DEPARTMENT OF LABOR

Occupational Safety and Health Administration

Susan Harwood Training Grant Program, FY 2014

AGENCY: Occupational Safety and Health Administration, Labor

ACTION: Notice of availability of funds and solicitation for grant applications (SGA) for Targeted Topic Training and Targeted Topic Training and Educational Materials Development grants

FUNDING OPPORTUNITY NO.: SHTG-FY-14-01

CATALOG OF FEDERAL DOMESTIC ASSISTANCE NO.:   17.502

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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. Additionally, state or local government-supported institutions of higher education are eligible to apply in accordance with 29 CFR Part 95. Grants are awarded to provide training and education programs for workers and employers on the recognition, avoidance, abatement, and prevention of safety and health hazards in the workplace, and to inform workers of their rights and employers of their responsibilities under Section 21 of the Occupational Safety and Health Act (OSH Act).

This notice announces availability of approximately $3.5 million for Susan Harwood Training Grant Program grants under the following categories: Targeted Topic Training and Targeted Topic Training and Educational Materials Development grants. DOL expects to award multiple grants. For a full description of each of these grant categories and their respective application components see Section B..

All information and forms needed to apply for this funding opportunity are published as part of this solicitation for grant applications and are available on the http://www.grants.gov Web site (hereinafter "Grants.gov").

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. 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.

For applicants using Grants.gov for the first time, it is strongly recommended that the organization immediately follow steps to "Register as an Organization" with Grants.gov at http://www.grants.gov/web/grants/applicants/organization-registration.html. The registration process generally takes between three to five business days but may be as long as four weeks if all steps are not completed in a timely manner. This process must be factored into the applicant's plans for electronic application submission to avoid delays that could result in the rejection of the application.

DATES: Grant applications must be received electronically by the Grants.gov Web site no later than 11:59 p.m., ET, on Monday, June 30, 2014, the application deadline date.

OSHA will offer a pre-application Webinar for all parties interested in applying for this grant opportunity. This pre-application Webinar is intended to provide prospective applicants with an overview of this program announcement. Instructions on how to access the pre-application Webinar and submit questions regarding this solicitation will be provided as an attachment to the Grants.gov landing page for this solicitation.

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., ET, on Monday, June 30, 2014, 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 I..

FOR FURTHER INFORMATION CONTACT: Questions regarding this solicitation for grant applications should be emailed to HarwoodGrants@dol.gov or directed to Heather Wanderski, Program Analyst, or Jim Barnes, 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 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. <u>Overview of the Susan Harwood Training Grant Program</u>

The Susan Harwood Training Grant Program provides funds for non-profit organizations to develop training materials and train workers and/or employers to recognize, avoid, 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)

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 requirements of new OSHA standards.

5. Training at-risk and/or low-literacy worker populations. This includes temporary 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 Solicitation

Under this solicitation for grant applications, OSHA will accept applications for Targeted Topic grants. Two grant categories are being announced under this solicitation.

1. Targeted Topic Training

    The emphasis for applications submitted for Targeted Topic Training grants should be on developing and conducting quality training for multiple employers and/or their workers, and the development of quality safety and health training and educational materials addressing safety and health hazards associated with one of the OSHA selected training topics listed in Section F.c). Technical assistance may be proposed in addition to the training. The proposal may include training which occurs in a single or limited number of events during the 12-month performance period.

2. Targeted Topic Training and Educational Materials Development

    Applicants for the Targeted Topic Training and Educational Materials Development grant category are expected to develop, evaluate, and validate classroom quality training and educational materials for one of the audiences listed in Section II.C.., and on an OSHA-selected training topic as listed in Section F.c). The purpose is to produce quality training materials and educational materials that fill an unmet need and that have broad applicability. OSHA requires training materials to be pilot-tested for evaluation and validation purposes. To that extent, Targeted Topic Training and Educational Materials Development grantees must propose to conduct limited training in the work plan, but it should not be a significant element.

C. Target Audience and Language

1. Training materials developed and/or training conducted must serve multiple employers.

2. Training materials developed and/or training conducted must serve multiple employers 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

3. Training must be conducted in both a language and vocabulary that the participants can understand.

4. Special consideration will be given to grant proposals that include training materials and training programs for limited English proficiency workers.

III. PROJECT PERIOD AND MAXIMUM FUNDING LEVELS PER GRANT CATEGORIES

A. <u>Length of Project Periods</u>

All grants in this solicitation will be awarded for a 12-month project performance period. The 12-month project period for these grants begins no later than September 30, 2014. There is approximately $3.5 million in funding that will be available under this solicitation for FY 2014 Susan Harwood Training Grants.

B. <u>Targeted Topic Training</u>

The maximum funding level is not to exceed $140,000 per 12-month project performance period. Applicants are strongly encouraged to submit proposals that do not exceed the maximum funding level. Based on satisfactory performance, Targeted Topic Training grants may be eligible for one additional 12-month follow-on grant.

C. <u>Targeted Topic Training and Educational Materials Development</u>

The maximum funding level is not to exceed $50,000 per 12-month project performance period. Applicants are strongly encouraged to submit proposals that do not exceed the maximum funding level. Targeted Topic Training and Educational Materials Development grants will not be eligible for an additional 12-month follow-on grant.

IV. PROGRAM COMPONENTS

The application will have varying submittal requirements, based on the applicant's grant category, and should propose different grant activities, as outlined in Section VI..

V. ELIGIBILITY INFORMATION

A. <u>Eligible Applicants</u>

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. Additionally, state or local government supported institutions of higher education are eligible to apply in accordance with 29 CFR Part 95. Eligible organizations can apply independently for funding. For partnerships, each separate organization will be considered a prime grantee, but one organization must be designated as the lead organization for purposes of liaison with DOL and for receiving and disbursing funds. Sub-grants are not authorized. Subcontracts, if any, must be awarded in accordance with 29 CFR 95.40-48, as well as Office of Management and Budget (OMB) circulars which require full and open competition for procurement transactions to the maximum extent practicable.

