

U.S. DEPARTMENT OF LABOR  
Mine Safety and Health Administration

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**NOTICE OF AVAILABILITY OF FUNDS AND FUNDING OPPORTUNITY  
ANNOUNCEMENT (FOA) FOR: Brookwood-Sago Mine Safety Grants (Brookwood-Sago  
Grants)**

**ANNOUNCEMENT TYPE:** *New*

**FUNDING OPPORTUNITY NUMBER:** *FOA-BS-2020-1*

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** *17.603*

**KEY DATES:** *The closing date for receipt of applications under this Announcement is (60 days after the date of publication on Grants.gov). We must receive applications no later than 11:59 p.m. EDST.*

**ADDRESSES:** *Address for mailed applications:*

**The U.S. Department of Labor  
Mine Safety and Health Administration  
Attention: Emmanuel Ekwo, Grant Officer  
Reference FOA BS-2020-1  
201 12<sup>th</sup> Street South, Suite 401  
Arlington, Virginia 22202**

*For complete application and submission information, including online application instructions, please refer to Section IV.*

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## **EXECUTIVE SUMMARY:**

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The U.S. Department of Labor (DOL), Mine Safety and Health Administration (MSHA), is making up to \$400,000 available in grant funds for education and training programs to help identify, avoid, and prevent unsafe working conditions in and around mines. The focus of these grants for Fiscal Year (FY) 2020 will be training and training materials on powered haulage (in particular, reducing vehicle-on-vehicle collisions, increasing seat belt use, and improving belt conveyor safety), improving safety among contractors, reducing electrocutions, improving training for new and inexperienced miners, mine emergency prevention and preparedness, and other programs to prevent unsafe conditions in mines. Applicants for the grants may be states and other governments (to include the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands) and private or public nonprofit entities (to include Indian tribes, tribal organizations, Alaska Native entities, Indian-controlled organizations serving Indians, and Native Hawaiian organizations). MSHA could award as many as eight grants. The amount of each individual grant will be at least \$50,000, and the maximum individual award will be \$400,000.

This notice contains all of the information needed to apply for grant funding.

### **I. FUNDING OPPORTUNITY DESCRIPTION**

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#### **A. PROGRAM PURPOSE**

This program provides funding for education and training programs to better identify, avoid, and prevent unsafe working conditions in and around mines. The program uses grant funds to establish and implement education and training programs or to create training materials and programs. The Mine Improvement and New Emergency Response Act of 2006 (MINER Act) requires the Secretary to give priority to mine safety demonstrations and pilot projects with broad applicability. The MINER Act also mandates that the Secretary emphasize programs and materials that target miners in smaller mines, including training mine operators and miners on MSHA standards, high-risk activities, and other identified safety priorities.

#### **B. EDUCATION AND TRAINING PRIORITIES**

MSHA priorities for the FY 2020 funding of the annual Brookwood-Sago Grants will focus on powered haulage (in particular, reducing vehicle-on-vehicle collisions, increasing seat belt use, and improving belt conveyor safety), improving safety among contractors, reducing electrocutions, improving training for new and inexperienced miners, mine emergency prevention and preparedness, and other programs to prevent unsafe conditions in mines. MSHA expects Brookwood-Sago grantees to develop training materials or to develop and provide mine safety training or educational programs, recruit mine operators and miners for the training, and conduct and evaluate the training. MSHA will give special emphasis to programs and materials that target workers at smaller mines, including training miners and employers about new MSHA standards, high risk activities, or hazards identified by MSHA.

MSHA expects Brookwood-Sago grantees to conduct follow-up evaluations with the people who received training in their programs to measure how the training promotes the Secretary’s strategic goal to “promote safe jobs and fair workplaces for all Americans” and MSHA’s goal to “prevent fatalities, disease, and injury from mining and secure safe and healthful working conditions for America’s miners.” Evaluations will focus on determining how effective the subject training was in either reducing hazards, improving skills for the selected training topics, or in improving the conditions in mines. Grantees must also cooperate fully with MSHA evaluators of their programs, which may include data collection or provision of training curricula, materials, or mechanisms.

### **C. PROGRAM AUTHORITY**

The authority for this program is 30 U.S.C. § 965.

## **II. AWARD INFORMATION**

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### **A. AWARD TYPE AND AMOUNT**

MSHA is providing up to \$400,000 for the FY 2020 Brookwood-Sago Grant program, which could award a maximum of eight separate grants of no less than \$50,000 each. MSHA may award one grant for the maximum of \$400,000. Applicants requesting less than \$50,000 or more than \$400,000 for a 12-month performance period will not be considered for funding.

### **B. PERIOD OF PERFORMANCE**

The performance period for these grants is for 12 months and will begin when the grant is awarded. MSHA may approve one no-cost period of performance extension upon reviewing the success of the project and other relevant factors. *See* 2 C.F.R. § 200.308(d)(2).

