

**DEPARTMENT OF LABOR**

**Occupational Safety and Health Administration**

**Susan Harwood Training Grant Program, FY 2016**

**AGENCY:** Occupational Safety and Health Administration, Labor

**ACTION:** Notice of availability of funds and funding opportunity announcement (FOA) for Capacity Building Developmental Follow-on grants

**FUNDING OPPORTUNITY NUMBER:** SHTG-FY-16-03

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:** 17.502

**Table of Contents - Susan Harwood Training Grant Program, FY 2016**

- I. Executive Summary* ..... 4**
- II. Funding Opportunity Description* ..... 5**
  - A. Overview of the Susan Harwood Training Grant Program ..... 5**
  - B. Grants Being Announced Under this Funding Opportunity Announcement ..... 5**
  - C. Target Audience and Language..... 6**
- III. Project Period and Maximum Funding Levels*..... 7**
- IV. Eligibility Information* ..... 7**
  - A. Eligible Applicants ..... 7**
  - B. Cost Sharing or Matching ..... 7**
  - C. Transparency ..... 7**
  - D. Freedom of Information Act Request (FOIA)..... 9**
  - E. Non-Viable Applications ..... 9**
  - F. Other Eligibility Requirements ..... 10**
  - G. Special Program Requirements ..... 10**
- V. Application and Submission Information*..... 10**
  - A. Required Content and Submission Format ..... 11**
  - B. Formatting Requirements ..... 11**
  - C. Application Checklist..... 12**
  - D. Forms, Assurances, and Certifications ..... 14**
  - E. Application Summary..... 15**
  - F. Program Abstract ..... 16**
  - G. Technical Proposal..... 17**
    - 1. Problem Statement/Need for Funds ..... 17
      - a) Grant Category ..... 17
      - b) Target Population ..... 17
      - c) Topic ..... 17
      - d) Training and Educational Materials ..... 18
      - e) Organizational Capability Developed ..... 18
      - f) Additional Capacity Needs ..... 18
      - g) Organizational Chart ..... 18
    - 2. Work Plan ..... 18
      - a) Work Plan Overview ..... 19
      - b) Work Plan Activities ..... 19
  - H. Attachments..... 30**
  - I. Budget Information ..... 30**
    - 1. Budget Information form (SF-424A)..... 30
    - 2. Detailed Project Budget..... 30
    - 3. Indirect Cost Allocation Agreement ..... 31
    - 4. Non-federal Resource Contribution ..... 31

5. Evidence of Non-Profit Status .....	32
6. Funding Allocations, Restrictions, and Guidelines.....	32
a) Allowable Costs.....	32
b) Funding Restrictions.....	32
c) Funding Guidelines.....	34
d) Subcontracting Opportunities .....	34
<b>J. Submission Date and Time.....</b>	<b>34</b>
<b>K. Intergovernmental Review.....</b>	<b>37</b>
<b>VI. Application Review Information .....</b>	<b>37</b>
<b>VII. Award Notification Information.....</b>	<b>38</b>
<b>VIII. Post Award Administrative National Policy Requirements.....</b>	<b>38</b>
<b>A. Applicable Federal Laws.....</b>	<b>38</b>
<b>B. Reporting .....</b>	<b>39</b>
<b>C. Grant Produced Training Materials .....</b>	<b>39</b>
<b>D. Public Reference to Grant.....</b>	<b>39</b>

**Tables**

Table 1. Federal Quarters.....	19
Table 2. Example of Total Number Trained and Contact Hour Projections .....	26

**Appendices**

- Appendix A – Administrative and Program Cost Information
- Appendix B – Procedures for Submitting Electronic Copies of Grant-Funded Materials

## I. EXECUTIVE SUMMARY

The U.S. Department of Labor (DOL) Occupational Safety and Health Administration (OSHA) is soliciting applications from nonprofit organizations for grants to provide training and educational programs for workers and/or employers. Nonprofit organizations, including qualifying labor unions, community-based and faith-based organizations and employer associations, that are not an agency of a state or local government, are eligible to apply. Indian tribes, tribal organizations, Alaska Native entities, Indian-controlled organizations serving Indians, and Native Hawaiian organizations are eligible to apply in accordance with Executive Order 13175. Additionally, state or local government-supported institutions of higher education are eligible to apply in accordance with OMB 2 CFR 200 and DOL exceptions in 2 CFR 2900. Grants are awarded under Section 21 of the Occupational Safety and Health Act (OSH Act) to provide training and education programs for workers and employers on the recognition, abatement, and prevention of safety and health hazards in the workplace, and to inform workers of their rights and employers of their responsibilities under the OSH Act.

This Funding Opportunity Announcement (FOA) announces the availability of approximately \$4.1 million for Susan Harwood Training Grant Program follow-on grants for FY 2015 Capacity Building Developmental grantees only. DOL expects to award multiple grants. Only FY 2015 Susan Harwood Capacity Building Developmental or Capacity Building Developmental Follow-on grantees that have performed satisfactorily are eligible to apply under this funding opportunity announcement.

All information and forms needed to apply for this funding opportunity announcement are published on the <http://www.grants.gov> Web site (hereinafter “Grants.gov”).

**Grants.gov registration must be accurate and up-to-date in Grants.gov and with the System for Award Management (SAM) prior to submitting an application. To remain registered in the SAM database, an applicant is required to review and update registration information at least every 12 months from the date of initial registration. Inaccurate or expired information could result in delays or rejection of the grant application.**

**DATES:** Grant applications must be received electronically by the Grants.gov Web site no later than 11:59 p.m., ET, on Tuesday, June 28, 2016, the application deadline date.

OSHA strongly encourages organizations to submit the grant application in sufficient time to ensure that the application has been received and successfully validated by Grants.gov by the application deadline.

**SUBMITTAL INFORMATION:** Applications for grants submitted under this competition must be submitted electronically using the government-wide Grants.gov Web site at: <http://www.grants.gov>. If applying online poses a hardship, applicants must contact the OSHA Directorate of Training and Education office listed in this announcement at least four weeks prior to the application deadline date, 11:59 p.m., E.T., on Tuesday, June 28, 2016, to speak to a representative who can provide assistance to ensure that applications are submitted online by the closing date. Requests for extensions to this deadline will not be granted. Further

information regarding submitting a grant application electronically can be found in Section V.J.2.

**FOR FURTHER INFORMATION CONTACT:** Questions regarding this funding opportunity announcement should be emailed to [HarwoodGrants@dol.gov](mailto:HarwoodGrants@dol.gov) or directed to Donna Robertson, Program Analyst, or Bob Murphy, Director, Office of Training Programs and Administration, at 847-759-7700 (note this is not a toll-free number). Personnel will not be available after 5:00 p.m., ET, on the application deadline date, to answer questions. To obtain further information on the Susan Harwood Training Grant Program, visit the OSHA Web site at <http://www.osha.gov/dte/sharwood/index.html>.

Questions regarding Grants.gov should be emailed to [Support@grants.gov](mailto:Support@grants.gov) or directed to the Grants.gov Contact Center, at 1-800-518-4726 (toll free number). The Contact Center is available 24 hours a day, 7 days a week. The Contact Center is closed on federal holidays.

## **II. FUNDING OPPORTUNITY DESCRIPTION**

### **A. Overview of the Susan Harwood Training Grant Program**

The Susan Harwood Training Grant Program provides funds for non-profit organizations to develop training materials and train workers and/or employers to recognize, abate, and prevent safety and health hazards in their workplaces and provide related assistance. The program emphasizes seven areas:

1. Training workers and/or employers on identifying and means of preventing serious safety and health hazards identified by OSHA through the DOL's Strategic Plan, as part of an OSHA special emphasis program, or other OSHA priorities (see [www.osha.gov](http://www.osha.gov))
2. Educating workers on their rights and educating employers on their responsibilities under the OSH Act
3. Educating workers and/or employers in small businesses (for purposes of this grant program, a small business is one with 250 or fewer employees)
4. Training workers and/or employers about new OSHA standards
5. Training at-risk and/or low-literacy worker populations, including temporary and warehouse workers
6. Providing technical assistance to employers and workers
7. Developing and disseminating materials to train and educate workers

### **B. Grants Being Announced Under this Funding Opportunity Announcement**

Under this funding opportunity announcement, OSHA will accept applications for Capacity Building Developmental Follow-on grants from FY 2015 Susan Harwood Capacity Building Developmental and Capacity Building Developmental Follow-on grantees only. Capacity Building Developmental grants are longer-term grants that build organizational safety and health competency. The continuation and level of funding for

follow-on grants are subject to annual appropriation of funds and a determination that the program is achieving the approved objectives. Capacity Building Developmental grants may be eligible for no more than three 12-month follow-on grants.

Applications for Capacity Building grants should focus on developing and/or expanding the capacity of the applicant organization to provide safety and health training, education, and related assistance to the targeted audiences identified in Section II.C. and continue the activities outlined in their capacity building developmental plan. Organizations will be expected to integrate their new organizational capacity for providing safety and health training, education, and related assistance services within the organization to assist workers and employers on an ongoing basis, and after the grant ends, ensures that services developed under the grant will continue.

Capacity Building Developmental grants are intended to support and assist organizations who through past activities have established a capability to provide occupational safety and health training, education, materials development, and/or technical assistance. Applicants are expected to conduct a significant number of training programs addressing occupational safety and health hazards identified in a needs assessment. Additionally, applicants are strongly encouraged to develop educational materials, and to provide technical assistance.

Each grant recipient must develop a comprehensive plan for becoming a resource center for safety and health including how they will become financially self-sufficient within a two (if a FY 2014 grant recipient) or three (if a FY 2015 grant recipient) year capacity building period. Capacity Building Developmental follow-on grants are funded for a 12-month period.

### **C. Target Audience and Language**

1. Training materials developed and/or training conducted ideally should serve multiple small business employers with less than 250 employees and workers in one or more of the following target audiences:
  - small businesses (less than 250 employees)
  - new businesses
  - limited English proficiency workers
  - non-literate and low literacy workers
  - young workers
  - temporary workers
  - minority and other hard-to-reach workers
  - workers in high-hazard industries and industries with high fatality rates
2. Training must be conducted in both a language and vocabulary that the participants can understand.

3. Special consideration will be given to grant proposals that include training materials and training programs for limited English proficiency workers, including Spanish, and Asian American and Pacific Islander languages.

### **III. PROJECT PERIOD AND MAXIMUM FUNDING LEVELS**

There is approximately \$4.1 million available for FY 2016 Susan Harwood Capacity Building Developmental Follow-on grants. All grants in this funding opportunity announcement will be awarded for a 12-month project performance period. The 12-month project period for these grants begins no later than September 30, 2016.