A 501(c)(4) nonprofit organization, as described in 26 U.S.C. 501(c)(4), that engages in lobbying activities will not be eligible for the receipt of federal funds constituting an award, grant or loan. See 2 U.S.C. 1611.

Applicants other than state or local government supported institutions of higher education will be required to submit evidence of nonprofit status, as outlined in Section VI.6..

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 E.. and selected information from the SF-424 for all applications on the Department's public Web site, http://www.dol.gov/dol/grants/. Additionally, DOL will publish a version of the Technical Proposal required by Section F.., 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. The 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 the organization 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.[1]

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 <u>waiver</u> 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

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[1] 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.

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 the Technical Proposals, 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 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. (Note that the original, unredacted 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 (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, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its redacted copy.

E. **Non-Viable Applications**

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

- Applications are required to be submitted electronically through Grants.gov as specified in Section VI.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 VI.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 pass the checks and validations at Grants.gov as specified in Section VI.3.. Applications that fail the checks and validations at 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 VI.6.. Applications that do not provide proof of nonprofit status will be considered non-viable and will not be given further consideration.

- Applications must contain all of the required forms and documents identified in Appendix A, Application Checklist. Applications that do not contain all of the required forms and documents will be considered non-viable and will not be given further consideration.

- Applications must propose training based on one of the identified OSHA selected topics in this solicitation as outlined in Section F.c). Applications that propose training that does not align with one of the identified OSHA selected topics will be considered non-viable and will not be given further consideration.

- Applications that contain a train-the-trainer component must also plan to have the new "trainers" conduct second tier training to workers as specified in Section F.b)(e). The trainers trained must subsequently provide training directly to workers (second tier). Applications that contain a train-the-trainer component, but do not

outline a plan to conduct second tier training directly to **workers**, will be considered non-viable and will not be given further consideration.

F. <u>Other Eligibility Requirements</u>

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 solicitation for grant applications.

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. DOL 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 DOL 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. <u>Special Program Requirements</u>

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.

VI. APPLICATION AND SUBMISSION INFORMATION

All information needed to apply for this funding opportunity is referenced as part of this solicitation, and all forms are available on the Grants.gov Web site. Applicants must limit the application to one submittal per grant category: Targeted Topic Training or Targeted Topic Training and Educational Materials Development. If an organization submits multiple applications for a grant category, only the last application received through Grants.gov will be reviewed.

Organizations will only be awarded one Susan Harwood grant per fiscal year:

- Capacity Building Development;

- Capacity Building Pilot;

- Targeted Topic Training; or

- Targeted Topic Training and Educational Material Development.

OSHA encourages the training of different workers each year. If an organization is awarded a grant for a third consecutive year 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 two years.

An organization can operate no more than one grant in any given fiscal year. A new proposal under this solicitation will not be considered if a current grantee is awarded more than a three-month no-cost time extension on an active grant.

A. **Required Content and Submission Format**

A grant application must be submitted electronically through the http://www.grants.gov Web site. The application must contain all of the required information as outlined in Appendix A, Application Checklist, to be considered responsive to this solicitation. The application must be divided into major sections and sub-sections and clearly identified. 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 application evaluation process is provided in Section B..

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. 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.

For applicants using Grants.gov for the first time, it is strongly recommended that the organization immediately follow steps to "Registering as an Organization" with Grants.gov at http://www.grants.gov/web/grants/applicants/organization-registration.html. The registration process generally takes between three to five business days but may be as long as four weeks if all steps are not completed in a timely manner. This process must be factored into the applicant's plans for electronic application submission to avoid delays that could result in rejection of the application.

B. **Formatting Requirements**

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

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 Appendix A, Application Checklist. Please use the file naming nomenclature where indicated, and the checklist title if it is not indicated. 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.

Use of any other characters when naming attachment files will result in the application being rejected.

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. **Forms, Assurances, and Certifications**

Applicants seeking financial assistance under this announcement must submit the listed Standard Forms (SFs), assurances, and certifications identified in Table 1. All required Standard Forms, assurances, and certifications must be downloaded with the application package using the Grants.gov compatible software, completed within the application package, and submitted in its entirety, unless specified otherwise.

Table 1. Forms/Assurances/Certifications

Forms/Assurances/ Certifications	Submission Requirement	Notes/Description
SF-424 - Application for Federal Assistance Form	Required for all applicants.	The individual signing the SF-424 Form on behalf of the applicant must be authorized to bind the applicant. The applicant organization is required to have a Data Universal Number System (DUNS) number from Dun and

		ABradstreet to complete this form.
SF-424A – Budget Information – Non-Construction Programs	Submission required for all applicants when applying for a non-construction project by the application due date.	A detailed description is provided in Section VI.1..
SF-424B – Assurances – Non-Construction Programs	Submission required for all applicants when applying for a non-construction project by the application due date.	Electronic signature on the Grants.gov application includes compliance with the requirements for Federal Funding Accountability and Transparency Act (2 CFR Part 170) and the Universal Identifier and System for Award Management (2 CFR Subtitle A, Chapter I and Part 25) Appendix B.
Combined Assurances Form (ED-80-0013)	Required for all applicants.	This form covers the lobbying certificate as required by Section 1352, Title 31 of the U.S. Code, 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.
Project/Performance Site Location	Required for all applicants.	Targeted Topic Training applicants should include as many site locations as known at the time of application. Targeted Topic Training and Educational Materials Development applicants should only include the location of the applying organization. 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 solicitation.

D. <u>Application Summary</u>

The Application Summary must be submitted in 8 ½" x 11" format on white paper and is not to exceed two double-spaced, 12-point font, typed pages with one-inch margins. The document file should be saved in Microsoft Word format. The file must not be locked or protected. The file name of the document should mimic the following nomenclature:

> *Organization Name* Application Summary.doc
>
> or
>
> *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 e-mail address. The Project Director is the person who will be responsible for the day-to-day operation and administration of the program. 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, mailing address if it is different from the street address, telephone and fax numbers, and e-mail address. An Authorized Representative/Certifying Representative is the official in the organization authorized to enter into grant agreements. 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 (optional). If someone other than the Authorized Representative/Certifying Representative described above will be authorized by the organization to submit and sign off on the Federal Financial Report Form (SF-425), provide the name, title, street address for overnight delivery service, mailing address if it is different from the street address, telephone and fax numbers, and e-mail address.