## **III. ELIGIBILITY INFORMATION**

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### **A. ELIGIBLE APPLICANTS**

Applicants for the grants may be states and other governments (to include the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, American Samoa, Guam, and the Commonwealth of the Northern Mariana Islands) and private or public nonprofit entities (to include Indian tribes, tribal organizations, Alaska Native entities, Indian-controlled organizations serving Indians, and Native Hawaiian organizations). Eligible entities may apply for funding independently or in partnership with other eligible organizations. For partnerships, a lead organization must be identified.

Applicants other than states, territories, state-supported or local government-supported institutions of higher education, and tribal governments and tribal-supported institutions of higher education will be required to submit evidence of nonprofit status, preferably from the

Internal Revenue Service (IRS). A nonprofit entity as described in 26 U.S.C. § 501(c)(4), which engages in lobbying activities, is not eligible for a grant award. See 2 U.S.C. § 1611.

The following organizations may apply:

- State Government
- County Government
- City or Township Government
- U.S. Territory
- Public/State Controlled Institution of Higher Education
- Indian/Native American Tribal Government (federally recognized)
- Indian/Native American Tribally Designated Organization
- Non-profit Organization with IRS 501(c)(3) Status
- Private Institution of Higher Education
- Hispanic-serving Institution
- Historically Black Colleges and Universities (HBCUs)
- Alaska Native and Native Hawaiian Serving Institutions

**B. COST SHARING OR MATCHING**

This program does not require cost sharing or matching funds.

**C. OTHER INFORMATION**

**1. Application Screening Criteria**

Applicants should use the checklist below as a guide when preparing an application package to ensure that the application has met all of the screening criteria. Note that this checklist is only an aid for applicants and should not be included in the application package. We urge applicants to use this checklist to ensure that the application contains all required items. If the application does not meet all of the screening criteria, it will not move forward through the merit review process.

<b>Application Requirement</b>	<b>Instruction</b>	<b>Complete</b>
The deadline submission requirements are met	Section IV.C	
Eligibility	Section III.A	
Application federal funds request is at least \$50,000 and does not exceed the ceiling amount of \$400,000	Section II.A	
SAM Registration	Section IV.B.1	
Register with FedConnect	Section IV.B.1	
SF-424, Application for Federal Assistance	Section IV.B.1	
SF-424A, Budget Information Form	Section IV.B.2	
Budget Narrative	Section IV.B.2	
Technical Proposal	Section IV.B.3	



## 2. Number of Applications

MSHA may award up to eight grants. Applicants may submit multiple applications, and MSHA will select the applications that are most advantageous to the government in meeting the goals of this program.

## 3. Eligible Participants

For training, eligible participants are mine operators and miners.

# IV. APPLICATION AND SUBMISSION INFORMATION

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## A. HOW TO OBTAIN AN APPLICATION PACKAGE

This announcement includes all information, including forms, regulations, and links needed to apply for this funding opportunity. The full application is available through the Grants.gov website, <https://www.grants.gov>, and the FedConnect.net portal. Applicants, however, must apply for this funding opportunity through the Grants.gov website. You may request paper copies of the package by contacting MSHA. See Contacts in Part VII, Program Office.

If applying online poses a hardship to any applicant, please notify the MSHA as early as possible and we will provide assistance to help applicants submit online and provide any applicable notices. See Contacts in Part VII, Program Office.

### 1. FOA

This FOA is available at <https://www.grants.gov> and contains all of the information and links needed to apply for grant funding. Click the “Search Grants” tab and enter the Funding Opportunity Number or Catalog of Federal Domestic Assistance (CFDA) number and click the search button. The Funding Opportunity number is FOA BS-2020-1, and the CFDA number is 17.603. If an applicant has problems downloading the application package from Grants.gov, contact the GRANTS.GOV Applicant Support at 1-800-518-4726 or by email at [support@grants.gov](mailto:support@grants.gov).

The full application package is also available online at FedConnect.net portal, <https://www.fedconnect.net>. Click the “Search Public Opportunities Only” section, enter the Title or FOA number of the document, and click search to find the application package.

For the FedConnect.net portal, an applicant will register in FedConnect at <https://www.fedconnect.net>. To create an organization account, your organization’s System Award Management (SAM) Marketing Partner ID number (MPIN) is required. **(Section IV.B discusses new procedures for SAM Entity Administrator)**. Only the SAM Entity Administrator for an entity may view the MPIN. For more information about registering in FedConnect, review DOL’s Grant Management System Modernization Guide on MSHA’s website, <https://www.msha.gov> (Select “Training and Education,” click “Training Programs and Courses,” then select “Grant Management System Modernization”).