For the FY 2016 performance period, organizations that received a new Capacity Building Developmental or Capacity Building Developmental follow-on grant in FY 2015 are eligible for a maximum funding level not to exceed 90% of the organization's FY 2015 grant award.

### **IV. ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

Only FY 2015 Susan Harwood new Capacity Building Developmental or Capacity Building Developmental Follow-on grantees that have performed satisfactorily are eligible to apply under this funding opportunity announcement.

#### **B. Cost Sharing or Matching**

Applicants are not required to contribute non-federal resources.

#### **C. Transparency**

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public Web sites is a means of promoting and sharing innovative ideas. For this grant competition, DOL will publish the Program Abstract required by Section V.F. and selected information from the SF-424, Application for Federal Assistance, on the Department's public Web site, <http://www.dol.gov/dol/grants/> for all applications. Additionally, DOL will publish a version of the Technical Proposal required by Section V.G., for all those applications that are awarded grants, on the Department's Web site, <http://www.dol.gov/dol/grants/>. Except for the Program Abstract, none of the Attachments to the Technical Proposal will be published. Technical Proposals and Program Abstracts will not be published until after the grants are awarded. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information. Proprietary or business confidential information is information that is not usually disclosed outside an organization and disclosing this information is likely to cause substantial competitive harm.

Personally identifiable information is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>1</sup>

Program Abstracts will be published in the form originally submitted, without any redactions. Applicants should not include any proprietary or confidential business information or personally identifiable information in this summary. In the event that an applicant submits proprietary or confidential business information or personally identifiable information, DOL is not liable for the posting of this information contained in the Program Abstract. The submission of the grant application constitutes a waiver of the applicant's objection to the posting of any proprietary or confidential business information contained in the Program Abstract. Additionally, the applicant is responsible for obtaining all authorizations from relevant parties for publishing all personally identifiable information contained within the Program Abstract. In the event the Program Abstract contains proprietary or confidential business or personally identifiable information, the applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

By submission of this grant application, the applicant agrees to indemnify and hold harmless the United States, the U.S. Department of Labor, its officers, employees, and agents against any liability or for any loss or damages arising from this application. By such submission of this grant application, the applicant further acknowledges having the authority to execute this release of liability.

To ensure that proprietary or confidential business information or personally identifiable information is properly protected from disclosure when DOL posts the winning Technical Proposals, applicants whose Technical Proposals will be posted, will be asked to submit a second redacted version of their Technical Proposal, with any proprietary or confidential business information and personally identifiable information redacted. All non-public information about the applicant's and consortium members' staff (if applicable) should be removed as well.

The Department will contact the applicants whose Technical Proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal.

Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for DOL to make the redacted version publicly available. DOL will also assume that by submitting the redacted version of the Technical Proposal, the applicant has obtained the agreement to the applicant's decision about what material to redact of all persons and entities whose proprietary, confidential business information or personally identifiable information is contained in the Technical Proposal. If an applicant fails to provide a redacted

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<sup>1</sup> OMB Memorandum 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.



version of the Technical Proposal by the date requested in the instruction letter or email, DOL will publish the original Technical Proposal in full, after redacting only personally identifiable information. The application's original version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential business information and any personally identifiable information.

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or capable of identifying a person. The redaction of entire pages or sections of the Technical Proposal is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

#### **D. Freedom of Information Act Request (FOIA)**

Redacted information in grant applications will be protected by DOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act of 1974 (5 U.S.C. § 552a). If DOL receives a FOIA request for an application, the procedures in DOL's FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures, 29 CFR § 70.26.

Consequently, in response to a FOIA request the application of FOIA rules may result in the release of information that an applicant redacted in its redacted copy.

#### **E. Non-Viable Applications**

Applications that fail to satisfy the requirements stated below may be considered non-viable and not be given further consideration.

- Applications must be submitted electronically through Grants.gov as specified in Section V.J.2. Applications not submitted electronically through Grants.gov will not be considered.
- Applications must be submitted on or before 11:59 p.m., ET, on the due date as specified in Section V.J.1. Applications that do not receive a date/time-stamp email indicating application submission on or before 11:59 p.m., ET, on the due date, will be considered non-viable and will not be given further consideration.
- Applications must be successfully validated by Grants.gov as specified in Section V.J.3. Applications that are not successfully validated by Grants.gov because the submission was not approved by the Authorized Organization Representative (AOR), or the organization does not have a current registration with the System for Award Management (SAM) at the time of application submission, will be considered non-viable and will not be given further consideration.
- Applications must provide current proof of nonprofit status as outlined in Section V.I.5, with the exception of institutions of higher education. Applications that do not provide

proof of nonprofit status may be considered non-viable and may not be given further consideration.

- Applications must contain all of the required forms and documents identified in Section V.C., Application Checklist. Applications that do not contain all of the required forms and documents may be considered non-viable and may not be given further consideration.

#### **F. Other Eligibility Requirements**

All grantees must comply with legal rules pertaining to inherently religious activities by organizations that receive federal financial assistance. The U.S. Government is generally prohibited from providing direct financial assistance for inherently religious activities. In this context, the term direct financial assistance means financial assistance that is provided directly by a government entity or an intermediate organization, as opposed to financial assistance that an organization receives as the result of the genuine and independent private choice of a beneficiary. In other contexts, the term “direct financial assistance” may be used to refer to financial assistance that an organization receives directly from the federal government (also known as “discretionary” assistance), as opposed to assistance that it receives from a state or local government (also known as “indirect” or “block” grant assistance). The term “direct” has the former meaning throughout this funding opportunity announcement.

The grantee may be a faith-based organization or work with and partner with religious institutions; however, “direct” federal assistance provided under grants with the U.S. Department of Labor must not be used for religious instruction, worship, prayer, proselytizing or other inherently religious practices. 29 CFR Part 2, Subpart D governs the treatment in Department of Labor government programs of religious organizations and religious activities; the grantee and any sub-contractors are expected to be aware of and observe the regulations in this subpart.

#### **G. Special Program Requirements**

DOL may require that the program or project participate in an evaluation of overall performance of the Harwood grants and/or impacts on participants. Therefore, as a condition of award, the grantee is required to cooperate with any evaluation of the program DOL may undertake. This cooperation may include but is not limited to site visits, collection of programmatic administrative and performance data, and interviews with grant program personnel and program participants.

### **V. APPLICATION AND SUBMISSION INFORMATION**

An organization may operate only one Susan Harwood grant in any fiscal year. New or follow-on applications will not be considered if the organization is approved for a no-cost time extension of more than a three-month on an active grant.

Organizations are limited to submitting one application per announcement. Under this funding opportunity, the applicant is applying for a Capacity Building Developmental follow-on grant.

All information needed to apply for this funding opportunity is referenced as part of this announcement, and all forms are available on the Grants.gov Web site

Applicants wishing to apply for a new Capacity Building Developmental or Pilot grant may do so under funding opportunity SHTG-FY-16-02. If the applicant wishes to apply for a new Targeted Topic Training or Targeted Topic and Educational Materials Development grant must apply under funding opportunity SHTG-FY-16-01.

OSHA encourages the training of different workers each year. If an organization is awarded a grant for consecutive years to provide training on the same topic to a target population, the organization must show in its work plan a process to ensure that different workers will be trained, than received training in the previous years.

#### **A. Required Content and Submission Format**

A grant application must be submitted electronically through the <http://www.grants.gov> Web site. To be considered responsive to this funding opportunity announcement, the application must contain all of the required information as outlined in Section V.C., Application Checklist. The application must be divided into clearly identified major sections and sub-sections. Forms are available through <http://www.grants.gov> and must be submitted electronically as a part of the grant application. Each Grants.gov application package has a cover sheet that contains instructions on how to open and use the forms in the application package. The Susan Harwood grant application package at <http://www.grants.gov> contains a menu of “Mandatory Documents” which must be completed and submitted online. The menu of “Mandatory Documents” can only be located after opening the grant package. A description of the evaluation process is provided in Section VI.

All applicants for federal grants and funding opportunities are required to have a Data Universal Number System (DUNS) number, and must supply the DUNS number on the SF-424. The DUNS number is a nine-digit identification number that uniquely identifies business entities. For additional information, visit the Web site at <http://fedgov.dnb.com/webform/>.

**Registration information with Grants.gov and System for Award Management (SAM) must be accurate and up-to-date prior to submitting an application. To remain registered in the SAM database, an applicant is required to review and update registration information at least every 12 months from the date of initial registration. Inaccurate or expired information could result in delays or rejection of the grant application.**

#### **B. Formatting Requirements**

All application documents (application summaries, abstracts, technical proposals, etc.) must be submitted on 8 ½” x 11” white paper with one-inch margins, double-spaced in 12-point font format.

If an application exceeds the cited page limitation for double-spaced pages in the technical proposal, the extra pages will not be reviewed. In addition, if a technical proposal is single-spaced and/or one-and-a-half spaced (in whole or in part) the total

number of these lines will be doubled. This adjustment may result in an increased total number of pages. The extra pages will not be reviewed. Only graphs and numerical tables as part of the technical proposal may be single-spaced.

**Attachments should be submitted in the order specified in Section V.C., Application Checklist. Please use the file naming nomenclature where indicated, and the checklist title if it is not indicated. File attachment names should be no longer than 50 characters to avoid submission and processing errors. Applicants are limited to using the following characters in all attachment file names: A-Z, a-z, 0-9, underscore (\_), hyphen (-), parenthesis (), curly brackets ({}), square brackets ([]), tilde (~), exclamation point (!), comma (,), dollar sign (\$), percent sign (%), plus sign (+), equal sign (=), space, and period. While Grants.gov may accept more characters, DOL E-Grants may not accept characters other than what is listed above. Use the appropriate characters to ensure OSHA can view the file attachments.**

Text documents, including the application summary, program abstract and technical proposal, should be submitted in Microsoft Office format. Forms, assurances, and certifications should be submitted in Adobe Reader (PDF) format. Files must not be locked or protected.

**C. Application Checklist**

Applicants may use the checklist below as a guide when preparing the application package. All required documents on the Application Checklist below must be submitted by the application due date and time specified in Section V.J.1.

When applying for a grant, the application package must be downloaded; the forms within the application package must be completed and submitted in their entirety. Note: The forms found on the Grants.gov Forms tab are for information only and cannot be submitted with the grant application package. Grants.gov sample forms are located at <http://www.grants.gov/web/grants/forms/sf-424-family.html>.

