fifth and final of Community-Based Job Training Grant awards. Awardees were chosen f in response to a competition first announced on March 15. Of the full amount, nearly \$74 million is d never received a Community-Based Job Training Grant.

"The \$125 million awarded today will create opportunities for working Americans to train for high-de our nationwide community college system," said U.S. Secretary of Labor Hilda L. Solis. "Our goal is t prepare for and secure good jobs, and with support from these colleges and other critical stakeholde base of individuals in need."

http://www.doleta.gov/usworkforce/ Local intranet 100%

SGA Format



The screenshot shows a desktop environment with two windows open. The window on the left is Microsoft Word, titled 'Document1 - Microsoft Word', with a menu bar (File, Edit, View, Insert, Format, Tools) and a toolbar. The window on the right is Adobe Reader, titled 'Untitled.pdf - Adobe Reader', displaying a PDF document. The document is the cover of the Federal Register, dated Monday, June 23, 2003. It features the seal of the Department of the Treasury and the text 'Federal Register' in a large, stylized font. Below the date, it reads 'Part VI Office of Management and Budget' and 'Office of Federal Financial Management; Policy Directive on Financial Assistance Program Announcements; Standard Data Elements and Government-Wide Guidance for Electronically Posting Synopses at Grants.gov FIND; Notices'. The Adobe Reader window also shows a search bar and a status bar at the bottom.

TEGL for Additional Grant Funds



http://www.doleta.gov/Seniors/pdf/TEGL24-09FY10AdditionalFundingPlanning.pdf - Windows Internet Explorer

http://www.doleta.gov/Seniors/pdf/TEGL24-09FY10AdditionalFundingPlanning.pdf

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EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210	CLASSIFICATION SCSEP
	CORRESPONDENCE SYMBOL OWI-DAS
	DATE April 28, 2010

ADVISORY: TRAINING AND EMPLOYMENT GUIDANCE LETTER NO. 24-09

TO: SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM (SCSEP)
GRANTEES THAT WERE AWARDED FISCAL YEAR 2010
ADDITIONAL FUNDING

FROM: JANE OATES *Jane Oates*
Assistant Secretary

SUBJECT: Fiscal Year 2010 Additional Funding Planning Instructions

- 1. Purpose.** The purpose of this guidance is to provide those SCSEP grantees that were awarded FY 2010 Additional Funds with further instructions and procedures for the funds that became available on January 29, 2010. The period of performance is from January 29, 2010 through June 30, 2011, even though the statute makes funding available through December 31, 2011.

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SGA Required Sections



The standard format for Federal Funding Opportunities can have up to 8 required sections

- Statement of Need
- Program Management
- Project Design
- Statement of Work
- Linkages to Partnerships
- Outcomes
- Integration

60352 Federal Register / Vol. 73, No. 198 / Friday, October 10, 2008 / Notices

Criterion	Points
1. Statement of Need	10
2. Linkages to Key Partners	20
3. Training and Capacity Building Plan	25
4. Outcomes, Benefits, and Impact	30
5. Program Management and Organization Capacity	10
6. Integration with Regional Economic and Talent Development Strategies	5
7. Bonus: Partnership with Faith-Based and Community Organizations	5
Total Possible Points	105

1. Statement of Need (10 Points)
Applicants must demonstrate a clear and specific need for the Federal investment in the proposed activities...

2. Linkages to Key Partners (20 Points)
The applicant must demonstrate that the proposed project will be implemented by a strategic partnership that includes at least one entity from each of four categories: (1) The workforce investment system, which may include State and Local Workforce Investment Boards, State Workforce Agencies, and One-Stop Career Centers and their partners, as such terms are defined under WIA; (2) community and technical colleges; (3) employers and industry-related organizations such as associations and unions; and (4) the continuum of education, including the K-12 public education system. Please note, some applications submitted under the exception outlined in Section III.C.5 may have a substitution for the community college partner. Please see Section III.C.5 for more details. In college training not being reasonably available in their community.

committed role, either financial or non-financial, in the proposed project; (2) the breadth and depth of each partners contribution, their knowledge and experience concerning grant activities, their ability to impact the success of the project, and any specific outcomes that will result from any leveraged resources they contribute to the project; and (3) evidence, including letters of commitment from required partners, that key partners have expressed a clear dedication to the project and understand their area of responsibility. Applications that do not have each of the four required entities represented in the partnership cannot receive full points for this factor.