## **2. FOA Modifications**

MSHA will post any modifications to this announcement on Grants.gov and the FedConnect.net portal. FedConnect.net will provide an email notice of a modification or an announcement message if an applicant registers in FedConnect.net as an interested party for this FOA. If you request paper copies of the FOA or notify MSHA regarding hardship in applying online, MSHA will attempt to timely notify you of any modifications with the contact information provided.

## **3. Questions**

Questions regarding the content of the announcement must be submitted through the FedConnect.net portal. You must register with FedConnect to submit questions and to view responses to questions. It is recommended that you register as soon after release of the FOA as possible.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or support@grants.gov.

**Program questions should be submitted to the MSHA contacts listed in Part VII of this FOA.**

## **B. CONTENT AND FORM OF APPLICATION SUBMISSION**

Applications submitted in response to this FOA must consist of five separate and distinct parts:

1. SF-424, Application for Federal Assistance (no page limit)
2. Project Budget and Forms (no page limit)
3. Technical Proposal (not to exceed 12 pages, illustrative material can be submitted as an attachment)
4. Abstract (not to exceed two pages)
5. SF-LLL, Disclosure of Lobbying Activities

You must ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

### **1. SF-424, Application for Federal Assistance**

You must complete the SF-424, Application for Federal Assistance (OMB Control No. 4040-0004, Exp. Date: 12/31/2022). The SF-424 must identify the applicant clearly and be signed by

an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant shall be considered the representative of the applicant.

- In the address field, fill out the nine-digit (plus hyphen) zip code. Nine-digit zip codes can be looked up on the USPS website at <https://tools.usps.com/go/ZipLookupAction!input.action>.
- The SF-424 must clearly identify the applicant. You do not need to submit SF-424B with this application. As of February 2019, all non-federal registrants in SAM must certify their “Financial Assistance Representations and Certifications” as part of their registration. Effective January 1, 2020, SAM is the central repository for these representations and certifications.

**(a) Requirement for Data Universal Number System (DUNS)**

Under 2 C.F.R. § 25.200(b)(3), every applicant for a federal grant is required to include a DUNS number with its application. An applicant enters the DUNS in number Block 8 of SF-424. The DUNS number is a nine-digit identification number that uniquely identifies business entities. There is no charge for obtaining a DUNS number. To obtain a DUNS number, call 1-866-705-5711 or access the following website:  
<http://fedgov.dnb.com/webform>.

**(b) Requirement for Registration with System for Award Management (SAM)**

Applicants must register with SAM before submitting an application. Find instructions for registering with SAM at <https://www.sam.gov/SAM/>.

After receiving a DUNS number, all grant applicants must register as a vendor with SAM through the website, <https://www.sam.gov/SAM/>. Grant applicants must create a user account and register online. Submitted registrations will take up to 10 business days to process, after which the applicant will receive an email notice that the registration is active. Once the registration is active in SAM, it takes an additional 24 hours for the registration to be active in Grants.gov. Registrations expire after one year. Under 2 C.F.R. § 25.200(b) (2), each grant applicant must maintain an active registration with current information at all times during which it has an active federal award or an application under active federal consideration. The SAM website recommends that an entity update its SAM registration more frequently than annually because an expired registration “will affect your ability to receive contract awards or payments, submit assistance award applications via Grants.gov, or receive certain payments from some Federal Government agencies.” The Grants.gov website, through which applicants must apply for MSHA grants, advises that it will reject all applications that have an expired SAM registration.

In addition, GSA has implemented new procedures for the SAM registration process to prevent fraud. One such procedure requires all entities to have an original signed and notarized letter formally appointing the authorized Entity Administrator on file. All applicants need an active SAM registration to apply for the grant under this FOA and

should plan accordingly because these procedures may increase the time before an applicant may receive an active registration notice.

**Note:** In December 2020, GSA is changing the “unique entity identifier (UEI)” for doing business with the U.S. Government. DUNS numbers will no longer be used. For those entities registered in SAM, “your registration will automatically be assigned a new UEI which will be displayed in SAM.” <https://www.gsa.gov/about-us/organization/federal-acquisition-service/office-of-systems-management/integrated-award-environment-iae/iae-information-kit/unique-entity-identifier-update>.

### **(c) Requirement for Registration with FedConnect**

Applicants must register in FedConnect at <https://www.fedconnect.net>.

To create an organization account, your organization’s SAM Marketing Partner ID number (MPIN) is required. Only the SAM Entity Administrator for an entity may view the MPIN. For more information about the SAM MPIN or other registration requirements, review the Department of Labor’s “Grants Management System Modernization Guide” at [https://dol-msha-peir-mshagov-prod.s3.amazonaws.com/s3fs-public/Training\\_Education/Grants%20Management%20System%20Modernization.pdf](https://dol-msha-peir-mshagov-prod.s3.amazonaws.com/s3fs-public/Training_Education/Grants%20Management%20System%20Modernization.pdf). Once registered, you will receive notification of FOA modifications and the required SF-425 financial forms.