✓	What to Submit	Where Found	How to Submit
	SF-424 – Application for Federal Assistance	Referenced in Section V.1. and found at Grants.gov Forms Repository	This is a required form. Complete in the downloaded application package at Grants.gov.
	SF-424A – Budget Information – Non-Construction Programs	Referenced in Section V.2. and found at Grants.gov Forms Repository	This is a required form. Complete in the downloaded application package at Grants.gov. Note: Allocated costs must match the detailed budget support narrative.
	SF-424B – Assurances – Non-Construction Programs	Referenced in Section V.3. and found at Grants.gov Forms Repository	This is a required form. Complete in the downloaded application package at Grants.gov.
	Combined Assurance Form (ED 80-0013)	Referenced in Section V.4. and found at Grants.gov Forms Repository	This is a required form. Complete in the downloaded application package at Grants.gov.
	Project/Performance	Referenced in Section V.5.	This is a required form. Complete

Site Location(s)	and found at Grants.gov Forms Repository	in the downloaded application package at Grants.gov.
SF-LLL – Disclosure of Lobbying Activities	Referenced in Section V.6. and found at Grants.gov Forms Repository	This form is required only when the applicant meets the requirements in the Combined Assurance Form. If required, complete in the downloaded application package at Grants.gov.
Application Summary	Referenced in Section V.E. of the announcement under “Application Summary.”	The application summary is a required document created by the applicant and uploads it as an attachment to the grant application.
Program Abstract	Referenced in Section V.F. of the announcement under “Program Abstract.”	The program abstract is a required document created by the applicant and uploads it as an attachment to the grant application.
Technical Proposal	Referenced in Section V.G. of the announcement under “Technical Proposal.”	The technical proposal is a required document created by the applicant and uploads it as an attachment to the grant application
Organizational Chart	Referenced in Section V.G.1.g) of the announcement under “Organizational Chart.”	An organizational chart is a required document created by the applicant and uploads it as an attachment to the grant application.
Detailed Project Budget and Narrative	Referenced in Section V.I.2. of the announcement under “Detailed Project Budget.”	The detailed project budget summary and narrative is a required document created by the applicant and uploads it as an attachment to the grant application. It must support the costs allocated on the SF-424A.
Indirect Cost Allocation Agreement	Referenced in Section V.I.3. of the announcement under “Indirect Cost Allocation Agreement.”	An indirect cost allocation agreement is required when an applicant includes indirect charges to the budget. If required, a copy of the agreement must be uploaded as part of the grant application.
Evidence of Non-Profit Status	Referenced in Section V.I.5. of the announcement under “Evidence of Non-Profit Status.”	Evidence of Non-Profit Status must be uploaded as an attachment to the grant application. Applicants must submit one of the documents specified in Section V.I.5. as current evidence of non-profit status. This does not apply to state and local government-supported

			institutions of higher education.
	Non-federal Resource Contribution	Referenced in Section V.I.4. of the announcement under “Non-federal Resource Contribution.”	This document is required when the applicant includes non-federal resource contribution as part of the grant application. The applicant develops the non-federal resource contribution document and uploads it as an attachment to the grant application.
	Other Attachments	Referenced in Section V.H. of the announcement under “Other Attachments.”	Applicants may submit additional attachments that are not required as part of the grant application. Attachments may not exceed 20 pages. These documents may be uploaded as an attachment to the grant application.

**D. Forms, Assurances, and Certifications**

Applicants seeking financial assistance under this funding opportunity announcement must submit the first five forms listed and described below. The sixth form, which relates to the disclosure of lobbying activities, may also be required as described below. All of the following forms are part of the Grants.gov application package:

1. SF-424 Application for Federal Assistance

The SF-424 Application for Federal assistance must clearly identify the applicant and must be signed by the individual with the authority to enter into the grant agreement. The government may elect to award the grant(s) with or without negotiations with the applicant. Should a grant be awarded without negotiations, the award will be based on the applicant’s signature on the SF-424, including electronic signature via E-Authentication on <http://www.grants.gov>, which constitutes a binding offer by the applicant. As stated in block 21 of the SF-424 Form, signature of the Authorized Representative on the SF-424 certifies to the statements contained in the certifications, the required assurances are provided, and the organization agrees to comply with any resulting terms if an award is accepted.

2. SF-424A Budget Information – Non-Construction Programs

The budget must provide information on the 12-month project performance period, allocated into the itemized cost categories and shown as either a program or administrative cost (described in Appendix A.)

3. SF-424B Assurances – Non-Construction Programs

Electronic signature on the Grants.gov application provides assurances to comply with federal laws, executive orders, regulations, and policies governing this program.

4. Combined Assurances Form (ED-80-0013)

This form covers the lobbying certificate as required by 31 U.S.C. § 1352, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110; the debarment, suspension and other responsibility matters certification as required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110; and drug-free workplace certification as required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610.

5. Project/Performance Site Location

Applicants should include as many site locations as known at the time of application. Please note that this standard form is used for many programs and has a check box for applying as an individual. Disregard this box since individuals are not eligible to apply to this announcement.

6. SF-LLL – Disclosure of Lobbying Activities

This disclosure form is only required when an organization makes payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action.

**E. Application Summary**

The Application Summary must be submitted electronically in Grants.gov and may not exceed **two** double-spaced typed pages on 8 ½” x 11” white paper with one-inch margins, 12-point font in Microsoft Office format. Files may not be locked or password protected. The file name of the document should mimic one of the following nomenclature:

*Organization Name* Application Summary.doc

*Organization Name* Application Summary.docx

The Application Summary must include the following sections:

1. Applicant organization’s full legal name as listed on the Application for Federal Assistance (SF-424) in section 8a.
2. Project Director’s name, title, street address for overnight delivery service, and mailing address if it is different from the street address, telephone and fax numbers, and email address. The Project Director is the person who will be responsible for the day-to-day operation and administration of the program. Note: *The Project Director’s name must be the same name listed on the Application for Federal Assistance Form (SF-424) in Section 8f: name and contact information of person to be contacted on matters involving this application.*

3. Authorized Representative/Certifying Representative's name, title, street address for overnight delivery service, and mailing address if it is different from the street address, telephone and fax numbers, and email address. An Authorized Representative/Certifying Representative is the official in the organization authorized to enter into grant agreements. Note: *The Authorized Representative/Certifying Representative's name must be the same name listed on the Application for Federal Assistance Form (SF-424) in Section 21 for Authorized Representative.*
4. Financial Certifying Representative's name, title, street address for overnight delivery service, mailing address if it is different from the street address, telephone and fax numbers, and email address. The Financial Certifying Representative will be authorized by the organization to submit and sign off on the Federal Financial Report Form (SF-425), which is submitted quarterly during the grant period, as per Section V.G.2.b)(6)(b)(ii).
5. Funding Amount. List the amount of federal funding being requested to perform work plan and administrative activities for the 12-month project performance period. Section III. describes the maximum funding limits. If the organization is contributing non-federal resources, list the amount and source of non-federal funds. These amounts should be consistent with the amounts listed on the Application for Federal Assistance Form (SF-424).
6. Grant Category. All applicants must indicate the grant category as Capacity Building Developmental Follow-on. As a Capacity Building Developmental Follow-on applicant, state the number of years previously funded and the number of year in the organization will need to complete the capacity building activities. Capacity Building Developmental grantees applying for the third and final follow-on grant must complete all activities during the final follow-on grant period.
7. Grant Topic. List occupational safety and health training topic(s) to be addressed by this year's grant. Additional topics may be listed for possible future follow-on grants, indicating the year the expected topic will be addressed.
8. Target Audience. Identify the target audiences to be served, as listed in Section II.C.
9. Affiliations. Please list the organization's relationship to a parent organization, if applicable, and any affiliations with other organizations that are included in the application.
10. Congressional Districts. Please include the Congressional District in which the organization resides. If possible, please include those in which training is proposed and/or materials will be disseminated. The Congressional Districts must be the same as those listed on the Application for Federal Assistance Form (SF-424) in section 16 for Congressional Districts.

**F. Program Abstract**

Provide a brief abstract of the proposed grant. The Program Abstract must be submitted electronically in Grants.gov and may not exceed **one** double-spaced typed page using 8 1/2" x 11" white paper with one-inch margins, 12-point font in Microsoft



Office format. Files may not be locked or password protected. The file name of the document should mimic on of the following nomenclature:

*Organization Name* Program Abstract.doc

*Organization Name* Program Abstract.docx

The abstract should include the organization's name, grant category, target audience, proposed occupational safety and health training topic(s), key grant activities, and geographical areas that will be impacted.

#### **G. Technical Proposal**

The Technical Proposal must be submitted electronically in Grants.gov and may not exceed **twenty** double-spaced typed pages using 8 ½" x 11" white paper with one-inch margins, 12-point font in Microsoft Office format. Files may not be locked or password protected. The file name of the document should mimic one of the following nomenclature:

*Organization Name* Technical Proposal.doc

*Organization Name* Technical Proposal.docx

The technical proposal must address each section listed below.

##### 1. Problem Statement/Need for Funds

A problem statement, including the need for funding, should be included in each grant application. Clearly describe the following in the problem statement.

###### a) Grant Category

Identify the grant category as a Capacity Building Developmental Follow-on.

###### b) Target Population

Describe the target population (Section II.C.), the target population's geographic location(s), including state(s), and the barriers that have prevented this population from receiving adequate training.

###### c) Topic

Describe the occupational safety and health hazards to be addressed during FY 2016 and if applicable, for each follow-on year. The occupational safety and health topic(s) should relate to the results of the needs assessment conducted under the applicant's FY 2014 and/or FY 2015 grant.