As part of this description, applicants must provide evidence of the integration of WIA training resources into grant activities. Examples of WIA training resources include, but are not limited to, ITAs, customized training, and CAAs, as

Grant Agreement Face Sheet



GENERAL PROVISIONS

- Period of Performance
- Total Government Financial Obligation
- Draw down payments

U.S. DEPARTMENT OF LABOR EMPLOYMENT & TRAINING ADMINISTRATION	GRANT / AGREEMENT NOTIFICATION OF AWARD/OBLIGATION
Under the authority of the <i>Workforce Investment Act</i> , this grant or agreement is entered into between the above-named <i>Grantor Agency</i> and the following named <i>Awardee</i> , for a project entitled – <i>The Learning Communities for Nursing and Health Care</i>	
Name and Address of Awardee: DOL Grantee Name 1234 First Street Any Town, USA 12345	Agreement #: AB-12345-67-89 CFDA #: 12.345 Accounting Code: 12-A345-BCDE-678-9CB00-000 EIN: 12-3456789 DUNS #: 12-345-6789
<p>< The Period of Performance shall be from November 1, 2005 through October 31, 2007.</p> <p>< Total Government's Financial Obligation is \$500,000 (unless other wise amended).</p> <p>< Payments will be made under the <i>Payments Management System</i>, and can be automatically drawn down by the awardee on an as needed basis covering a <i>forty-eight (48)</i> hour period.</p>	
In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with the following regulations and cost principles, including any subsequent amendments:	
<p><u>Uniform Administrative Requirements</u></p> <p>< 29 CFR Part 97, for State/Local Governments and Indian Tribes; <u>OR</u></p> <p>< 29 CFR Part 95, for Institutions of Higher Education, Hospitals and other Non-Profit Organizations and Commercial Organizations</p>	
<p><u>Cost Principles</u></p> <p>< OMB Circular A-87, for State/Local Governments and Indian Tribes</p> <p>< OMB Circular A-21, for Institutions of Higher Education; <u>OR</u></p> <p>< OMB Circular A-122, for Non-Profit Organizations</p> <p>< 48 CFR Part 31.</p>	
<p><u>Other Requirements</u></p> <p>< 29 CFR Part 98 and 99, Single Audit Act</p> <p>< 29 CFR Part 93, Lobbying Certification</p> <p>< 29 CFR Part 37, Non-Discrimination and Equal Opportunity Requirements</p> <p>< 29 CFR Part 98, Debarment and Suspension; Drug-Free Workplace</p> <p>< 20 CFR Part 652 et al., Workforce Investment Act</p> <p>< Wagner-Peyser Act</p> <p>< Grant Award Document, Parts I through IV, and attachments</p>	
The awardee's signature below certifies full compliance with all terms and conditions as well as the above stated grant regulations and certifications, and that this document has not been altered	
Signature of Approving Official – <i>AWARDEE</i> _____ (See Page 2 SF424 for Signature) (Signature/Date) NO SIGNATURE REQUIRED (Type Name and Title)	Signature of Approving Official – <i>DOL/ETA</i> _____ G.O. Signature Nov 30 2005 (Signature/Date) John Smith, Grant/Contracting Officer (Type Name and Title)

Federal Regulations & OMB Circulars



Uniform Administrative Requirements:

- 29 CFP Part 97 – State/Local Governments
- 29 CFR Part 95 – Institutions of Higher Education & other Non-Profit Organizations and Commercial Orgs

Cost Principles

- OMB Circular – A-87 State/Local Government
- OMB Circular – A-21 Institutions of Higher Education
- OMB Circular – A-122 Non-Profit Organizations

Federal Regulations & OMB Circulars Cont.



Other Requirements (As Applicable)

- 29 CFR Part 96 & 99 – Single Act
- 29 CFR Part 93 – Lobbying Certs
- 29 CFR Part 37 Nondiscrimination, EEO
- 29 CFR Part 98 Debarment, Drug Free
- 20 CFP Part 652 et al. Workforce Investment Act – Wagner-Peyser Act
- Grant Award Document Part I -IV

Federal Regulations & OMB Circulars Cont.



- Code of Federal Regulations
 - www.gpoaccess.gov/cfr/
- OMB Circulars
 - www.whitehouse.gov/omb/circulars/
- DOL Regulations
 - www.gpoaccess.gov/cfr/index.html

Developing Program Policies and Procedures



What type of Program Policies are Needed

- Design and Governance
 - Strategic Planning
 - Service Design
 - Program Integration

Developing Program Policies and Procedures Cont.



- **Service/Product Delivery**
 - Operating Systems
 - Participant Files
 - High Growth Jobs/CBJT/YouthBuild

Developing Program Policies and Procedures Cont.



- Performance Accountability
 - Service Goals
 - Performance Outcomes
 - Subrecipient Performance
 - Performance Data

Memorandum of Understandings (MOUs)



- Memorandum of Understanding
 - 20 CFR 662
 - Definition
 - Purpose/Requirements
 - Content

Memorandum of Understandings Guidelines & Purpose



- 20 CFR 662
 - One Stop Delivery Systems
- Definition
 - What is a Memorandum of Understanding

Memorandum of Understandings – Requirements and Contents



- **Purpose/Requirements**
 - Who, When & Why

- **Content**
 - Funding
 - Descriptions
 - Specifications
 - Duration
 - Services to be Provided

Participant Eligibility



- Develop Eligibility Policies and Procedures
 - Per SGA
 - Per WIA
 - Program Specific
 - Grant Agreement (SOW)
 - Sample Eligibility Form

Participant Eligibility



- Guidelines for determining Eligibility as Outline in the Solicitation for Grant Application
- Guidelines for Determining Eligibility defined under the Workforce Investment Act.