## **2. Project Budget and Forms**

You must complete the SF-424A Budget Information for Non-Construction Programs (OMB Control No. 4040-0006, Exp. Date: 02/28/2022). Budget Information Form is available at <https://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1>. In preparing the Budget Information Form, you must provide a concise narrative explanation to support the budget request, explained in detail below.

### **(a) Budget Narrative**

The applicant must provide a concise narrative explaining the request for funds. The budget narrative should separately attribute the federal funds to each of the activities specified in the proposal and it should discuss precisely how any administrative costs support the project goals. Administrative costs may be charged as either direct or indirect costs.

Direct costs are those costs “that can be identified specifically with a particular final cost objective, such as a Federal award.” See 2 C.F.R. § 200.413.

Indirect costs for these grants may not exceed 10 percent of the modified total direct costs (as defined in 2 C.F.R. § 200.68) or the grantee’s negotiated Federal Indirect Cost Rate Agreement. See 2 C.F.R. § 200.414. Grantees must provide a copy of any applicable negotiated Federal Indirect Cost Rate Agreement.

Indirect costs are those costs that are not readily identifiable with a particular cost objective but nevertheless are necessary to the general operation of an organization. To avoid disputes, under 2 C.F.R. § 200.407, a grantee may seek prior written approval from its cognizant agency for indirect costs or from MSHA “in advance of the incurrence of special or unusual costs.”

If the applicant anticipates earning program income, the budget narrative should account for this. Program income is gross income earned by the grantee that is directly generated by a supported activity, or earned as a result of the award.

### **(b)Identify Costs**

MSHA authorizes grantees to use FY 2020 appropriated funds for allowable, allocable, and reasonable expenses incurred by the grantee or any of its contractors.

**Personnel:** List all staff positions by title (both current and proposed) including the roles and responsibilities. For each position give the annual salary, the percentage of time devoted to the project, and the amount of each position’s salary funded by the grant.

**Fringe Benefits:** Provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement, etc.

**Travel:** For grantee staff only, specify the purpose, number of staff traveling, mileage, per diem, estimated number of in-state and out-of-state trips, and other costs for each type of travel.

**Equipment:** Identify each item of equipment you expect to purchase that has an estimated acquisition cost of \$5,000 or more per unit (or if your capitalization level is less than \$5,000, use your capitalization level) and a useful lifetime of more than one year (2 C.F.R. § 200.33 for the definition of Equipment). List the item, quantity, and the unit cost per item.

Items with a unit cost of less than \$5,000 are supplies, not “equipment.”

**Supplies:** Identify categories of supplies (e.g., office supplies) in the detailed budget and list the item, quantity, and the unit cost per item. Supplies include all tangible personal property other than “equipment” (2 C.F.R. § 200.94 for the definition of supplies).

**Contractual:** Under the Contractual line item, delineate contracts separately. Contracts are defined according to 2 C.F.R. § 200.22 as a legal instrument by which a non-federal entity purchases property or services needed to carry out the project or program under a federal award. For each proposed contract, specify the purpose and activities to be provided, and the estimated cost.

**Construction:** Construction costs are not allowed and this line must be left as zero. Minor alterations to adjust an existing space for grant activities (such as a classroom alteration)

may be allowable. We do not consider this as construction and you must show the costs on other appropriate lines such as Contractual.

Note that the SF-424, SF-424A, and Budget Narrative must include the entire federal grant amount requested.

Applicants should list the same requested federal grant amount on the SF-424, SF-424A, and Budget Narrative. If minor inconsistencies are found between the budget amounts specified on the SF-424, SF-424A, and the Budget Narrative, MSHA will consider the SF-424 the official funding amount requested.

### **3. Technical Proposal**

The technical proposal must demonstrate the applicant's capabilities to plan and implement a project or create educational materials to meet the objectives of this solicitation. MSHA's focus for these grants is on training mine operators and miners and developing training materials that reflect real-world safety trends such as powered haulage (in particular, reducing vehicle-on-vehicle collisions, increasing seat belt use, and improving belt conveyor safety), improving safety among contractors, reducing electrocutions, improving training for new and inexperienced miners, mine emergency prevention and preparedness, or other programs to prevent unsafe conditions in mines. MSHA shall give special emphasis to programs and materials that target miners at smaller mines, including training miners and employers about new MSHA standards, high risk activities, or hazards identified by MSHA. A Department of Labor Strategic Goal is to "promote safe jobs and fair workplaces for all Americans" and MSHA's goal is to "prevent fatalities, disease, and injury from mining and secure safe and healthful working conditions for America's miners." MSHA's award of the Brookwood-Sago Grants supports these goals and strategies. To show how the grant projects promote these goals and strategies, applicants must provide the following information, at the end of each quarter, (as applicable):

- (a) Number of trainers trained
- (b) Number of mine operators and miners trained
- (c) Number of training events
- (d) Number of course days of training provided to industry
- (e) Course evaluations of trainer and training material
- (f) Description of training materials created, to include target audience, goals and objectives, and usability in the mine training environment

The technical proposal narrative must not exceed 12 single-sided, double-spaced pages, using 12-point font, and must contain the following sections: Program Design, Overall Qualifications of the Applicant, and Output and Evaluation. Any pages over the 12-page limit will not be

reviewed. Attachments to the technical proposal are not counted toward the 12-page limit. Major sections and sub-sections of the proposal should be divided and clearly identified.

