



PY 2008 Earmarks

The Grant Officer's Overview

**U.S. Department of Labor
Employment & Training Administration**



Grant Officer Role

- Works in tandem with FPO & Program Office Staff
- Reviews & executes grants & modifications
- Makes initial & final determinations





Grant Officer Role

There are three versions of a Grant Officer:

- **Grant Officer**
 - Regional Grant Officer
- **Grant Officer for Audit**
- **Grant Officer for Closeout**





The Earmark Training Conference – Earmark Grants: The Grant Officer's Overview



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Limitations, Prohibitions, & Unallowable Activities!!!





Cost Limitations

- **-0-% Limitations**
 - Pre-award costs
 - Legal expenses
 - Real property
- **10% Limitations**
 - Administrative Costs





Cost Limitations

- **20% Limitations**
 - Budget Realignment
- **100% Limitations**
 - Expend all your Grant Funds!





Statutory Prohibitions

In WIA Section 181

- Business relocation
- Customized training which facilitates relocation





Statutory Prohibitions

- **Employment generating activities**
- **Economic development activities**





Statutory Prohibitions

- **Revolving loan funds**
- **Capitalization of businesses**
- **Contract bidding resource centers**





Statutory Prohibitions

- **Activities not directly related to training individuals (eligible under Title I of WIA)**
- **Foreign travel**





Statutory Prohibitions

- **Pub.L. 109-234 (Salary Cap)**
 - Limits use of ETA funds in salary & bonus payments
 - Guidance in [TEGL 5-06](#)
 - Includes sub-recipients





Unallowable Activities

In 20 CFR 667.260-270:

- Public service employment
- Sectarian activities
- Business relocation





Unallowable Activities

- **Paying or charging fees for placement or referral to a workforce investment activity**
- **Construction or purchase of buildings**
 - except for ADA compliance
 - except for disaster relief employment





SF 424 Application for Federal Assistance



OMB Number: 4040-004
Expiration Date: 01/31/2009

Version 02

Application for Federal Assistance SF-424

* 1. Type of Submission:		* 2. Type of Application:		* If Revision, select appropriate letter(s):	
<input type="checkbox"/> Preapplication		<input type="checkbox"/> New		<input type="text"/>	
<input type="checkbox"/> Application		<input type="checkbox"/> Continuation		* Other (Specify)	
<input type="checkbox"/> Changed/Corrected Application		<input type="checkbox"/> Revision		<input type="text"/>	

*** 3. Date Received:** **4. Applicant Identifier:**

5a. Federal Entity Identifier: *** 5b. Federal Award Identifier:**

State Use Only:

6. Date Received by State: **7. State Application Identifier:**

8. APPLICANT INFORMATION:

*** a. Legal Name:**

*** b. Employer/Taxpayer Identification Number (EIN/TIN):** *** c. Organizational OUNS:**

d. Address:

*** Street1:**

Street2:

*** City:**

County:

*** State:**

Province:

*** Country:** USA; UNITED STATES

*** Zip / Postal Code:**

e. Organizational Unit:

Department Name: **Division Name:**

f. Name and contact information of person to be contacted on matters involving this application:

Prefix: *** First Name:**

Middle Name:

*** Last Name:**

Suffix:

Title:

Organizational Affiliation:

*** Telephone Number:** **Fax Number:**

*** Email:**



Agreement Overview

- **Grant Agreement certifies & assures that YOU will fully comply with *Everything-in-the-Agreement***
- **Any sub-award relationships are governed by OMB Circulars. The prime grantee is responsible for all sub-award relationships.**





Agreement Overview

- Grant Agreement items incorporated by reference are **ON-LINE:**
 - [WIA](#)
 - [20 CFR](#)
 - [29 CFR](#)
 - [OMB Circulars](#)





Four Parts of the Earmark Grant Agreement

- **Part I – Statement of Work (SOW)**
- **Part II – Budget Information**
- **Part III – Assurances & Certifications**
- **Part IV – Special Clauses & Conditions**





SF 424A Budget Information

OMB Approval No. 4040-0066
Expiration Date 04/01/2008

BUDGET INFORMATION - Non-Construction Programs

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	\$
2.		\$	\$	\$	\$	\$
3.		\$	\$	\$	\$	\$
4.		\$	\$	\$	\$	\$
5. Totals		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES

4. Object Class Categories	DEPARTMENT FUNCTION OR ACTIVITY				Total (h)
	(i)	(j)	(k)	(l)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits	\$	\$	\$	\$	\$
c. Travel	\$	\$	\$	\$	\$
d. Equipment	\$	\$	\$	\$	\$
e. Supplies	\$	\$	\$	\$	\$
f. Contractual	\$	\$	\$	\$	\$
g. Construction	\$	\$	\$	\$	\$
h. Other	\$	\$	\$	\$	\$
i. Total Direct Charges (sum of 6a-6h)	\$	\$	\$	\$	\$
j. Indirect Charges	\$	\$	\$	\$	\$
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