Participant Eligibility Cont.



- Program Specific Participant Eligibility
- Grant Agreement (SOW) Participant Eligibility
- Sample Participant Eligibility Form

Participant Eligibility Form



Document2 - Microsoft Word

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Type a question for help

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Table 1: Samples of Acceptable Source Documentation

Examples of Common Data Elements or Eligibility Criteria	Examples of Acceptable Documentation
Birth Date / Age	<input type="checkbox"/> Birth certificate <input type="checkbox"/> Baptismal or church record <input type="checkbox"/> Driver's license <input type="checkbox"/> Federal, State, or local government-issued identification card
Race (EEO)	<input type="checkbox"/> Self-Attestation
Ethnicity (EEO)	<input type="checkbox"/> Self-Attestation
U.S. Work Authorization: Grantees may require that participants have a legal right to work in the U.S. For up-to-date information on the INS Form I-9 go to www.uscis.gov/graphics/formsfee/forms/I-9.htm	<input type="checkbox"/> Verification of document(s) that satisfy List A of the I-9 <input type="checkbox"/> Verification of document(s) that satisfy List B and C of I-9
Selective Service Registration: Each male registrant 18 years of age or older born on or after January 1, 1960 must present evidence that he has complied with Section 3 of the Military Selective Service Act.	<input type="checkbox"/> Acknowledgement letter <input type="checkbox"/> Form DD-214 <input type="checkbox"/> Screen printout of the Selective Service Verification Internet site: www.sss.gov/regver/verification1.asp <input type="checkbox"/> Selective Service Registration Card <input type="checkbox"/> Selective Service Verification Form (Form 3A) <input type="checkbox"/> Stamped Post Office Receipt of Registration
Reside in Geographic Area: Grantees may choose to limit services to individuals living in a specific geographic area.	<input type="checkbox"/> Driver's license <input type="checkbox"/> Utility bill or credit card statement showing current known address <input type="checkbox"/> Self-Attestation

Page 1 Sec 1 1/2 At 1.6" Ln 2 Col 1 REC TRK EXT OVR

Participant Files



- Establishing a Participant File Criteria
 - Intake Forms
 - Eligibility Determination
 - Individual Service Strategy/IDP
 - Supportive Services Provided
 - Training Received
 - Policy Related Forms
 - Performance Outcome Documents
 - Costs Associated with Training

Participant File Content



- Intake Forms
- Eligibility Determination
- Individual Service Strategy/IDP
- Supportive Services Provided

Participant File Cont.



- Training Received
- Policy Related Forms
- Performance Outcome Documents
- Cost Associated with Training

On- Site Monitoring Visits What to Expect



Purpose of On-Site Monitoring

- Three main principles
 - Focus on results
 - Protect taxpayer investment
 - Provide compliance assistance

Core Monitoring Guide



● Tools and Guides

The screenshot shows a Windows Internet Explorer browser window. The address bar contains the URL: <http://www.internal.doleta.gov/regions/ofo/InternalDocs/GrantsManagement/CoreGuide/Core%20Monitoring%20Guide-Final-April%202005.doc>. The browser's menu bar includes File, Edit, View, Insert, Format, Tools, Table, Go To, Favorites, and Help. The toolbar shows various icons for navigation and editing. The document content is displayed in two columns. The left column has a dark red background and contains the text "Core Monitoring Guide" in white, "April 2005" in a small box, and the "eta" logo with "UNITED STATES DEPARTMENT OF LABOR EMPLOYMENT AND TRAINING ADMINISTRATION" below it. The right column has a white background and contains the text "Core Monitoring Guide", "April 2005", and "United States Department of Labor Employment and Training Administration". The browser's status bar at the bottom shows "Unknown Zone".

Core Monitoring Guide Content



● Core Activities

- Design and Governance
- Program and Grant Management Systems
- Financial Management Systems
- Service Delivery
- Performance Accountability

Core Guide Activities



- Design and Governance
- Program and Grant Management Systems
- Financial Management Systems

Core Guide Activities Cont.



- Service/Product Delivery
- Performance Accountability
- Appendices
 - A. Cross Reference of Administrative Requirements
 - B. Selected Definitions and Acronyms
 - C. Summary of Cost Items.

Q & As



Questions, Comments & Answers

Presenters



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U. S. Department of Labor - ETA

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Dallas Regional Office

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Aspects of Program Management



THANKS!

***U.S. Department of Labor, ETA, Region 4
Discretionary Grantee Training Conference
March 1-2, 2011***