**(a)Program Design**

(1) Statement of the Problem/Need for Funds. Applicants must identify a clear and specific need for proposed activities. They must identify whether they are providing a training program, creating training materials, or both. Applicants also must identify the number of individuals expected to benefit from their training and education program; this should include identifying the type of mines, the geographic locations of the training, and the number of mine operators and miners.

(i) Quality of the Project Design

MSHA requires that each applicant include a 12-month work plan that correlates with the grant project period that will begin no later than TBD and end no later than TBD.

(ii) Plan Overview

Describe the plan for grant activities and the anticipated results. The plan should describe such things as the development of training materials, the training content, recruiting of trainees, where or how training will take place, and the anticipated benefits to mine operators and miners receiving the training.

(iii) Activities

Break the plan down into activities or tasks for each quarter. For each activity, explain what will be done, who will do it, when it will be done, and the anticipated results of the activity. For training, discuss the subjects to be taught, the length of the training sessions, type of training (e.g., powered haulage in particular, reducing vehicle-on-vehicle collisions, increasing seat belt use, and improving belt conveyor safety, improving safety among contractors, reducing electrocutions, improving training for new and inexperienced miners, mine emergency prevention and preparedness, or other programs to prevent unsafe conditions in mines), and training locations (e.g., classroom, worksites). Describe how the applicant will recruit mine operators and miners for the training. (Note: Any commercially developed training materials the applicant proposes to use in its training must undergo an MSHA review before being used.)

(iv) Quarterly Projections

For training and other quantifiable activities, estimate the quantities involved for data required to meet the grant goals located in Part IV.B.3. For example, estimate how many classes will be conducted and how many mine operators and miners will be trained each quarter of the grant. Also, provide the training

number totals for the full year. Quarterly projections are used to measure the actual performance against the plan. A quarterly technical project report is due 30 days after the end of each quarter. Applicants planning to conduct a train-the-trainer program should estimate the number of individuals to be trained during the grant by those who received the train-the-trainer training. These second-tier training numbers should be included only if the organization is planning to follow up with the trainers to obtain this data during the grant.

(v) Materials

Describe each educational material to be produced under this grant. Provide a timetable, including milestones, for developing and producing the material. The timetable must include provisions for an MSHA review of draft and camera-ready products or evaluation of equipment. MSHA must review and approve training materials or equipment for technical accuracy and suitability of content before use in the grant program. Whether or not an applicant's project is to develop training materials only, the applicant should provide an overall plan that includes time for MSHA to review any materials produced.

**(b)Qualifications of the Applicant**

(1) Applicant's Background

Describe the applicant, including its mission and a description of its membership, if any. Provide an organizational chart (the chart may be included as a separate page which will not count toward the page limit). Identify the following:

(i) Project Director

The Project Director is the person who will be responsible for the day-to-day operation and administration of the program. Provide the name, title, street address and mailing address (if it is different from the organization's street address), telephone and fax numbers, and email address of the Project Director.

(ii) Certifying Representative or Authorizing Organization Representative (AOR)

The Certifying Representative, or the AOR, is the official in the organization who is authorized to enter into grant agreements. Provide the name, title, street address and mailing address (if it is different from the organization's street address), telephone and fax numbers, and email address of the Certifying Representative or AOR.

(2) Administrative and Program Capability

Briefly describe the organization's functions and activities, i.e., the applicant's management and internal controls. Relate this description of functions to the

organizational chart. If the applicant has received any other government (federal, state, or local) grant funding, the application must have, as an attachment (which will not count towards the page limit), information regarding these previous grants. This information must include each organization for which the work was done and the dollar value of each grant. If the applicant does not have previous grant experience, it may partner with an organization that has grant experience to manage the grant. If the organization uses this approach, the management organization must be identified and its grant program experience discussed. Lack of past experience with federal grants is not a determining factor, but an applicant should show a successful experience relevant to the opportunity offered in the application. Such experience could also include staff members' experiences with other organizations.