In addition to the occupational safety and health training topics, all trainings must include information regarding employer responsibilities and worker rights under the OSH Act, including the right to raise health and safety concerns free from retaliation. All applicants must provide training on the anti-retaliation provisions under Section 11(c) of the OSH Act, including employee rights and employer responsibilities, additional whistleblower laws enforced by OSHA as applicable, and whistleblower complaint procedures (including required time constraints).

d) Training and Educational Materials

Describe the types of training and educational materials to be developed and/or obtained. Applicants should not propose the development of training or educational materials that duplicate existing material. The purpose is to produce quality training and educational materials that fill an unmet need and have broad applicability. A detailed description of the training materials, including training objectives, training topics, and source of training materials (if obtaining) should be included as part of Section V.G.2.b)(2). Existing Susan Harwood training materials can be accessed at [http://www.osha.gov/dte/grant\\_materials/index.html](http://www.osha.gov/dte/grant_materials/index.html). Materials feature various topics and languages, and include items such as PowerPoint presentations, instructor guides, student manuals, student exercises, and tests.

e) Organizational Capability Developed

The organization must describe its current organization and its capabilities, including capacity built during previous program years. Establish how there has been an increase in the organizational and occupational safety and health training capacity during the previous grant period.

f) Additional Capacity Needs

Applicants should describe how the organization plans to increase their organizational capacity during the 12-month follow-on performance period. Include how many years of additional funding will be needed, if any, to fully develop and establish capacity, the amount of funding needed each remaining year, and plans to continue the activities after the grant ends. Include how the organization plans to support financially the capacity built during prior grants as grant funds decline and end. The organization is not eligible for more than three follow-on funding opportunities.

g) Organizational Chart

Include an organizational chart of the staff that will be working on the grant and their positions within the applicant organization. Indicate any new staff position(s) that have been added as part of the FY 2015 award, and any new positions that are proposed as part of the applicant's work plan.

2. Work Plan

Develop a 12-month work plan that is broken out by federal calendar year quarters as shown in Table 1. Specific items required in the work plan are outlined below.

Table 1. Federal Quarters

Federal Quarter	Activity Period	Projected Number Trainees	Projected Contact Hours
Quarter 1	October 1 to December 31		
Quarter 2	January 1 to March 31		
Quarter 3	April 1 to June 30		
Quarter 4	July 1 to September 30		

a) Work Plan Overview

The work plan must describe the plan for grant activities and the anticipated outcomes for the 12-month project period. The overall plan must describe planned project components, such as the development of training materials or the plan to use existing training materials, if not already complete, the training content, the number of trainees and the number of contact hours per trainee for each training program being proposed, recruiting of trainees, where or how training will take place, and the anticipated benefits to workers and/or employers receiving the training. Also, describe planned activities relating to conducting Level 1, 2, and 3 training evaluations and capacity building activities.

b) Work Plan Activities

The overall plan should be broken down into activities or tasks. For each activity, explain what will be done, who will do it, when it will be done, and the results of the activity.

(1) Capacity Building Development Plan

Applicants should describe what institutional capacity building activities will be conducted during the 12-month performance period. The plan should include how the organization plans to assess its progress in accomplishing the grant work activities and goals (planned vs. actual), and who in the organization will be responsible for taking corrective action.

(2) Training and Educational Materials

Applicants should not propose the development of training or educational materials that duplicate existing training materials. OSHA posts training materials developed by previous grantees on its public Web site at [http://www.osha.gov/dte/grant\\_materials/index.html](http://www.osha.gov/dte/grant_materials/index.html). These materials feature various topics and languages, and include items such as PowerPoint presentations, instructor guides, student manuals, student exercises and tests.

If the development and production of training and educational materials are proposed, describe all training and educational materials to be produced. Describe how the proposed training and educational materials will fill unmet needs as well as have a broad applicability. Provide a timetable for developing and producing the materials.

Grantees are expected to follow the guidance provided in the OSHA publication entitled “Best Practices for the Development, Delivery, and Evaluation of Harwood Training Grants” [OSHA 3686-09 2010]. The document addresses needs assessments, proven adult learning techniques, effective models for worker training, and training evaluation documentation. A copy of the publication can be downloaded at <http://www.osha.gov/dte/sharwood/best-practices.html>.

Grantees must follow all copyright laws and provide written certification that all materials used are free from copyright infringements.

Grantees are expected to follow the guidance provided in the OSHA publication entitled “Best Practices for Development, Delivery, and Evaluation of Harwood Training Grants” [OSHA 3686-09 2010]. The document addresses needs assessments, proven adult learning techniques, effective models for worker training, and training evaluation documentation. A copy of the publication can be downloaded at <http://www.osha.gov/dte/sharwood/best-practices.html>.

(a) Develop New Training and Educational Materials

All applicants that develop training and educational materials are expected to submit classroom quality products that follow the commonly accepted Instructional Systems Design (ISD) process that OSHA has adopted as a quality measure for all of its education and training products. The five ISD steps are: analysis, design, development, implementation, and evaluation. Provide a timetable for developing, evaluating, validating and producing the material. Validation should include at least one training session for content feedback and content revision. More information on the ISD process can be found <http://www.nwlink.com/~donclark/hrd/sat.html>.

(b) Obtain or Revise Existing Training and Educational Materials

Applicants can revise existing Susan Harwood grant materials or obtain training materials from a third party. Obtained materials should have been developed under commonly accepted instructional design processes. Existing Susan Harwood grant materials may be found at [http://www.osha.gov/dte/grant\\_materials/index.html](http://www.osha.gov/dte/grant_materials/index.html).

(c) Required Training Material Content

The training materials must address the recognition, abatement, and prevention of safety and health hazards. Training materials (obtained or developed) must include information regarding worker rights under OSHA law, including the right to file a complaint free from discrimination and the elements for a valid complaint. If an organization plans to develop training materials for training workers or employers in any of the 27 states operating OSHA-approved State Plans, state OSHA requirements for that state must be included in the training materials.

The training materials must include information on the whistleblower protection provisions that OSHA administers under Section 11(c) of the OSH Act. Training materials should cover employer and employee rights and responsibilities, whistleblower laws enforced by OSHA, and OSHA’s Complaint Investigation Procedures.

See <http://www.whistleblowers.gov/> for additional information.

(d) Grant Training and Educational Materials Developed and Delivered in a Language Other Than English

Organizations proposing to develop materials and/or deliver training in languages other than English must provide an English version of the materials. The English version of the materials must be approved by OSHA prior to translation. Organizations proposing to develop Spanish-language training materials must utilize the OSHA Dictionaries (English-to-Spanish and Spanish-to-English) for terminology. The dictionaries are available on the OSHA Web site at [http://www.osha.gov/dcsp/compliance\\_assistance/spanish\\_dictionaries.html](http://www.osha.gov/dcsp/compliance_assistance/spanish_dictionaries.html).

(e) OSHA Material Review

All training materials must be reviewed and approved (e.g., promotional flyers, advertising, training materials, evaluation instruments) for technical accuracy and suitability of content before the materials are used. Therefore, the timetable must include provisions for an OSHA review of both draft and final products. Allow two to three weeks for an OSHA review of draft materials. Any changes to the training and educational materials, at any time during the grant period, must be reviewed and approved by OSHA before use.

All training and educational materials developed or used by grantees will be required to be updated to reflect any changes to OSHA standards and policies that occur during the performance period. This includes any materials that may have been previously approved by OSHA. Any training materials created under a prior-year grant and subsequently updated must be reviewed and approved by OSHA (all changes to the materials should be highlighted). Any changes to the training and educational materials, at any time during the grant period, must be reviewed and approved by OSHA before use. If no changes to OSHA standards or policies occurred since the educational materials were last approved by OSHA, and no other changes were made by the grantee, the materials do not need to be reviewed.

(f) Submittal and Internet Posting requirements for Final Materials

Two (2) electronic and two (2) hard copies of the materials are to be submitted to OSHA prior to or along with the closeout report. Electronic copies should be submitted per the Grant-Funded Material Submittal Procedures outlined in Appendix B.

Any applicant proposing online training must produce training materials that are compliant with Section 508 of the Rehabilitation Act of 1973, as amended, <http://www.section508.gov/Section-508-Of-The-Rehabilitation-Act>. Specific compliance checklists can be found at <http://www.hhs.gov/web/508/checklists/index.html>.

(g) Acknowledgment of DOL Funding

In all circumstances, all approved grant-funded materials developed by a grantee shall contain the following disclaimer.

*This material was produced under grant number \_\_\_\_\_ from the Occupational Safety and Health Administration, U.S. Department of Labor. It does not necessarily reflect the views or policies of the U.S. Department of Labor, nor does mention of trade names, commercial products, or organizations imply endorsement by the U.S. Government.*

Applicants using previously approved Susan Harwood training materials should retain the original grant number in the disclaimer. If revisions are made to the materials, OSHA must approve the revisions. Once OSHA approves the revisions, the applicant may add a sentence after the disclaimer stating that the materials were revised under the applicant's grant number.

(3) Recruiting Plan

The recruiting plan should include what methods the applicant plans to utilize to recruit workers from the targeted audience for the proposed training. Past success in reaching the target audience as well as any plans to work with other organizations during the recruiting efforts should be described in detail. All materials developed for recruiting must be reviewed and approved by OSHA.

(4) Training for Workers and Employers

The specific methodology for projecting trainee numbers must be described. When describing the proposed occupational safety and health training, include the topics to be taught, the projected number of trainees, and the number of contact hours per trainee for each proposed training course, the proposed training sites (classroom, worksites), and their geographical locations.

OSHA encourages the training of different workers each year. If an organization is awarded a grant for consecutive years to provide training on the same topic to a target population, the organization must show in its work plan a process to ensure that different workers will be trained, than received training in the previous years.

(a) Cost per Trainee and Training Hour

The cost per trainee must be less than \$500 and the cost per training hour must not exceed \$125. Estimates for cost per trainee and cost per training hour should be clearly identified in the grant application. Calculations should be based on the total projected number trained and total contact hours as presented in the applicant's work plan (Section V.G.3.b)(4)(g)). Please use the following formulas to calculate these costs.

*Cost per trainee = total grant cost (include federal and non-federal) / the total projected number trained*

*Cost per training hour = total grant cost (include federal and non-federal) / the total projected number of contact hours for all training*

(b) Required Training Content

Training must include training on the required training and educational material content as indicated in Section V.G.3.b)(2)(c).

(c) Training Contact Hours

The Susan Harwood Training Grant Program's primary focus is worker-level training. Training should be designed as a minimum of 1/2 hour and a maximum of 7 1/2 contact hours per day, for every day of training.

Contact hours include instructor-led contact minutes used to train on the training learning objectives. Instructor-led lead minutes used for administrative activities such as presenting training certificates cannot be counted toward the contact hours. Break time and lunchtime cannot be counted toward the contact hours.

(d) Eligible Trainees

Training should be limited to eligible trainees. Eligible trainees are those workers that are currently covered under the OSH Act of 1970, SEC. 4 codified at 29 U.S.C. 653.

**OSH Act of 1970, SEC. 4. Applicability of This Act**

(a) This Act shall apply with respect to employment performed in a workplace in a State, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, the Trust Territory of the Pacific Islands, Wake Island, Outer Continental Shelf Lands defined in the Outer Continental Shelf Lands Act, Johnston Island, and the Canal Zone. The Secretary of the Interior shall, by regulation, provide for judicial enforcement of this Act by the courts established for areas in which there are no United States district courts having jurisdiction.