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 for each grant category. 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 (Section B..) for which the organization is applying: Targeted Topic Training, or Targeted Topic Training and Educational Materials Development.

7. Grant Topic. List occupational safety and health training topic(s) to be addressed by the grant. Targeted Topic Training and Targeted Topic Training and Educational Materials Development applicants should indicate an OSHA topic from Section VI.F.c).

8. Target Audience. Indicate the target audiences to be served, as listed in Section 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 list all Congressional Districts that may potentially be impacted by this proposal, including the Congressional District in which the organization resides and 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.

E. **Program Abstract**

Provide a brief abstract of the proposed grant. The program abstract must be submitted in 8 ½" x 11" format on white paper and is not to exceed one double-spaced, 12-point font, typed page with one-inch margins. The document file should be saved in Microsoft Word format. The file must not be locked or protected.   The file name of the document should mimic the following nomenclature:

> *Organization Name* Program Abstract.doc
>
> or
>
> *Organization Name* Program Abstract.docx

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

F. **Technical Proposal**

The Technical Proposal must be submitted in 8 ½" x 11" format on white paper and is not to exceed 20 double-spaced, 12-point font typed pages with one-inch margins. The document file should be saved in Microsoft Word format. The file must not be locked or protected. The file name of the document should mimic the following nomenclature:

> *Organization Name* Technical Proposal.doc
>
> or
>
> *Organization Name* Technical Proposal.docx

The document must address each section listed below as it applies to the applicants grant category.

1. Problem Statement/Need for Funds

   A problem statement should be included in each grant application. Clearly describe the following in the problem statement.

   a) Grant Category

      Please indicate the grant category for which the organization is applying: Targeted Topic Training or Targeted Topic Training and Educational Materials Development.

   b) Target Population

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

c) Topic

Targeted Topic Training and Targeted Topic Training and Educational Materials Development applicants are required to address one of the fifteen OSHA selected topics listed below. In addition, 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). Applications that address multiple target audiences (Section C..) in a high hazard or high fatality occupation may receive special consideration. The Agency may award grants for some or all of the listed topics.

(1) **Agricultural Safety and Health, including Grain Handling Operations**, covering, for example, safety and health hazards facing farmworkers and dairy workers, hazards and preventive measures for bin entry, combustible dust, and preventing dust explosions

(2) **Amputations,** preventing amputations, covering, for example, mechanical power presses, all types of power presses (hydraulic, pneumatic, etc.), as well as press brakes, saws, shears, slicers, and slitters

(3) **Chemical Hazards and/or Hazard Communication**, covering, for example, chemical exposures such as solvents, metals, silica, and isocyanates including hazard identification and means of prevention; Process Safety Management; and new requirements in the Hazard Communication Standard that align it with the Globally Harmonized System of classification and Labeling of Chemicals (GHS)

(4) **Construction Road Zones**, covering, for example, heavy vehicles, vehicle accidents, backing operations, and struck-by/caught-in/caught-between

(5) **Ergonomic Hazards**, covering, for example, best practices for preventing musculoskeletal disorders (MSD) in safe patient handling, materials handling, meatpacking, hotels, poultry processing, retail grocery stores, masonry construction, or solid waste removal

(6) **Fall Prevention in Construction**, covering, for example, ladders; roofs; scaffolds; handling, installing, and bracing trusses; steel erection; and residential construction

(7) **Fall Prevention in General Industry**, covering, for example, ladders, roofs, and scaffolds

(8) **Hair and Nail Salon Hazards**, covering, for example, chemicals used in salons, ergonomics, and biological hazards

(9)   Heat Illness Prevention, covering, for example, training on prevention of heat related illness and fatalities, including the need for acclimatization of new and returning workers

(10)   Hospitals, Nursing Homes, and Residential Care Facilities, covering, for example, safe patient handling and ergonomic hazards, bloodborne pathogens and biological hazards, chemical and drug exposures, waste anesthetic gas exposures, respiratory hazards, workplace violence, and radioactive material and x-ray hazards

(11)   Oil and Gas Production, covering, for example, worker protection in hydraulic fracturing, vehicle crashes, struck-by/caught-in/caught-between, explosions and fires, falls, confined spaces, and chemical exposures

(12)   Temporary Worker Hazards, covering, for example, hazards in construction and general industries, including training on worker rights under OSHA, training requirements of standards, and employer responsibilities under the OSH Act of both the staffing agency and host employers

(13)   Tree Care/Landscaping, covering, for example, falls from trees, aerial lifts, and ladders; struck-by buckets; electrocution; chipper safety; chainsaw safety; rollover protection; and traffic safety

(14)   Warehouse Worker Hazards, covering, for example, identifying and best practices for preventing musculoskeletal disorders (MSD), working on or around forklifts, lockout/tagout, respiratory protection, electrical safety, and hazard communication

(15)   Workplace Violence, covering for example, acts or threats of physical violence, harassment, intimidation, or other threatening disruptive behavior that occurs in the health care, prison, or retail industries

(16)   Multiple Topics

Applicants who choose to address more than one topic must:

- Include a detailed justification narrative explaining how multiple topics have been selected.
- Describe how the topics complement each other and benefit the proposed target audience.
- Describe how the combination of topics will add greater value to the training materials being developed and/or training conducted for the proposed target audience than if it was a single topic.
- Note: To avoid "double-counting," training numbers for grants with multiple topics will be counted for each time the body of training materials developed under the grant is presented to a group of students; topics will not be counted separately.

d) Training and Educational Materials

The statement should include the types of training and educational materials to be developed and/or obtained as required by the applicant's grant category. The statement should address how the proposed training and educational materials fill an unmet need and that they have a broad applicability. Applicants should not propose the development of training or educational materials that duplicate existing material. 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 VI.F.4.(1). Materials previously developed by Harwood grantees can be accessed at: 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.