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SF 424A Budget Information

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	\$	
9.					
10.					
11.					
12. TOTAL (sum of lines 8-11)	\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$	\$	\$	\$	\$
14. Non-Federal	\$				
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16 - 19)	\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

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Part IV – Special Clauses and Conditions

- **Budget Line Item Flexibility**
 - 20% is general rule
 - Exception: Personnel and Fringe – any change must be approved





Part IV – Special Clauses and Conditions

- **Indirect Cost Rate**
 - Need to get a Federally-approved rate if...
 - 90-day timeframe
 - It's not the same as Admin!





Part IV – Special Clauses and Conditions

- **Identifies Federal Project Officer**
- **Equipment**
- **Program Income**
- **Pre-Award Costs**





Part IV – Special Clauses and Conditions

- **Reporting requirements**
- **Consultant rates**
- **Rebates**
- **Publicity**





Part IV – Special Clauses and Conditions

- **Public Announcements**
- **Executive Order 12928**
- **Procurement waivers (not!)**
- **Veterans' Priority Provisions**





Grant Award

Award notification

- Award Execution Letter
- Grant Agreement (Notice of Obligation)





Award Execution Letter

- Establish a Direct Deposit Account
- How to access funds
- How to access on-line electronic reporting
- Important ETA Contacts





Grant Award Notice of Obligation (NOO)



Grant Modification / Notice of Obligation

U.S. DEPARTMENT OF LABOR / EMPLOYMENT AND TRAINING ADMINISTRATION

GRANT MODIFICATION No. 2		PROJECT: Earmark	
GRANT NUMBER: EA155810680	EIN: 368153030	EFFECTIVE DATE: 03/13/2007	PAGE 1
GRANTEE: WAUBONSEE COMMUNITY COLLEGE Route 47 at Waubensee Drive Sugar Grove, ILLINOIS 60554		ISSUED BY: U.S. DEPARTMENT OF LABOR / ETA DIVISION OF FEDERAL ASSISTANCE 200 CONSTITUTION AVENUE NW - ROOM N-4716 WASHINGTON, DC 20210	

Action:

To de-obligate the PY 2005 funds. Grantee requested termination of this grant.

PROGRAM	YEAR / CFDA	Mod 0-1 CURRENT LEVEL	Mod 2 MODIFICATION	NEW LEVEL	PMS DOC #
WIA PILOTS/DEMOS/RESEARCH- CONG EARMARKS 05-A000-LDB9-4123-5PR01-000	PY 05 17.261	\$297,600.00	\$0.00	\$297,600.00	EA15581RY0
.....		\$0.00	(\$297,600.00)	(\$297,600.00)	
TOTAL FUND AVAILABILITY		\$297,600.00	(\$297,600.00)	\$0.00	

Except as modified, all terms and conditions of said grant/agreement remain unchanged and in full effect.

Approved by

Date Signed

06/29/2007

JAMES STOCKTON

Grant Officer

Close

Print



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FPO Role

- **Main point of contact (formal & informal)**
- **Conduit for all formal Grantee-ETA communications**
- **Advises & assists on paperwork sufficiency**





FPO Role

- **Oversight – monitors your grant(s) & prepares reports**
- **Technical Assistance – arranges training & advises grantee on making improvements**





Grant Modifications

Required for any change to the SEVEN P's:

- Partner
- Personnel
- Place
- Performance
- Period
- Parts
- Price





Make-a-Mod (Grantee)

- **Request a modification through your FPO**
- **Make it complete & correct**
- **Put it in writing & be persuasive!**





Make-a-Mod (FPO)

- **Insures documentation is complete**
- **Makes recommendations to Grant Officer**





Make-a-Mod (Grant Officer)

- **Insures documentation is complete**
- **Executes the modification**
- **Transmits notice to the grantee**





Audits

- **Big Money gets audited - All money must be auditable**
- **Single Audit Act, OMB Circular A-133, 29 CFR 99**
- **Findings, Questioned Costs, Disallowed Costs**
- **Phased process with many opportunities to resolve issues**
- **Variety of corrective actions**





Grant Closeout

- **ETA's Closeout Unit:**
 - Sends Close Out packages grantee after expiration of the grant
 - Obtains & reconciles all information necessary for closeout





Grant Closeout

- Obtains FPO Final Certification of Performance
- Resolves all audit findings
- Arranges for **... Debt Collection!**
- Adjusts award





Questions? ... and Answers