(b) (1) Nothing in this Act shall apply to working conditions of employees with respect to which other Federal agencies, and State agencies acting under section 274 of the Atomic Energy Act of 1954, as amended (42 U.S.C. 2021), exercise statutory authority to prescribe or enforce standards or regulations affecting occupational safety or health.

In addition, currently unemployed persons that plan to return to or are about to enter the workforce in a position that is covered by the OSH Act may be trained. Some state and local governments are not covered under the OSH Act.

(e) Training class size

To facilitate participatory learning, the recommended class size is from 10 to 30 trainees. The recommended minimum and maximum limits are from three to 40 trainees per training.

(f) Training for Workers and Employers

All training for workers and employers should be participatory in nature and actively involve workers in the training, including using the methods

described in OSHA's document entitled "Best Practices for the Development, Delivery, and Evaluation of Susan Harwood Training Grants" [OSHA 3686-09 2010]. A copy of the publication can be downloaded at <http://www.osha.gov/dte/sharwood/best-practices.html>. Please include specific details regarding how participatory learning will be achieved.

(g) Train-the-Trainer

Train-the-trainer training may be proposed under this grant announcement, but is not required. To ensure that training provided to trainers is subsequently used to train **workers** (second tier training), a plan to conduct second tier training directly to workers must be included as outlined below.

- (i) Only one level of train-the-trainer training may be proposed. In other words, the trainers trained as part of these grant activities can only train workers (second tier training); not additional levels of trainers.
- (ii) If the proposal contains a train-the-trainer component, the following information must be provided:
  - (a) Specify the type of ongoing support the grantee will provide to new trainers.
  - (b) Specify the worker population that the new trainers will train.
  - (c) If the newly trained trainers will provide training to workers under the work plan for this grant period, estimate the number of courses to be conducted for **workers** by the new trainers during the grant period.
  - (d) The applicant must include a description of how the organization will obtain data, via a reporting system, from the new trainers to document the second tier training during the grant period. The description should include a system whereby training documentation (sign-in sheets, training agenda, course evaluations, etc.) and trainee numbers are submitted to the applying organization within a short time after the completed training.
- (iii) All the above information must be included in the application for the train-the-trainer component to be evaluated.

(h) Training Projections

Describe the training to be conducted and quantify the projected total number trained and projected total contact hours. Include the following items:

- (i) Describe the target audience(s) (Section II.C.) for each proposed type of training.
- (ii) Identify the type(s) of training that will be conducted: worker, train-the-trainer, or employer.
- (iii) Describe how each type of training will reach multiple employers and/or their workers.



- (iv) Indicate the projected number trained (workers and/or employers) per type of training and target audience (Section II.C.).
- (v) Indicate the number of contact hours for each type of training (workers, train-the-trainer, and/or employer) and target audience (Section II.C.). Training contact hours are defined in Section V.G.3.b)(4)(c). See Table 2 as an example.
- (vi) Substantiate the methodology used to develop the projections for total number trained and total contact hours for each type of training (train-the-trainer, worker, or employer).

Table 2. Example of Total Number Trained and Contact Hour Projections

Audience	Type of Training	Length of training (contact hrs.)	Projected Number Trained	Total Contact hours per training*
Temporary Worker	Worker	4	500	2,000
Hard-to-Reach Worker Limited English Proficiency/ Low-Literacy	Worker	2	300	600
Hard-to-Reach Worker Limited English Proficiency/ Low-Literacy	Train-the-Trainer	8	10	80
Small Business	Employer	5	30	150
Total			840	2,830

\*Total contact hours per training = (length of training x projected number trained)

(i) Constitution Day Training

Constitution Day and Citizenship Day is required of educational institutions only. These activities should be addressed in the work plan. Section 111 of Division J of Public Law 108-447, the “Consolidated Appropriations Act, 2005,” December 8, 2004; 118 Stat. 2809, 3344-45, requires “educational institutions” that receive federal funds to hold an educational program on the United States Constitution on September 17 (“Constitution Day and Citizenship Day”) of each fiscal year for which the institution receives funds. The Office of Personnel Management has placed relevant materials on its Web site at the following address: [http://archive.opm.gov/constitution\\_initiative/](http://archive.opm.gov/constitution_initiative/). The U.S. Department of Education’s Federal Register Notice of the Implementation of Constitution Day and Citizenship Day on September 17 of Each Year, published on May 24, 2005, can be found at: <http://www.gpo.gov/fdsys/pkg/FR-2005-05-24/pdf/05-10355.pdf>. Please note that this Web site primarily addresses

educational institutions that receive funds from the U.S. Department of Education. However, it also discusses other materials that may be helpful.

#### (5) Training Evaluation

Capacity Building Developmental Follow-on grants shall perform Level 1, 2, and 3 training evaluations. Additional guidance on developing and implementing evaluations, and reporting evaluation results will be provided at the Orientation Meeting. The types of training evaluations required are described below.

- Level 1 – Training Session Reaction Evaluation

Training session reaction evaluations measure how trainees in a training session react to the training including trainees' perceptions of the quality and usefulness of the training. The results should be used for the improvement of the training program. This assessment can be accomplished through trainee satisfaction surveys, in written or oral format, regarding both the relevancy of the information taught and the teaching style of the instructor. This type of evaluation should be conducted for all training.

- Level 2 – Learning Evaluation

Learning evaluations measure the skills, knowledge, or attitude that the trainee retains because of the training. This evaluation could be accomplished for example through pre- and post-assessments, in written or oral format, administered in the training. Alternatively, trainees could be required to perform a new task or complete interactive activities that were taught during the training and the result assessed. This type of evaluation should be conducted for all training.

- Level 3 – Training Impact Assessment

Training impact assessments gauge the effect of the training on workers' ability to participate in safety and health activities in the workplace. Grantees should specify at least one measure that is closely linked to the expected outcomes of their planned activities.

Training impact evaluations are typically conducted three to six months after the training and could be conducted by written/electronic surveys or by focus groups. Training impact evaluations may be conducted in less time if the training was relatively short in duration and there is a knowledge retention concern.

Grantees should conduct training impact evaluations, regardless of the length of training. This assessment could be accomplished for example by phone, in person, by focus group, or by survey, in written or oral format.

Examples of such measures could include but are not limited to:

- increases in workers' involvement in workplace safety
- increases in the number of hazards reported
- increases in the number of workers participating on safety committees

- increases in the number of reported accident near misses  
positive impacts of training activities on work practices

In addition to the evaluation activities grantees will conduct, the Department of Labor may conduct a separate evaluation of the impacts of training. In accepting grant funding under this program, grantees agree to fully cooperate with and provide any data needed by federally-sponsored evaluation(s) of the training.

#### (6) Meetings, Reporting and Documentation

Reporting and documentation will be required of grant awardees and as such should be included in the proposed grant activities and accompanying budget. Additional information on the reporting requirements can be found in Administering OSHA Discretionary Grant Programs (TED 03-00-002) [http://www.osha.gov/dte/sharwood/grant\\_requirements.html](http://www.osha.gov/dte/sharwood/grant_requirements.html).

##### (a) Mandatory Meetings

###### (i) Orientation Meeting

A mandatory two-day grantee orientation meeting will be conducted in Washington, D.C. All grantees should budget for two staff members, one program and one financial, to attend this meeting.

###### (ii) Grantee Exchange

Following the mandatory two-day grantee orientation meeting, a Grantee Exchange will be open to the awardee program representatives. The program representatives may attend the Grantee Exchange, and the awardees may send a trainer to attend the Grantee Exchange only. The financial representatives are not expected to attend the Grantee Exchange. These meetings are considered administrative and costs should be allocated in the budget accordingly.

##### (b) Quarterly Reports

###### (i) Program Reports

The grantee is required to submit a quarterly progress report to their OSHA Regional Office within 30 days following the end of each fiscal quarter. The report includes a completed OSHA Form 171 Progress Report and an accompanying narrative of all grant activities conducted during the quarter.

OSHA Form 171 is a one page fillable spreadsheet used to document training sessions. Conferences do not count as training sessions. Training sessions for the same group of trainees that are conducted on more than one day may not be reported until the training is completed. Reminder for grants with multiple topics, a student may be counted towards the training numbers only once after they have completed the course of multiple topics. Students may not be counted under each separate topic.

Sessions are to be reported in the quarter in which they end. A separate OSHA Form 171 is required to be submitted for each type (or tier) of training conducted in a quarter.

Each quarterly progress report should contain information on all work performed during the quarter. The evaluation of work plan activities is required to evaluate the progress made on work plan activities and to assess how well program activity goals are being met. It involves collecting, analyzing, and using information to determine whether program benchmarks for the quarter were attained and to point out unanticipated developments.

The Progress Report Narrative should address the following areas:

- An evaluation of progress towards meeting the quarter's work plan activities, identifying successes, challenges, and if needed present a plans to rectify deficiencies in achieving the work plan goals
- Needs assessment
- Training materials development
- Recruiting activities
- Training conducted
- Training evaluation summary presented as an aggregate for the type of training conducted and the type of evaluation completed during the quarter
- Technical assistance activities, as applicable

Continuous program activity progress monitoring is recommended. Describe the plan to evaluate the progress in accomplishing grant work activities listed in the application including comparing planned vs. actual accomplishments. Discuss who in the organization is responsible for taking corrective action if plans are not being met.

Training program evaluation (Level 1, 2, and 3) activities shall include a description of the current status of instructor effectiveness (Level1), trainee retention of knowledge and skills (Level 2), and positive impacts of training activities on work practices, workplace safety and health conditions, overall worker protection from on the job hazards, and long-term impacts of the training (Level 3). Results of evaluations could include survey results or notable achievements. To the extent possible, such evaluations shall include quantitative as well as qualitative results.

#### (ii) Financial Reports

A grantee is required to submit an electronic quarterly financial report through DOL E-Grants within 30 days following the end of each fiscal quarter (December 31, March 31, June 30, or September 30). The Standard Form (SF-425), Federal Financial Reports (FFR) are due within 30 days of the end of the reporting period are not later than January 30, April 30, July 30, and October 30.

(c) Close-Out Reports

(i) Program Close-out Report

A program closeout report is required to be submitted within 90-days of the end of the grant performance period. The cumulative report must summarize all activities conducted under the grant, explain how these activities enabled the grantee to accomplish the goals of the grant, discuss successes and problems encountered, and provide the results of the evaluations. Results and findings from Level 1, Level 2, and Level 3 evaluations must be summarized in the annual closeout report. Results of evaluations could include survey results or notable achievements. Only activities that occurred during the performance year may be reported. Further guidance for preparing a program closeout report will be provided after receipt of a grant award.