### (3) Program Experience

Describe the organization's experience conducting the proposed mine training program or other relevant experience. Include program specifics such as program title, numbers trained, and duration of training. If creating training materials, include the title of other materials developed. Nonprofit organizations, including community-based and faith-based organizations that do not have prior experience in mine safety, may partner with an established mine safety organization to acquire safety expertise.

### (4) Staff Experience

Describe the qualifications of the professional staff you will assign to the program. Attach resumes of staff already employed (resumes will not count towards the page limit). If some positions are vacant, include position descriptions and minimum hiring qualifications instead of resumes. Staff should have, at a minimum, mine safety experience, training experience, or experience working with the mining community.

## **(c) Outputs and Evaluations**

There are two types of evaluations that must be conducted. First, describe the methods, approaches, or plans to evaluate the training sessions or training materials to meet the data requirements in Part IV.B.3. Second, describe plans to assess the long-term effectiveness of the training materials or training conducted. The type of training given will determine whether the evaluation should include a process-related outcome, result-related outcome, or both. This will involve following up with an evaluation, or on-site review, if feasible, of miners trained. The evaluation should focus on what changes the trained miners made to abate hazards and improve workplace conditions, incorporate this training in the workplace, or both.

For training materials, include an evaluation from individuals trained on the clarity of the presentation, organization, and the quality of the information provided on the subject matter and whether they would continue to use the training materials. Include timetables for follow-up and for submitting a summary of the assessment results to MSHA.



**MSHA will review and rate the technical proposal in accordance with the criteria specified in Part V.**

#### **4. Abstract**

The executive summary is a short one- to two-page abstract that succinctly summarizes the proposed project. The executive summary must include the following information:

- (a) Applicant. Provide the organization's full legal name and address.
- (b) Funding requested. List how much federal funding is being requested.
- (c) Grant Topic. List the grant topic and the location and number of mine operators and miners that the organization has selected to train or describe the training materials or equipment to be created with these funds.
- (d) Summary of the Proposed Project. Write a brief summary of the proposed project. This summary must identify the key points of the proposal, including an introduction describing the project activities and each milestone with expected results.

#### **5. Supplemental Certification Regarding Lobbying Activities**

All applicants must comply with 29 C.F.R. Part 93 and provide a certification using SF-LLL, Disclosure of Lobbying Activities.

#### **6. Evidence of Non-Profit Status**

Applicants other than states, territories, state-supported or local government-supported institutions of higher education, and tribal governments and tribal-supported institutions of higher education will be required to submit evidence of nonprofit status, preferably from the Internal Revenue Service (IRS).

#### **7. Accounting System Certification**

Under 2 C.F.R. § 200.207, a new applicant that receives less than \$1 million annually in federal grants must attach a certification stating that the organization (directly or through a designated qualified entity) has a functioning accounting system that meets the criteria below. The certification should attest that the organization's accounting system provides for the following:

- (a) Accurate, current, and complete disclosure of the financial results of each federally sponsored project.
- (b) Records that adequately identify the source and application of funds for federally sponsored activities.
- (c) Effective control over and accountability for all funds, property, and other assets.

- (d) Comparison of outlays with budget amounts.
- (e) Written procedures to minimize the time between transfers of funds.
- (f) Written procedures for determining the reasonableness, allocability, and allowability of costs.
- (g) Accounting records, including cost accounting records that are supported by source documentation.

### **C. SUBMISSION DATE, TIME, PROCESS, AND ADDRESS**

The closing date for receipt of applications under this announcement will be 60 days after the FOA is posted (no later than 11:59 p.m. EDST). Grant applications must be submitted electronically through the Grants.gov website. The Grants.gov site provides all the information needed to submit an application electronically through the site. Interested parties can locate the downloadable application package using the CFDA No. 17.603 or the Funding Opportunity Number BS-2020-1.

Applications received by Grants.gov are date and time stamped electronically. Once an interested party has submitted an application, Grants.gov will notify the interested party with two emails within two business days. The applicant will receive the following:

- A submission receipt confirmation email; and
- Either a submission validation receipt email or a rejection email message.

The submission receipt confirmation email will contain a tracking number. An applicant may check an application's status on Grants.gov using the tracking number without logging into Grants.gov. See "Track My Application (Not logged in)" in the Grants.gov Online User Guide at <https://www.grants.gov/help/html/help/index.htm?callingApp=custom#t=Applicants%2FCheckApplicationStatus%2FTrackMyApplication-NotLoggedIn.htm>. This page also addresses questions regarding application status.

#### **Hard Copy Submission**

All applications submitted in hard copy by mail or hand delivery (including overnight delivery) must be received at the designated place by the specified closing date and time. Applicants submitting applications in hard copy by mail or hand delivery must submit a "copy-ready" version free of bindings, staples, or protruding tables to ease in the reproduction of the application by DOL.

If an application is physically submitted by both hard copy and through Grants.gov, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through Grants.gov.