2. Administrative and Program Capability of the Organization

Briefly describe the organization's functions and activities. Relate this description of functions to the organizational chart included in the application, as discussed below.

a) Organizational Experience

Describe the organizational experience of the organization including its experience with the target audience.

b) Occupational Safety and Health Experience

Describe the occupational safety and health experience of the organization. Nonprofit organizations, including community- and faith-based organizations, that do not have prior experience in safety and health may partner with an established safety and health organization to demonstrate safety and health expertise.

c) Grant Experience

If the organization is conducting, or has conducted any other government (federal, state, or local) grant programs, within the last five years, include an attachment listing information on previous grants, including the organization for which the work was done, and the dollar value of the grant. If the organization has not had previous grant experience, it may partner with an organization that has grant experience to manage the grant. If using this approach, the management organization must be identified and its grant program experience discussed. While grant experience is not required for application submission, it is highly desirable. If the applicant is a prior Susan Harwood grant awardee, special consideration will be given to those past grant awardees that completed work plans in a satisfactory and timely manner.

d) Distribution Network

Describe the organization's current relationships with the target audience and how they will be used to disseminate materials and/or provide training to the target audience. If the organization has no relationships with the target audience, describe how those relationships will be developed. Please note the recruiting plan should be described under Section VI.4.(2).

e) Program Experience of the Organization

Describe the organization's experience conducting the type of program being proposed. Include program specifics such as program titles, the type(s) of training materials developed, the number of trainee contact hours provided, and the numbers trained. Experience includes safety and health experience, training experience with adults or young workers, and programs operated specifically for the selected target population(s).

f) Evaluation of Training Activities Experience

Describe the organization's experience conducting evaluations of training activities and the levels of training evaluations conducted as it relates to the evaluations described in Section VI.4.(4).

g) Management and Internal Control Systems

The applicant organization must demonstrate it has sufficient financial management processes and internal control systems. Describe the organization's financial management process and internal systems of control.

h) Organizational Chart

The applicant must include an organizational chart of the staff that will be working on the grant and their position within the applicant organization.

3. Staff Experience

a) Occupational Safety and Health Experience

Describe the occupational safety and health qualifications and relevant project experience of the professional staff as it pertains to the work activities proposed in the application. If some positions are vacant or being proposed, include position descriptions and/or minimum hiring qualifications instead of resumes.

b) Training Experience

Describe the experience the project staff has in training and/or developing materials for adult learners within the proposed target population.

4. Work Plan

Develop a 12-month work plan that is broken out by federal calendar year quarters as shown in Table 2.

Table 2. Federal Quarters

Federal Quarter	Time Span
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

An outline of specific items required in the work plan follows.

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 work plan must describe such things as the development of training materials or the plan to use existing training materials, 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 and conducting Level 1 and 2 training evaluations.

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 planned results of the activity.

(1) 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. These materials feature various topics and languages, and include items such as PowerPoint presentations, instructor guides, student manuals, student exercises and tests. Materials previously developed by Harwood grantees can be accessed at: http://www.osha.gov/dte/grant_materials/index.html.

Describe all training and educational materials to be produced under the grant, if proposed, and provide a timetable for developing and producing the materials. Include training objectives and associated training topics. Grantees must follow all copyright laws and provide written certification that materials are free from copyright infringements.

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.

(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.

Any applicant may propose to develop training materials. Only Targeted Topic Training and Educational Materials Development applicants will be required to develop training materials.

(b) Obtain or Revise Existing Training and Educational Materials

Targeted Topic Training applicants that plan to train with already developed materials, partially or wholly, must have the obtained materials reviewed by OSHA before use. Obtained materials should have been developed under commonly accepted instructional design processes.

(c) Required Training Material Content

The training materials must address the recognition, avoidance, 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 or to train 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.

All applicants 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 in a Language Other Than English

Additional consideration will be given to applicants proposing to develop materials in Spanish, and Asian American and Pacific Islander languages.

Organizations proposing to develop materials and/or deliver training in languages other than English must provide an English version of the materials. 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. The English version of the materials must be approved by OSHA prior to translation.

(e) OSHA Material Review

OSHA must review and approve all training materials (e.g., promotional flyers, advertising, training materials, evaluation instruments) for technical accuracy and suitability of content before the materials may be 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 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.

(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 close-out report. Electronic copies should be submitted per the Grant-Funded Material Submittal Procedures outlined in Appendix D.

Targeted Topic Training and Targeted Topic Training and Educational Materials Development grantees will be required to post all final training materials on its Web site in a free downloadable format for three years. Electronic copies provided to OSHA should include a copy of what will be posted on the grantees' Web sites, including videos. Grantees must provide OSHA with the URL addresses of all final materials posted. OSHA may list the grantees' URL addresses to access these materials or directly link to the materials on the grantees' Web sites from the OSHA Web site.

Any applicant proposing online training or posting materials on the Web 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.

(2) Recruiting Plan

The recruiting plan should include what methods the applicant plans to utilize to recruit workers from the target 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 are subject to OSHA review.

(3)   Training for Workers and Employers

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, and the proposed training sites (classroom, worksites) and geographical locations.

Additional consideration will be given to applicants proposing to deliver training in Spanish, and Asian American and Pacific Islander languages.

(a) 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 minutes used for administrative activities such as introductions, presenting the learning objectives, and presenting training certificates cannot be counted toward the contact hours. Break time and lunchtime cannot be counted toward the contact hours.

(b) Eligible Trainees and Training Numbers

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 USC 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.

The specific methodology for projecting trainee numbers must be described.

(c) 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 3 to 40 trainees per training.

(d) Training

All training 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.

(e) Train-the-Trainer

Train-the-trainer training may be proposed under this grant solicitation, but is not required. As a train-the-trainer component may lead to wider distribution of the training to workers, the applicant will receive additional consideration for inclusion of a train-the-trainer component. 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 of the above information must be included in the application for the train-the-trainer component to be evaluated.