As part of the program closeout report, all applicants are required to include the following:

- (i) A written self-certification that the grant-funded programs and materials were not provided to ineligible audiences
- (ii) A written self-certification that any materials developed with grant funds are free from copyright infringements

(ii) Financial Closeout Report

A financial closeout report, SF-425, shall be submitted electronically through DOL E-Grants no later than 90 days following completion of the grant period. For the grant ending on September 30, 2017, the electronic closeout report must be submitted no later than December 29, 2017.

(d) Documentation

Additional documentation of grant activities may be requested throughout the grant cycle. Requests may include, but are not limited to: training sign-in sheets and training evaluation results. Grantees are required to respond to the requests within the time schedule established as part of the request.

(7) Work Plan Quarterly Projections

For training and other quantifiable activities, estimate how many activities (number of advisory committee meetings, classes to be conducted, workers and/or employers to be trained (*select one number, not a range of numbers, e.g. 500 rather than 300 – 600*), trainee training contact hours to be provided, evaluation activities, unique Web site hits for training materials etc.) will be accomplished each quarter of the grant (grant quarters match calendar quarters, i.e., January to March, April to June). Quarterly projections should include all activities related to developing, evaluating, validating and translating newly developed training materials, or researching and identifying existing training materials to be used. Provide the work plan activity totals for the grant year and substantiate the methodology used to develop the projections.

Grantees are accountable for accomplishing the activities listed in the work plans and meeting quarterly projections. Quarterly projections are used to measure actual performance against the work plan and are reported to the Secretary of Labor at the end of each quarter. Organizations selected for funding may be asked to establish monthly milestones and submit them to the Regional Office.

If the work plan includes a train-the-trainer program, estimate the number of individuals to be trained during the grant period in second tier training by those who received the train-the-trainer training (*select one number, not a range of numbers, e.g. 500 rather than 300 – 600*), and estimate the planned trainee training contact hours. To count second tier training numbers, the organization must formally follow-up with the trainers during the grant project performance period to obtain their training documentation records.

## **H. Attachments**

Attachments to the application include other relevant organizational experiences, information on prior government grants, resumes of key personnel and/or position descriptions, and signed letters of commitment to the project. Limit the number of attachments to essential documents only, with a maximum of 20 pages. Budget information, as required in the following section, does not count toward the attachment page total. Acceptable formats for document attachments submitted as a part of a Grants.gov grant application include Microsoft Office, or Adobe Reader (PDF) format.

## **I. Budget Information**

Applicants must include the following required grant project budget information.

### **1. Budget Information form (SF-424A)**

The budget must provide information on the 12-month project performance period, allocated into the itemized cost categories and shown as either a program or administrative cost (described in Appendix A.)

### **2. Detailed Project Budget**

A Detailed Project Budget Support and Narrative must clearly detail the costs of performing all of the requirements of this funding opportunity announcement. The detailed project budget must support the costs shown on the SF-424A, Budget Information Form and support the break out the costs for the 12-month project performance period. Applicants should plan for a funding level based on funds needed to perform work plan and administrative activities for the 12-month project performance period. If training or professional development for staff is proposed, the detailed project budget must explain the purpose of the planned training. Only staff or professional development trainings taken expressly for the purpose of providing Harwood training to workers is allowable, as outlined in Section VI.6.b). The applicant's funding level is not to exceed 90% of the FY 2015 grant award for the 12-month project performance period, as specified in Section III.

The Detailed Project Budget Support and Narrative must break out administrative costs separately from programmatic costs for both federal and non-federal funds. Administrative costs include the direct costs of personnel who support the management and administration of the project, but do not provide direct services to the program (e.g., Authorizing and Financial Representative, administrative assistants). Travel costs to attend the OSHA required meetings, supplies and materials needed to complete administrative tasks, and costs to meet the reporting and closeout requirements as described in Section V.G.2.b)(6)(c) are also administrative costs. Indirect costs are additional administrative costs that are allocated from a cost pool that has been approved by a federal cognizant agency and supported with a copy of a current approved Indirect Cost Rate Agreement. Total administrative costs cannot exceed 25% of the total grant budget (federal and non-federal funding). Examples of administrative and program costs are identified in Appendix A, Administrative and Program Cost Information. The project budget narrative should clearly demonstrate the total amount and distribution of funds is sufficient to cover the cost of all major project activities (Section V.G.2.) identified by the applicant in its proposal, and must comply with federal cost principles that can be found in the Uniform Guidance, 2 CFR 200 and 2 CFR 2900.

Applicants are reminded to budget for compliance with the administrative requirements set forth. Copies of all regulations that are referenced in this funding opportunity announcement are available online at no cost at [http://www.osha.gov/dte/sharwood/grant\\_requirements.html](http://www.osha.gov/dte/sharwood/grant_requirements.html). This may also include activities such as a financial audit, if required; project closeout; document preparation (e.g., quarterly progress reports, project documents); and ensuring compliance with procurement and property standards.

Capacity Building Developmental Follow-on grantees must also include a summary of grant funds requested for each eligible follow-on year. A Capacity Building Developmental grantee is eligible for up to three follow-on years subject to satisfactory performance and annual appropriations.

### 3. Indirect Cost Allocation Agreement

If indirect costs are included as part of the program budget, a current Indirect Cost Rate Agreement approved by a federal cognizant agency must be included with the application. If the organization does not have a current approved agreement, indirect cost may be estimated on the application. If the organization is awarded a grant, proof of an approved Indirect Cost Rate Agreement must be provided. If an effective Indirect Cost Rate Agreement cannot be obtained, indirect costs will not be allowed as a program cost. Indirect costs shall be included under the Administration section of the budget.

### 4. Non-federal Resource Contribution

Applicants who voluntarily include non-federal resource contributions in their application must provide a description of the value of the resource contributions and the source of funds or resources. The use of the non-federal resource contributions must be consistent with the goals and objectives of the Susan Harwood Training

Grant Program and are subject to the same criteria for allowability as are program costs paid with federal funds.

5. Evidence of Non-Profit Status

All applicants must be a non-profit organization at the time of application submission and include current evidence of non-profit status from the Internal Revenue Service (IRS) or state. An applicant can show it is a nonprofit organization through any of the following means:

- (1) Proof that the Internal Revenue Service currently recognizes the applicant as tax exempt under the Internal Revenue Code, 26 U.S.C. § 501(c)(3);
- (2) A statement from a State taxing body or the State Secretary of State certifying that:
  - i. The organization is a nonprofit organization operating within the State; and
  - ii. No part of its net earnings may lawfully benefit any private shareholder or individual;
- (3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or
- (4) Any item described in paragraphs (1) through (3) of this section, if that item applies to a State or national parent organization, together with a statement by the State or national parent organization that the applicant is a local nonprofit affiliate of the organization.

Indian tribes and other tribal organizations can submit equivalent documentation to show evidence of non-profit status. This does not apply to state and local government-supported institutions of higher education.

6. Funding Allocations, Restrictions, and Guidelines

a) Allowable Costs

Grant funds may be spent on the following:

- Conducting a needs assessment
- Developing and/or purchasing training materials for use in training
- Conducting training
- Conducting other activities that reach and inform workers and/or employers about workplace occupational safety and health hazards and hazard abatement
- Conducting outreach and recruiting activities to increase the number of workers and/or employers participating in the program

b) Funding Restrictions

Grant funds may not be used for the following activities under the terms of the grant program.

- Any activity that is inconsistent with the goals and objectives of the OSH Act of 1970



- Activities for the benefit of state and local government employees unless the employees have occupational safety and health responsibilities, examples of such responsibilities include occupational safety and health training; safety and health program management; membership on an employer, union or joint safety and health committee; and responsibilities for abatement of unsafe and unhealthful working conditions
- Program activities predominately involving self-employed workers or workplaces that are largely precluded from enforcement action by OSHA under section 4(b)(1) of the Act, codified at 29 U.S.C. 653(b)(1)
- Training on topics that do not cover the recognition and prevention of unsafe or unhealthy working conditions, examples of unallowable topics include workers' compensation, first aid, and publication of materials prejudicial to labor or management
- Assisting workers in arbitration cases or other actions against employers, or assisting workers and/or employers in the prosecution of claims against federal, state or local governments
- Duplicating services offered by OSHA, a state under an OSHA-approved State Plan, or consultation programs provided by state designated agencies under section 21(d) of the OSH Act, codified at 29 U.S.C. 670(d)(1)
- Conducting any of the OSHA Outreach Training Program courses
- Conducting courses that are presented by the OSHA Training Institute or its OSHA Training Institute Education Centers
- Providing staff development training to grantee employees or contractors unless it is expressly for the purposes of providing Harwood training to workers
- Conducting or providing training through any pre-existing, proprietary, or industry training or certification programs
- Generating membership in the grantee's and/or partner's organization, including activities to acquaint nonmembers with the benefits of membership, inclusion of membership appeals in materials produced with grant funds, and membership drives
- Reimbursing the cost of lost-time wages paid to trainees while attending grant-funded training
- Providing any compensation or stipends to trainees prior to, during, or after attending grant-funded training for any grant related activities
- Providing food and beverages
- Exceeding 25% of the total grant budget for direct and indirect administrative costs
- Duplicating services of other federal and/or state agencies
- Proposing training required by other federal and/or state agencies

While the activities described above may be part of an organization's regular programs, the costs of these activities cannot be paid for by grant funds, whether the funds are from non-federal matching resources or from the federally funded portion of the grant.

All proposed costs must be necessary, reasonable, and in accordance with federal guidelines. Determinations of allowable costs will be made in accordance with the Cost Principles found in the Uniform Guidance 2 CFR 200 and in 2 CFR 2900. Disallowed costs are those charges to a grant that the grantor agency or its representative determines to not be allowed in accordance with the applicable federal cost principles or other conditions contained in the grant.