We will grant no exceptions to the mailing and delivery requirements set forth in this notice. Further, we will not accept documents submitted separately from the application, before or after the deadline, as part of the application.

Address mailed applications to the:

**U.S. Department of Labor  
Mine Safety and Health Administration  
Attention: Emmanuel Ekwo, Grant Officer  
Reference FOA BS-2020-1  
201 12<sup>th</sup> Street South, Suite 401  
Arlington, Virginia 22202**

Please note that mail decontamination procedures may delay mail delivery in the Washington, D.C. area. We will receive hand-delivered applications at the above address. All overnight-delivery submissions will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

**An application must be fully uploaded and validated by the Grants.gov system before the application deadline.**

#### **D. INTERGOVERNMENTAL REVIEW**

The Brookwood-Sago Grants are not subject to Executive Order 12372, "Intergovernmental Review of Federal Programs." MSHA reminds applicants that if they are not operating MSHA-approved state training grants, they should contact the state grantees and coordinate any training or educational program. Information about each state grant and the entity operating the state grant is provided online at <https://arlweb.msha.gov/TRAINING/STATES/STATES.asp>.

#### **E. FUNDING RESTRICTIONS**

MSHA will determine whether costs are allowable under the applicable federal cost principles identified in Part VI.C. and other conditions contained in the grant award.

##### **1. Allowable Costs**

Grant funds may be spent on conducting training and outreach, developing educational materials, recruiting activities (to increase the number of participants in the program), and on necessary expenses to support these activities. Allowable cost are determined by the applicable federal cost principles identified in Part VI, which are attachments in the application package, or are located online at <https://www.fedconnect.net>. Click the "Search Public Opportunities Only" section, enter the Title or FOA number of the document, and click "Search." These documents are also located on [www.msha.gov](http://www.msha.gov): select "Training and Education," click on "Training Programs and Courses," then select "Brookwood-Sago Mine Safety Grants." Paper copies of the material may be obtained by contacting MSHA. See Contacts in Part VII.

## **2. Program Income**

If an applicant anticipates earning program income during the grant, the application must include an estimate of the income that will be earned. Program income earned must be reported on a quarterly basis.

Program income is gross income earned by the grantee, which is directly generated by a supported activity, or earned as a result of the award. Program income earned during the award period shall be retained by the grantee, added to funds committed to the award, and used for the purposes and under the conditions applicable to the use of the grant funds. See 2 C.F.R. §§ 200.80 and 200.307.

## **3. Unallowable Costs**

Grant funds may not be used for the following activities under this grant program:

- (a) Any activity inconsistent with the goals and objectives of this FOA.
- (b) Training on topics that are not targeted under this FOA.
- (c) Purchasing any equipment unless pre-approved and in writing by the MSHA grant officer.
- (d) Direct administrative cost that exceed 15 percent of the total grant budget.
- (e) Indirect costs that exceed 10 percent of the modified total direct cost (as defined in 2 C.F.R. § 200.68), or the grantee's federally negotiated indirect cost rate reimbursement.
- (f) Any pre-award costs.
- (g) Building an IT system. If a learning management system is proposed, an existing system from a partnering institution or USALearning.gov must be used.

Unallowable costs also include any cost determined by MSHA as not allowed according to the applicable cost principles or other conditions in the grant.

## **4. MSHA Review of Educational Materials**

MSHA will review all grantee-produced educational and training materials for technical accuracy and suitability of content during development and before final publication. Grantees developing training materials must follow all copyright laws and provide written certification that their materials are free from copyright infringement.

When grantees produce training materials, they must provide copies of completed materials to MSHA before the end of the grant period. Completed materials should be submitted to MSHA in hard copy and in digital format for publication on the MSHA website. Two copies of the materials must be provided to MSHA. Acceptable formats for training materials include Microsoft Word, PDF, PowerPoint, and any other format agreed upon by MSHA.

## **5. License**

As stated in 2 C.F.R. § 200.315, the Department of Labor has a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use for federal purposes any work produced, or for which ownership was acquired, under a grant, and to authorize others to do so. Such products include, but are not limited to, curricula, training models, technical assistance products, and any related materials. Such uses include, but are not limited to, the right to modify and distribute such products or data for federal purposes and authorize others to use such products or data.

If a grantee purchases a non-federally funded license or copyrighted materials including modifications of such materials, the grantee is subject to the intellectual property rights of the particular license or purchase. In addition, works created by the grantee without grant or program funds do not fall under the licensing requirement.

## **6. Acknowledgement on Printed Materials**

All approved grant-funded materials developed by a grantee shall contain the following disclaimer: “This material was produced under grant number XXXXX from the Mine 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.”

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 following:

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

## **7. Use of U.S. Department of Labor (USDOL) and MSHA Logos**

With written permission from MSHA, the USDOL or the MSHA logo may be applied to grant funded materials including posters, videos, pamphlets, research documents, national survey results, impact evaluations, best practice reports, and other publications. The grantees must contact MSHA to request this written permission.