(f) 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 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 VI.F.4.b)(3).).

(v) Indicate the number of contact hours for each type of training (workers, train-the-trainer, and/or employer) and target audience (Section C..). Training contact hours are defined in Section VI.F.4.b) (3)(a). See Table 3 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 3. Example of Total Number Trained and Contact Hour Projections

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

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

(g) Constitution Day and Citizenship 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://www.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://www2.ed.gov/legislation/FedRegister/other/2005-2/052405b.html. 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.

(4) Training Evaluation

All Targeted Topic Training and Targeted Topic Training and Educational Materials Development grantees shall perform Level 1 and 2 training evaluations. Additional guidance on developing and implementing evaluations, and reporting evaluation results will be provided at the Orientation Meeting and Trainer Exchange. The types of training evaluations 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 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 and as part of the training materials development validation process.

- 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 through pre- and post-tests administered in the training. Alternatively, trainees could be required to perform a new task that was taught during the training and the result assessed. This type of evaluation should be conducted for all training, and as part of the training materials development validation process.

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.

(5) 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.

(a) Mandatory Meetings
  (i) Orientation Meeting

   A mandatory one-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) Trainer Exchange

   A mandatory two-day Trainer Exchange will be conducted in Washington, D.C. All grantees should budget for two staff members to attend this event.

(b) Quarterly Reports

(i)   Program Reports

A quarterly report is required to be submitted to OSHA within 30 days following the end of the fiscal quarter. The report includes a completed Form 171 and instructions for completing an accompanying narrative for all grant activities conducted. Form 171 is a one page fillable spreadsheet and includes documentation of training sessions. Conferences and needs assessments do not count as training sessions. Training sessions for the same group of trainees that are conducted on more than one day are not to be reported until they are completed. To avoid "double-counting," training numbers for grants with multiple topics will be counted for each time the body of training materials developed under the grant is presented to a group of students; topics will not be counted separately. 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 including training materials development, recruiting, training conducted, training evaluations conducted, and any technical assistance activities, as applicable. Targeted Topic Training and Educational Materials Development grants must report the total number of unique Web site hits for published training materials. The summary for the training evaluations should be an aggregate for type of training conducted and type of evaluation completed during the quarter.

An evaluation of progress on work plan activities is also required for the quarterly report. The purpose of evaluating progress made on work plan activities is 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.

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 and 2) activities shall include a description of the current status of instructor effectiveness, trainee retention of knowledge and skills, 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, if applicable. To the extent possible, such evaluations shall include quantitative as well as qualitative results.

(ii)   Financial Reports

Grantees shall submit financial reports on a quarterly basis. The first reporting period shall end on the last day of the fiscal quarter (December 31, March 31, June 30, or September 30) during which the grant was signed. Financial reports are due within 30 days of the end of the reporting period (i.e., by January 30, April 30, July 30, and October 30).

Grantees shall use Standard Form (SF-425), Federal Financial Report (FFR), to report the status of funds at the project level during the grant period. The SF-425 reports must be submitted electronically through the DOL E-Grants system.

(c) Close-Out Reports
  (i) Program Close-out Report

A program close-out report is required to be submitted within 90-days of the end of the grant performance period. The 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 and 2 evaluations must be summarized and submitted on an annual basis as a part of the program close-out report. Further guidance for preparing a program close-out report will be provided after receipt of a grant award.

As part of the program close-out report, all applicants are required to include the following:
>   (i) A written self-certification that 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 Close-out Report

A financial close-out report, or final SF-425, shall be submitted no later than 90 days following completion of the grant period. The final SF-425 report must be submitted electronically through the DOL E-Grants system.

(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.

(6) Work Plan Quarterly Projections

For training and other quantifiable activities, estimate how many (e.g., number of advisory committee meetings, classes to be conducted, workers and/or employers to be trained, trainee training contact hours to be provided, evaluation activities, unique Web site hits for training materials, etc.) activities will be accomplished each quarter of the grant (grant quarters match calendar quarters, i.e., January to March, April to June). Quarterly projections should also include all activities related to developing, evaluating, validating, translating newly developed training materials, or researching and identifying existing training materials to be used. Also 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, 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 the training documentation records.

G. <u>Attachments</u>

Summaries of 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 should be included as attachments. Please limit the number of attachments to essential documents only, with a maximum of 20 pages. Budget information, as requested 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.

H. <u>Budget Information</u>

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.

2. Detailed Project Budget

   A Detailed Project Budget that clearly details the costs of performing all of the requirements presented in this solicitation. The detailed budget will break out the costs for the 12-month project performance period that is listed in Sections B and C of the SF-424A Budget Information Form. Applicants are asked to plan for a funding level based on funds needed to perform work plan and administrative activities for the 12-month project performance period. If staff or professional development training is proposed in the budget, the detailed project budget must explain the purpose of the planned training. As outlined in Section VI.H.b), only staff or professional development trainings taken expressly for the purpose of providing Harwood training to workers is allowable. Applicants are strongly encouraged to submit proposals that do not exceed the maximum funding levels per grant categories as specified in Section III..

   The Detailed Project Budget must break out administrative costs separately from programmatic costs for both federal and non-federal funds. Examples of administrative and program costs are identified in Appendix C, Administrative and Program Cost Information. Administrative costs include indirect costs from the costs pool and the cost of activities, materials, meeting close-out requirements as described in Section VI.4.(5), 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 form. Administrative costs cannot exceed 25% of the total grant budget. The project budget should clearly demonstrate the total amount and distribution of funds is sufficient to cover the cost of all major project activities (Section VI..4..) identified by the applicant in its proposal, and must comply with federal cost principles which can be found in the applicable OMB Circulars.

   Applicants are reminded to budget for compliance with the administrative requirements set forth. Copies of all regulations that are referenced in this solicitation for grant applications are available online at no cost at 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.