No applicant at any time will be entitled to reimbursement of pre-award costs.

c) Funding Guidelines

(1) Cost per Trainee and Training Hour

The cost per trainee must be less than \$500 and the cost per training hour must not exceed \$125. Estimates for cost per trainee and cost per training hour should be clearly identified in the grant application. Calculations should be based on the total projected number trained and total contact hours as presented in the applicants work plan (Section V.G.2.b)(4)(h)). Please use the following formulas to calculate these costs:

*Cost per trainee = total grant cost (include federal and non-federal) / the total projected number trained*

*Cost per training hour = total grant cost (include federal and non-federal) / the total projected number of contact hours for all training*

(2) Equipment

The intent of the Susan Harwood Training Grant Program is to provide training and/or training products that support additional training. Budgeting for equipment should be minimal and supported with a justification as to how the equipment will support the program. Capital equipment purchases will not be considered under this funding opportunity. Capital equipment has a useful life of more than one year, exceeds the threshold of \$5000, and may be depreciation for tax purposes.

d) Subcontracting Opportunities

In keeping with the policies outlined in Executive Orders 13256, 12928, 13230, and 13021 as amended, the grantee is strongly encouraged to provide subcontracting opportunities to Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.

**J. Submission Date and Time**

1. Deadline Date

The deadline for receipt of applications is Tuesday, June 28, 2016. Applications must be received by 11:59 p.m., ET, on the closing date at <http://www.grants.gov>. Any application received after the deadline will not be accepted.

OSHA strongly encourages organizations to submit the grant application in sufficient time to ensure that the application has been received and successfully validated by Grants.gov by the application deadline.

## 2. Electronic Submission of Applications

Applications for Susan Harwood grants under this funding opportunity announcement must be submitted electronically using the government-wide Grants.gov Apply site at: <http://www.grants.gov>. Through this site, organizations will be able to download a copy of the application package, complete it offline, and then upload and submit the full application. Acceptable formats for document attachments submitted as a part of a Grants.gov grant application include Microsoft Office and the Adobe Reader (PDF) format. The Susan Harwood grant application package at: <http://www.grants.gov> contains a menu of “Mandatory Documents” that must be completed and submitted online. The menu of “Mandatory Documents” can only be located after opening the grant package. Applications sent by mail or other delivery services, email, telegram, or facsimile (FAX) will not be accepted. Applications that do not meet all of the conditions set forth in this notice may be considered non-viable and may not be given further consideration as specified in Section IV.E.

For applicants with prior experience using Grants.gov, registration must be accurate and up-to-date in Grants.gov and with the System for Award Management (SAM) prior to submitting an application. If the organization is already registered with Grants.gov and there have been any changes to the organization users, such as the E-Biz POC or AORs, please be sure the necessary updates are made with Grants.gov to prevent a delay in submission of the electronic application. Please note that registered organizations must also renew with SAM at least every 12 months and ensure the information is kept current. This process takes a minimum of five days to complete. This additional time should be factored into an applicant’s plans for electronic application submission to avoid unexpected delays that could result in the rejection of the application.

The Grants.gov Web site has several tools and documents available online to assist organizations with the Grants.gov process. Further information is available from the Applicant Resources section at: <http://www.grants.gov/web/grants/applicants/applicant-resources.html>. Applicants are strongly encouraged to review the Grants.gov user guide. The link to the guide is located under “Applicant Resources,” just click on Grants.gov Applicant User Guide (pdf). An Organization Registration Checklist is also available in the Applicant Resources section.

Authorized Organization Representative (AOR) Authorization. Prior to submitting grant application packages, representatives of the organization need to register to submit on behalf of the organization. The organization’s E-Business Point of Contact (E-Biz POC), identified during the System for Award Management (SAM) registration process must authorize someone to become an AOR. This safeguards the organization from individuals who may attempt to submit grant application packages without permission. Only one E-Biz POC is assigned for each of an organization’s DUNS number. If the organization only has one DUNS number, then there will be only one E-Biz POC for the organization.

NOTE: In some organizations, a person may serve as both an E-Biz POC and an AOR. In this case the same individual will need to perform the step of approving

themselves as an AOR. E-Biz POC's who want to submit applications through Grants.gov, will need to register with Grants.gov as an AOR, using an alternate email than the one used in correlation with the E-Biz POC, to authorize themselves as an AOR. After an AOR registers with Grants.gov, the E-Biz POC will have to approve the individual who registered as the AOR.

An application submitted through Grants.gov constitutes a submission as an electronically signed application. The registration and account creation with Grants.gov, with E-Biz POC approval, establishes an AOR. When an application is submitted through Grants.gov, the name of the AOR on file will be inserted into the signature line of the application. **You must register the individual who is able to make legally binding commitments for your organization as the AOR; this step is often missed and it is crucial for valid submissions.**

If there are questions regarding the process for updating the organization users or submitting the application through Grants.gov, or problems are experienced with electronic submissions, contact the Grants Program Management Office via one of the methods below:

1. Email: support@grants.gov
2. Telephone the Grants.gov Contact Center Phone: 1-800-518-4726. The Contact Center is open 24 hours a day, 7 days a week except on federal holidays.
3. When contacting the Grants Program Management Office, the following information will help expedite the inquiry:
  - Funding Opportunity Number (FON)
  - Name of Agency to which the Organization is Applying
  - Specific Area of Concern

If applying online poses a hardship, applicants must contact the OSHA Directorate of Training and Education office listed in the announcement at least four weeks prior to the application deadline date of 11:59 p.m. ET, Tuesday, June 28, 2016, to speak to a representative who can provide assistance to ensure applications are submitted online by the closing date. Requests for extensions to the grant application deadline will not be granted.

**Applicants are limited to using the following characters in all attachment file names: A-Z, a-z, 0-9, underscore (\_), hyphen (-), parenthesis (), curly brackets ({}), square brackets ([]), tilde (~), exclamation point (!), comma (,), dollar sign (\$), percent sign (%), plus sign (+), equal sign (=), space, and period. File attachment names should be no longer than 50 characters to avoid submission and processing errors.**

**While Grants.gov may accept more characters, DOL E-Grants will not accept characters other than what is listed. Use the appropriate characters to ensure that OSHA staff can view the file attachments.**

3. Confirmation of Grant Application Receipt from Grants.gov
  - a) Once the grant application has been submitted through the Grants.gov system it will be processed. Electronically-submitted applications must be received at Grants.gov by 11:59 p.m., ET, on the due date. Any application received after the deadline will not be accepted. Once the submission has been processed, Grants.gov will send email messages advising of the progress of the application through the system. Applicants are strongly encouraged to utilize the “Track My Application” link that the Grants.gov system will provide in its email message to monitor the processing status of the grant application within the Grants.gov system.
  - b) Within 24 to 48 hours of the submission, applicants should receive two emails.
    - (1) The first email will acknowledge submission of the application by the Grants.gov system.
    - (2) The second email will indicate one of the following:
      - (a) “Received by Agency” – this means the application was successfully validated by the system prior to transmission.
      - (b) “Rejected with Errors” – this means the application contained errors and was rejected by Grants.gov.
        - o Organizations whose application was rejected due to a technical or system issue such as a file naming convention, will be given 72 hours to address the issue and resubmit the application.
        - o Organizations whose application was rejected due to an unapproved Authorized Organization Representative (AOR), or because the organization does not have a current registration with System of Award Management (SAM), will be considered non-viable and will not be given further consideration as outlined in Section IV.E.

#### **K. Intergovernmental Review**

The Susan Harwood Training Grant Program is not subject to Executive Order 12372 Intergovernmental Review of Federal Programs.

### **VI. APPLICATION REVIEW INFORMATION**

Grant applications will be reviewed by OSHA staff. Past grant performance will be considered during the review process. OSHA Regional personnel will review all applications to determine whether all required proposal elements are present and clearly identifiable. The application should clearly link work completed during the initial and any follow-on Capacity Building years to the proposed FY 2016 work plan.

Applicants may be requested to clarify or provide additional supporting information during the Regional personnel review period. The results of the grant reviews will be presented to

the Assistant Secretary of OSHA, who will make the selection of organizations to be awarded grants. The Assistant Secretary determination for award under this funding opportunity announcement is final.

## **VII. AWARD NOTIFICATION INFORMATION**

Organizations selected as grant recipients will be notified by a representative of the Assistant Secretary, no later than September 30, 2016. An applicant whose proposal is not selected will be notified in writing.

Notice that an organization has been selected as a grant recipient does not constitute approval of the grant application as submitted. Before the actual grant award, OSHA will enter into negotiations concerning such items as program components, staffing and funding levels, and administrative systems. If the negotiations do not result in an acceptable submittal, the Assistant Secretary reserves the right to terminate the negotiation and decline to fund the proposal. The applicant is encouraged to provide requested revisions to their application by September 30, 2016, but no later than October 15, 2016.

The government may elect to award the grant(s) with or without negotiations with the applicant. Should a grant be awarded without negotiations, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <http://www.grants.gov>, which constitutes a binding offer by the applicant.

NOTE: Except as specifically provided, OSHA's acceptance of a proposal and an award of federal funds to sponsor any program(s) does not provide a waiver of any grant requirement or procedures. For example, if an application identifies a specific sub-contractor to provide services, but does not provide the justification or basis to sole-source, costs associated with this cost may not be allowed.

## **VIII. POST AWARD ADMINISTRATIVE NATIONAL POLICY REQUIREMENTS**

### **A. Applicable Federal Laws**

All grantees, including faith-based organizations, will be subject to applicable federal laws and regulations (including provisions of appropriations law) and the applicable OMB Uniform Guidance. Grantees are required to cooperate with all federal, state, and local requirements. The grant award(s) awarded under this funding opportunity announcement will be subject to the following administrative standards and provisions, as applicable to the particular grantee:

1. 29 CFR 2, Subpart D, new equal treatment regulations
2. 29 CFR Parts 31, 32, 35 and 36 as applicable
3. 29 CFR 93, restrictions on lobbying
4. 2 CFR 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Uniform Guidance), which covers grant

- requirements for nonprofit organizations, including universities and hospitals. (<http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf>)
5. 2 CFR 2900, Department of Labor exceptions to the OMB Uniform Guidance. (<http://www.gpo.gov/fdsys/pkg/FR-2014-12-19/pdf/2014-28697.pdf>)
  6. General Terms and Conditions of Award – See the following link: [http://www.osha.gov/dte/sharwood/grant\\_requirements.html](http://www.osha.gov/dte/sharwood/grant_requirements.html)
  7. Federal Funding Accountability and Transparency Act of 2006 or Transparency Act – Public Law 109-282, as amended by section 6202(a) of Public Law 110-252 (31 U.S.C. 6101). (<http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>)
  8. 2 CFR 25, Financial Assistance Use of Universal Identifier. (<http://edocket.access.gpo.gov/2010/pdf/2010-22706.pdf>)
  9. 2 CFR 170, Reporting Subaward and Executive Compensation Information.

#### **B. Reporting**

Grantees are required by Departmental regulations to submit program and financial reports each calendar quarter. All quarterly reports are due no later than 30 days after the end of the fiscal quarter. In addition, grantees are required to submit grant program and financial closeout reports within 90 days after the grant termination or expiration date. Detailed information on the report requirements are included in Section V.G.2.b)(6).

#### **C. Grant Produced Training Materials**

OSHA has a lending program that circulates grant-produced audiovisual materials. Audiovisual materials produced by the grantee as a part of its grant program may be included in this lending program. Two copies of all final product materials produced by grantees must be provided to OSHA in bound and clearly labeled hard copies as well as two copies in a digital format (CD Rom/DVD/flash drive), per Section V.G.2.b)(2)(f) for possible publication on the Internet by OSHA. All final product materials must be submitted following guidelines established in Appendix B, Procedures for Submitting Electronic Copies of Grant-Funded Materials.

As stated in 2 CFR 200.315, DOL reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use for federal purposes any work produced under a grant, and to authorize others to do so. Applicants should note that grantees must agree to provide DOL a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use for federal purposes all products developed, or for which ownership was purchased, under an award including, but not limited to, curricula, training models, technical assistance products, and any related materials, and to authorize the others to do so. Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronic or otherwise.

#### **D. Public Reference to Grant**

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with federal money, all grantees receiving federal funds must clearly state:

- the percentage of the total costs of the program or project that will be financed with federal money;
- the dollar amount of federal financial assistance for the project or program; and
- the percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

Use of the Department of Labor (DOL) or OSHA Logo

Neither the DOL nor OSHA logo may be applied to any grant products developed with grant funds.



## **Appendix A – Administrative and Program Cost Information**

As described in the funding opportunity announcement (FOA), the Detailed Project Budget must break out administrative costs separately from programmatic costs for both federal and non-federal funds. Administrative costs include direct and indirect costs. Indirect costs are from the costs pool and the cost of activities, materials, meeting closeout requirements, and personnel (e.g., administrative assistants) who support the management and administration of the project, but do not provide direct services to project beneficiaries. Indirect cost charges, which are considered administrative costs, must be supported with a copy of a current approved Indirect Cost Rate Agreement. The total direct and indirect administrative costs allocated to the program may not exceed 25% of the total grant budget (federal and non-federal funding).

### **ADMINISTRATIVE COSTS**

1. General administrative functions and coordination of functions:
  - accounting
  - audits
  - budgeting
  - financial and cash management
  - general legal services functions
  - payroll functions
  - personnel management
  - procurement
  - property management
  - purchasing
  - report preparation
  - review resolution
  - development of systems and procedures for administrative functions
  
2. Costs of goods and services required for administrative functions of the program, including goods and services such as:
  - advertising and outreach services targeted to the general public
  - internet services
  - office supplies
  - postage
  - rental and maintenance of office space
  - rental/leasing and maintenance of equipment (copiers, printers, etc.)
  - utilities

3. Travel costs incurred for official business in carrying out administrative activities or the overall management of the grant.
4. The purchase, systems development, and operating costs of information systems related to administrative functions. Examples:
  - personnel
  - procurement
  - purchasing
  - property management
  - accounting and payroll systems
5. The portion of awards to subrecipients or vendors that is for the performance of administrative functions.

#### PROGRAM COSTS

1. All costs incurred directly for functions and training activities including salaries for personnel providing direct training to workers and employers.
2. The purchase, systems development, and operating costs (e.g. data entry costs) of the following information systems are charged as a program cost:
  - Tracking or monitoring of participant information including basic worker information, employer information, and other statistical information relevant to program evaluations
  - Performance and program cost information on training services and activities
3. Costs of goods and services required for direct program functions, including goods and services such as:
  - advertising and outreach services specific to recruiting the target audience to attend training
  - training supplies, including local reproduction
  - rental or purchase of training equipment
  - rental and maintenance of training space
4. Travel costs incurred for official business in carrying out training activities.
5. The portion of awards to subrecipients or vendors that is for the performance of program functions.
6. The portion of indirect costs determined as a proportionate share of the indirect costs in the indirect cost pool which are the costs of program functions, not administrative functions (see indirect costs below).

## SHARED ADMINISTRATIVE AND PROGRAM COSTS

Personnel and related non-personnel costs of staff that perform both administrative functions and programmatic services are to be allocated as administrative costs or program to the benefitting cost objectives/categories based on documented distributions of actual time worked and other equitable cost allocation methods.

## INDIRECT COSTS

As specified in the Uniform Guidance 2 CFR 200, indirect costs are those that have been incurred for common or joint purpose benefitting more than one cost objective and not be readily assignable with a particular final cost objective. An indirect cost rate is required when an organization operates under more than one grant or other activity, whether federally-assisted or not.

1. Indirect costs represent the expenses of doing business that are not readily identified with a particular grant, contract, project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs.
2. An indirect cost rate is a mechanism for determining fairly and conveniently within the boundaries of sound administrative principle, what proportions of organization administration costs each program should bear.
3. Indirect costs are only allowable with an approved Indirect Cost Rate Agreement (ICRA). ICRA's are negotiated and approved by the cognizant federal agency. An agreement from any federal agency is applicable to all federal grant programs. The ICRA will include a rate (percentage) and a base. The allowable amount of indirect costs is simply the rate times the base. Rates and bases depend on the size and number of cost pools, and organization structure.

## Appendix B – Procedures for Submitting Electronic Copies of Grant-Funded Materials

As described in the funding opportunity announcement (FOA), any materials (training, marketing, etc.) distributed during the grant period are required to be reviewed by OSHA. In addition, electronic and paper copies are required to be submitted by the end of the grant period. The purpose of the electronic copies is to be able to share the materials to the general public via the OSHA Web site. These instructions were developed to standardize submittal procedures for the grant-funded training materials.

1. Material Requirements. When submitting grant-funded training materials make a note of the following:
  - a. The word “draft” must not appear on any materials (print or electronic) submitted to OSHA as the final version. If the materials were produced in a non-English language, a final English version must also be submitted.
  - b. Training materials must be generic and appropriate for all audiences. References to training of specific groups, members of a group, or individuals should not be included in the final submittal. This includes personal information such as the instructor names, addresses, cell phone numbers, email addresses, etc.
  - c. Promotional materials can include the grantee organizational information including phone numbers, email addresses, etc.
  - d. If a test is included ensure that the test and test answers are provided.
  - e. In all circumstances, all approved grant-funded materials developed by a grantee shall contain the following disclaimer:

*This material was produced under grant number \_\_\_\_\_ from the Occupational Safety and Health Administration, U.S. Department of Labor. It does not necessarily reflect the views or policies of the U.S. Department of Labor, nor does mention of trade names, commercial products, or organizations imply endorsement by the U.S. Government.*

Applicants using previously approved Susan Harwood training materials should retain the original grant number in the disclaimer. If revisions are made to the materials, OSHA must approve the revisions. Once OSHA approves the revisions, the applicant may add a sentence after the disclaimer stating that the materials were revised under the applicant’s grant number.

2. Required Programs: Grant-funded training materials must be provided in a format that is widely accessible to the public. Microsoft Office 2003, 2007, or 2010 formats, as indicated below, meet this requirement. Currently there is no preferred program for providing media files.
  - a. Word Files: Manuals and other print materials must be submitted as Word 2003, 2007 or 2010 documents.
  - b. PowerPoint Files:
    - i. Must be submitted as .ppt or .pptx files. “Show” format is not acceptable.
    - ii. Photographs and other images must be compressed in JPEG format.

- iii. If the presentation includes linked or embedded audio or video files, two copies of the presentation must be provided. One copy must not contain any linked or embedded files.
  - iv. Presenter notes or a transcript of the presenter notes must be included.
  - c. Media Files (Only for online courses): Must be ADA compliant.
    - i. Images such as photographs must have descriptive captions.
    - ii. Audio files must have transcripts.
    - iii. Video files must be captioned and have transcripts.
3. Submitting Materials. All grant-funded training materials must be submitted in both print and electronic format. Review the FOA for the appropriate number of copies that are required to be submitted. Please note the following:
- a. A list of materials being submitted by the grantee should be provided.
  - b. Printed documents must be submitted in a bound format, for example spiral-bound or 3-ring binder.
  - c. Produced materials that are not practical for mailing, banners, etc. should be photographed and photo included with the submitted materials.
  - d. All electronic files of grant-funded materials must be test-based. Electronic files are restricted to those smaller than 15MB. This may require the grantee to split files.
  - e. The CD, DVD or USB flash drive must be clearly labeled with the grantee's organization and the grant number (SH-XXXXX-SHX), where XXXXX is the 5-digit grant number and the last X is the last digit of the fiscal year for which the grant was awarded.
  - f. The electronic files on the CD, DVD or USB flash drive must be clearly labeled by type of material (examples):
    - i. Instructor Manual
    - ii. Student Manual
    - iii. Pre-Test
    - iv. Post-Test
    - v. Evaluation Form
  - g. Check the CD, DVD or USB flash drive before sending to ensure that all of the files will open.
  - h. Check the CD, DVD or USB flash drive before sending to ensure that all grant-funded materials are included.
  - i. Files should be provided in a readily usable format. Therefore, files must not be password protected, "read only" format, or encrypted.

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**Authority:** Section 21 of the Occupational Safety and Health Act of 1970. (29 U.S.C. 670), Public Law 111-117, and Public Law 112-10.

**OMB Approval No.:** 1225-0086

**Expiration Date:** 05/31/2019

**OFFICE OF MANAGEMENT AND BUDGET INFORMATION COLLECTION  
REQUIREMENTS.**

This FOA requests information from applicants. This collection of information is approved under OMB Control No. 1225-0086 (Expires 05/31/2019).

In accordance with the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for the grant application is estimated to average 56 hours per response, for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor-OASAM, Office of the Chief Information Officer, Attn: Departmental Information Compliance Management Program, Room N1301, 200 Constitution Avenue NW., Washington, DC 20210; or by email: DOL\_PRA\_PUBLIC@dol.gov. A copy of your comments may be sent electronically to the Susan Harwood Grant Coordinator at [HarwoodGrants@dol.gov](mailto:HarwoodGrants@dol.gov), or by mail to Susan Harwood Grant Coordinator, 2020 S. Arlington Heights Road, Arlington Heights, Illinois 60005.

This information is being collected for the purpose of awarding a grant. Unless otherwise specifically noted in this announcement, information submitted in the respondent's application is not considered to be confidential.

**Billing Code 4510-26-P**