3. Accounting System Certification

   Organizations that receive less than $1 million annually in federal grants must attach a certification signed by the certifying representative stating that the organization has a functioning accounting system that meets the criteria below. The applicant organization may also designate a qualified entity (include the name and address in the documentation) to maintain a functioning accounting system that meets the

criteria below. The certification should attest that the organization's accounting system provides for the following:

- Accurate, current and complete disclosure of the financial results of each federally sponsored project.
- Records that identify adequately the source and application of funds for federally sponsored activities.
- Effective control over and accountability for all funds, property and other assets.
- Comparison of outlays with budget amounts.
- Written procedures to minimize the time elapsing between the transfer of funds.
- Written procedures for determining the reasonableness, allocability and allowability of costs.
- Accounting records, including cost accounting records that are supported by source documentation.

4. Indirect Cost Allocation Agreement

Please include a current approved Indirect Cost Rate Agreement if indirect costs are included as part of the application. Indirect costs shall be included under the Administration section of the budget. If the organization does not have a current approved agreement, indirect cost should be estimated. A current approved Indirect Cost Rate Agreement will be required if an organization is awarded a grant and the budget includes indirect costs.

5. Non-federal Resource Contribution

Provide a description of any voluntary non-federal resource contributions to be provided by the applicant, including source of funds, estimated amount, and use of funds consistent with the goals and objectives of the Susan Harwood Training Grant Program.

6. Evidence of Non-Profit Status

Current evidence of non-profit status from the Internal Revenue Service (IRS) or state must be included. 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 section 501(c)(3) of the Internal Revenue Code;
(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.

This does not apply to state and local government-supported institutions of higher education.

7. 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 and educational 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 workplaces that are largely precluded from enforcement action by OSHA under section 4(b)(1) of the Act, codified at 29 USC 653(b)(1), including self-employed.
- Training on topics that do not cover the recognition, avoidance, 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 USC 670(d)(1).

- Conducting any of the OSHA Outreach Training Program classes.
- 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 purpose 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. This includes 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 administrative costs. Indirect costs are considered to be 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.

Determinations of allowable costs will be made in accordance with the applicable federal cost principles, (e.g., Nonprofit Organizations – OMB Circular A-122; Educational Institutions – OMB Circular A-21). 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.

Budget costs should be reasonable and comply with federal cost principles (which can be found in the applicable OMB circulars) and with OSHA budget requirements contained in the grant application instructions.

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 applicant's work plan (Section VI.F.b)(f)). Please use the following formulas to calculate these costs:

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

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

If the expenditures in the work plan exceed these costs, the applicant must provide justification.

(2) Equipment

The intent of the Susan Harwood Training Grant Program is to provide training and/or training products that support additional training. Applications focusing on training and training and educational materials development will receive higher consideration than those containing capital equipment purchases. Capital equipment purchases are those items that are required to be depreciated 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.

I. <u>Submission Date and Time</u>

1. Date

The deadline date for receipt of applications is Monday, June 30, 2014. 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.

2. Electronic Submission of Applications

Applications for Susan Harwood grants under this competition 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 will not be honored.

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.

For applicants using Grants.gov for the first time, it is strongly recommended that the organization immediately register with Grants.gov at http://www.grants.gov/web/grants/register.html.

The five steps in registering an organization in Grants.gov are as follows:

1. Obtain a DUNS Number for the Organization. Information about obtaining a DUNS Number is available from the Grants.gov Web site at: http://www.grants.gov/web/grants/applicants/organization-registration/step-1-obtain-duns-number.html.
2. Register with the System for Award Management (SAM). SAM is a government-wide application for trading partners doing business with the federal government. During this process there will be a prompt to identify the organization's E-Business Point of Contact (E-Biz POC). It is the E-Biz POC within the organization who must register with SAM. The E-Biz POC will be responsible for authorizing members of the organization, Authorized Organization Representatives (AORs) to submit applications at Grants.gov.
3. Grants.gov Username and Password. To become an Authorized Organization Representative (AOR) a profile must be created. Subsequently, a username and password will be created. The organization's DUNS number is needed to complete this process.
4. Authorized Organization Representative (AOR) Authorization. When an AOR registers with Grants.gov, the organization's E-Biz POC will receive an email notification. The E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the "MPIN" password obtained in Step 2.) and approve the AOR, thereby giving permission to submit applications. 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.
5. Track AOR Status. The purpose of this step is to verify that the organization's E-Biz POC has approved an AOR. AORs can track the status at any time by clicking the Applicant Login link on the home page under "Quick Links" using the username and password (obtained in Step 3.) to check if they have been approved. Organizations cannot apply for grants without an approved AOR.

These steps require multiple days for completion. This additional time must 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.

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.

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 the status 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.

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. E-mail at: 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. The Contact Center is closed 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, Monday, June 30, 2014, 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.

Use of any other characters when naming attachment files will result in the application being rejected.

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, two emails should be received.

      (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 that 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 E..

   J. Intergovernmental Review

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

VII.   APPLICATION REVIEW INFORMATION

Grant applications will be reviewed by technical panels comprised of OSHA staff. 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. OSHA may award grants for some or all of the categories and OSHA topic areas. It is anticipated that the grant awards will be announced no later than September 30, 2014.

A. **Evaluation Criteria**

Technical panels will review applications against the criteria, Table 4, on the basis of 100 maximum points. Details on each required component can be found in Section VI.F..

Table 4. Evaluation Criteria Applicability and Points per Grant Category

Required Component	**Targeted Topic Training**	**Targeted Topic Training and Educational Materials Development**

1) Problem Statement/Need for Funds
  a) Grant Category
  b) Target Population
  c) Topic
  d) Training and Educational Materials
	10 pts	25 pts

2) Administrative and Program Capability of the Organization
  a) Organizational Experience
  b) Occupational Safety and Health Experience
  c) Grant Experience
  d) Distribution Network
  e) Program Experience
  f) Evaluation of Training Activities Experience
  g) Management and Internal Control Systems
  h) Organizational Chart
	15 pts	15 pts

3) Staff Experience
  a) Occupational Safety and Health Experience
  b) Training Experience
	10 pts	25 pts

4) Work Plan
  a) Work Plan Overview
  b) Work Plan Activities
	55 pts	25 pts

i) Training and Educational Materials ii) Recruiting Plan iii) Training iv) Training Evaluation v) Meetings, Reporting, and Documentation vi) Work Plan Quarterly Projections		

5) Budget Information
  a) Budget Information form (SF-424A)
  b) Detailed Project Budget
  c) Accounting System Certification
  d) Indirect Cost Allocation Agreement
  e) Non-federal Resource Contribution
  f) Evidence of Non-Profit Status
  g) Funding Allocations, Restrictions, and Guidelines
	10 pts	10 pts

Total	100 pts	100 pts

B. Review and Selection Process

OSHA will screen all applications to determine whether they were viable based on the criteria outlined in Section E.. Applications not complying with one or more of the requirements identified in Section E.., will be deemed non-responsive and may not be evaluated. A technical panel will objectively rate each complete application against the criteria described in Section VII.A.. of this announcement. The panels' recommendations to the Assistant Secretary are advisory in nature. The Assistant Secretary may establish a minimally acceptable rating range for the purpose of selecting qualified applicants. The Assistant Secretary will make a final selection determination based on what is most advantageous to the government, considering factors such as panel findings, geographic presence of the applicants, Agency priorities, the best value to the government, cost, and other factors. The Assistant Secretary's determination for award under this solicitation for grant applications is final.

C. Anticipated Announcement and Award Dates

Announcement of these awards is expected to occur no later than September 30, 2014.

VIII. AWARD NOTIFICATION INFORMATION

A. Award Notification and Program Revisions

Organizations selected as grant recipients will be notified by a representative of the Assistant Secretary. 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.

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, the OSHA award does not provide the justification or basis to sole-source the procurement (i.e., to avoid competition).

B. <u>Request for Application Comments</u>

After the eventual selections are announced, applicants may request feedback comments from OSHA. To receive comments on the grant application, the organization's authorized representative must send a written request no later than March 31, 2015 that includes the following:

1. Grant Category and OSHA Topic
2. Grants.gov Tracking Number
3. Complete Mailing address, including zip + 4
4. Phone number

The request may be sent by email or mail. The organization's authorized representative must send an email request to <u>HarwoodGrants@dol.gov</u> or mail the request, on organization letterhead, to

Attn: Heather Wanderski
U.S. Department of Labor
Occupational Safety and Health Administration
Directorate of Training and Education
2020 S. Arlington Heights Road
Arlington Heights, IL 60005-4102

IX. POST AWARD ADMINISTRATIVE AND 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 circulars. Grantees are required to cooperate with all federal, state, and local requirements. The grant award(s) awarded under this solicitation will be subject to the following administrative standards and provisions, as applicable to the particular grantee:

1. 29 CFR Part 2, Subpart D, new equal treatment regulations

2. 29 CFR Parts 31, 32, 35 and 36 as applicable

3. 29 CFR Part 93, new restrictions on lobbying

4. 29 CFR Part 95, which covers grant requirements for nonprofit organizations, including universities and hospitals. 29 CFR Part 95 includes the Department of Labor regulation implementing 2 CFR Part 215

5. 29 CFR Part 98, Government-wide debarment and suspension (non-procurement) including provisions regarding drug-free workplace requirements.

6. OMB Circular A-21, which describes allowable and unallowable costs for educational institutions

7. OMB Circular A-122, which describes allowable and unallowable costs for other nonprofit organizations

8. OMB Circular A-133, 29 CFR parts 96 and 99, which provide information about audit requirements

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 VI.4.(5).

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 copy as well as two copies in a digital format (CD Rom/DVD/flash drive), per Section F.b)(f) for possible publication on the Internet by OSHA. All final product materials must be submitted following guidelines established in Appendix D, Procedures for Submitting Electronic Copies of Grant-Funded Materials.

As stated in 29 CFR 95.36(a), 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. <u>Public Reference to Grant</u>

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.

<u>Use of the DOL or OSHA Logo</u>
Neither the DOL nor OSHA logo may be applied to any grant products developed with grant funds.

Appendix A – Application Checklist

Applicants may use the checklist below as a guide when preparing the application package.

Forms found on the Grants.gov Forms tab are for information only and cannot be submitted with the grant application package. When applying for a grant, the application package must be downloaded; the forms within the application package must be completed and submitted it in its entirety.

What to Submit	Where Found	When to Submit
SF-424 – Application for Federal Assistance	Referenced in Section VI.C.. and found at Grants.gov Forms tab: http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.	Submission is due by the application due date found in the Overview and Section I..
Application Summary	Referenced in Section VI.D.. of the announcement under "Application Summary."	Submission is due by the application due date found in the Overview and Section I..
Program Abstract	Referenced in Section E.. of the announcement under "Program Abstract."	Submission is due by the application due date found in the Overview and Section I..
Technical Proposal	Referenced in Section VI.F.. of the announcement under "Technical Proposal."	Submission is due by the application due date found in the Overview and Section I..
Organizational Chart	Referenced in Section F.h) of the announcement under "Organizational Chart."	Submission is due by the application due date found in the Overview and Section I..
Other Attachments	Referenced in Section G.. of the announcement under "Other Attachments."	Submission is due by the application due date found in the Overview and Section I..
SF-424A – Application for Federal Assistance	Referenced in Section VI.1.. and found at Grants.gov Forms tab: http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.	Submission is due by the application due date found in the Overview and Section I..
Detailed Project Budget	Referenced in Section VI.2.. of the announcement under "Detailed Project Budget."	Submission is due by the application due date found in the Overview and Section I..
Accounting System Certification	Referenced in Section VI.3.. of the announcement under "Accounting System Certification."	Submission is due by the application due date found in the Overview and Section I..
Indirect Cost Allocation Agreement	Referenced in Section VI.4.. of the announcement under "Indirect Cost Allocation	Submission is due by the application due date found in the Overview and Section I..

	Agreement."	
Evidence of Non-Profit Status	Referenced in Section VI.6.. of the announcement under "Evidence of Non-Profit Status."	Submission is due by the application due date found in the Overview and Section I..
Non-federal Resource Contribution	Referenced in Section VI.5. of the announcement under "Non-Federal Resource Contribution."	If applicable, submission is due by the application due date found in the Overview and Section I..
SF-424B – Assurances – Non-Construction Programs	Referenced in Section VI.C.. and found at Grants.gov Forms tab: http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.	Submission is due by the application due date found in the Overview and Section I..
Combined Assurance Form (ED 80-0013)	Referenced in Section VI.C.. and found at Grants.gov Forms tab: http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.	Submission is due by the application due date found in the Overview and Section I..
Project/Performance Site Location(s)	Referenced in Section VI.C.. and found at Grants.gov Forms tab: http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1.	Submission is due by the application due date found in the Overview and Section I..

Appendix B – Requirements for Grants Awarded after October 1, 2010

There are two additional grant requirements for awards made after October 1, 2010. The Federal Register notices are as follows.

Requirements for Federal Funding Accountability and Transparency Act Implementation: http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf

Financial Assistance Use of Universal Identifier and System for Award Management: http://edocket.access.gpo.gov/2010/pdf/2010-22706.pdf

2 CFR Part 170

Appendix A to Part 170--Award Term

I. Reporting Subawards and Executive Compensation.

a. Reporting of first-tier subawards.
1. Applicability. Unless exempt as provided in paragraph d. of this award term, the organization must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).
2. Where and when to report.
   i. The organization must report each obligating action described in paragraph a.1. of this award term to https://www.fsrs.gov.
   ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
3. What to report. The organization must report the information about each obligating action that the submission instructions posted at https://www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.
1. Applicability and what to report. The organization must report total compensation for each of its five most highly compensated executives for the preceding completed fiscal year, if-
   i. the total Federal funding authorized to date under this award is $25,000 or more;
   ii. in the preceding fiscal year, the organization received
      (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
      (B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. Where and when to report. The organization must report executive total compensation described in paragraph b.1. of this award term:

i. As part of the registration profile at https://www.sam.gov.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, the organization shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if

i. in the subrecipient's preceding fiscal year, the subrecipient received

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

2. Where and when to report. The organization must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which the organization made the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), the organization must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, the organization had gross income, from all sources, under $300,000, it is exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

    i. A Governmental organization, which is a State, local government, or Indian tribe;

    ii. A foreign public entity;

    iii. A domestic or foreign nonprofit organization;

    iv. A domestic or foreign for-profit organization;

    v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

3. Subaward:

    i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the organization received this award and that as the recipient, award to an eligible subrecipient.

    ii. The term does not include the procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ---- .210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations'').

    iii. A subaward may be provided through any legal agreement, including an agreement that the organization or a subrecipient considers a contract.

4. Subrecipient means an entity that:

    i. Receives a subaward from an organization (the recipient) under this award; and

    ii. Is accountable to the organization for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

    i. Salary and bonus.

    ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

    iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

    iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

    v. Above-market earnings on deferred compensation which is not tax-qualified.

    vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

2 CFR Subtitle A, Chapter I and Part 25

Appendix A to Part 25--Award Term

I. Use of Universal Identifier Requirements

A. Requirement for the System for Award Management (SAM)

Unless exempted from this requirement under 2 CFR 25.110, the recipient must maintain the currency of its information in the SAM until submission of the final financial report required under this award or receipt of the final payment, whichever is later. This requires the organization to review and update the information at least annually after the initial registration, and more frequently if required by changes in the information or another award term.

B. Requirement for Data Universal Numbering System (DUNS) Numbers
If authorized to make subawards under this award, the organization:
1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward unless the entity has provided its DUNS number.
2. May not make a subaward to an entity unless the entity has provided its DUNS number.

C. Definitions

For purposes of this award term:

1. System for Award Management (SAM) is a Web-enabled government wide application that collects, validates, stores and disseminates business information about the federal government's trading partners in support of the contract award, grants and the electronic payment processes. *Prior to July 2012, this functionality was handled by the Central Contractor Registration (CCR).* Additional information about registration procedures may be found at the SAM Internet site (currently at https://www.sam.gov).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
   a. A Governmental organization, which is a State, local government, or Indian Tribe;
   b. A foreign public entity;
   c. A domestic or foreign nonprofit organization;
   d. A domestic or foreign for-profit organization; and
   e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:

a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which the organization received this award and that as the recipient, award to an eligible subrecipient.

b. The term does not include procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ----.210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations'').

c. A subaward may be provided through any legal agreement, including an agreement considered a contract.

5. Subrecipient means an entity that:

a. Receives a subaward from an organization under this award; and

b. Is accountable for the use of the Federal funds provided by the subaward.

Appendix C – Administrative and Program Cost Information

As described in the solicitation for grant applications (SGA), the Detailed Project Budget must break out administrative costs separately from programmatic costs for both federal and non-federal funds. Administrative costs include indirect costs from the costs pool and the cost of activities, materials, meeting close-out 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 form. Administrative costs cannot exceed 25% of the total grant budget.

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
    - 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. For example:

   - 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:

   - 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

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). ICRAs 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 D – Procedures for Submitting Electronic Copies of Grant-Funded Materials

As described in the solicitation for grant applications (SGA), 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.

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. <u>Submitting Materials</u>. All grant-funded training materials must be submitted in both print and electronic format. Review the SGA 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-YR), where XXXXX is the 5-digit grant number and YR is the last 2-digits 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 <u>not</u> be password protected, "read only" format, or encrypted.

_____

OFFICE OF MANAGEMENT AND BUDGET INFORMATION COLLECTION REQUIREMENTS.

This SGA requests information from applicants. This collection of information is approved under OMB Control No. 1225-0086.

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 OMB Desk Officer for OSHA, Office of Management and Budget, Room 10235, Washington DC 20503, electronically to Heather Wanderski at HarwoodGrants@dol.gov or the Grant Officer, Elizabeth Norris at zzOSHA-OFM-DGM@dol.gov or by mail to Heather Wanderski, 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.

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