**V. APPLICATION REVIEW INFORMATION**

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**A. EVALUATION CRITERIA**

MSHA will screen all applications to determine whether all required proposal elements are present and clearly identifiable. Those that do not comply with these mandatory requirements will not be evaluated. The technical panel will review grant applications using the following criteria: the completeness of the applicant’s program design, budget, overall qualifications, and outputs and evaluations.

<b>Criteria</b>	<b>Instruction</b>	<b>Points (maximum)</b>
Program Design	Section IV.B.3	40
Budget and Budget Narrative	Section IV.B.2	20
Overall Qualifications of the Applicant	Section IV.B.3	25
Outputs and Evaluations	Section IV.B.3	15
<b>TOTAL</b>		<b>100</b>

**1. Program Design - 40 Points Total**

(a) Statement of the Problem/Need for Funds (3 points)

The proposed training and education program or training materials must address powered haulage (in particular, reducing vehicle-on-vehicle collisions, increasing seat belt use, and improving belt conveyor safety), improving safety among contractors, reducing electrocutions, improving training for new and inexperienced miners, mine emergency prevention and preparedness, or other programs to prevent unsafe conditions in mines.

(b) Quality of the Project Design (25 points)

(1) The proposal to train mine operators and miners clearly estimates the number to be trained and clearly identifies the types of mine operators and miners to be trained.

(2) If the proposal contains a train-the-trainer program, the following information must be provided:

- i. Name or type of support the grantee will provide to new trainers.



- ii. The number of individuals to be trained as trainers.
- iii. The estimated number of courses to be conducted by the new trainers.
- iv. The estimated number of students to be trained by these new trainers and a description of how the grantee will obtain data from the new trainers documenting their classes and student numbers if conducted during the grant.

(3) The work plan activities and training are described.

- i. The planned activities and training are tailored to the needs and levels of the mine operators and miners to be trained. Any special constituency to be served through the grant program is described, e.g., smaller mines, limited English proficiency miners, etc. Organizations proposing to develop materials in languages other than English also will be required to provide an English version of the materials.
- ii. If the proposal includes developing training materials, the work plan must include time during development for MSHA to review the educational materials for technical accuracy and suitability of content. If commercially developed training products will be used for a training program, applicants should also plan for MSHA to review the materials before using the products in their grant programs.
- iii. The utility of the educational materials is described.
- iv. The outreach or process to find mine operators, miners, or trainees to receive the training is described.

(c) Replication (4 points)

The potential for a project to serve a variety of mine operators, miners, or mine sites, or the extent others may replicate the project.

(d) Innovation (3 points)

The originality and uniqueness of the approach used.

(e) MSHA's Performance Goals (5 points)

The extent the proposed project will contribute to MSHA's performance goals.

## 2. **Budget - 20 Points Total**

(a) The budget presentation is clear and detailed (15 points)

The budgeted costs are reasonable.

- i. No more than 15 percent of the total budget is for direct administrative costs.
- ii. Indirect costs do not exceed 10 percent of the modified total direct costs (as defined in 2 C.F.R. § 200.68) or the grantee's federally negotiated indirect cost rate reimbursement.
- iii. The budget complies with federal cost principles (which can be found in the applicable Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards and with MSHA budget requirements contained in the grant application instructions).

(b) The application demonstrates that the applicant has strong financial management and internal control systems. (5 points)

### **3. Overall Qualifications of the Applicant - 25 Points Total**

(a) Grant Experience (6 points)

The applicant has administered, or will work with an organization that has administered, a number of different federal or state grants. The applicant may demonstrate this experience by having project staff that has experience administering federal or state grants.

(b) Mine Safety Training Experience (13 points)

- i. The applicant applying for the grant demonstrates experience with mine safety teaching or providing mine safety educational programs. Applicants that do not have prior experience in providing mine safety training to mine operators or miners may partner with an established mine safety organization to acquire mine safety expertise.
- ii. Project staff has experience in mine safety, the specific topic chosen, or in training mine operators and miners.
- iii. Project staff has experience in recruiting, training, and working with the population the organization proposes to serve.
- iv. Applicant has experience in designing and developing mine safety training materials for a mining program.
- v. Applicant has experience in managing educational programs.

(c) Management (6 points)

Applicant demonstrates internal control and management oversight of the project.

#### **4. Outputs and Evaluations - 15 Points Total**

The proposal should include provisions for evaluating the organization's progress in accomplishing the grant work activities and accomplishments, evaluating training sessions, and evaluating the program's effectiveness and impact to determine if the safety training and services provided resulted in workplace change or improved workplace conditions. The proposal should include a plan to follow up with trainees to determine the impact the program has had in abating hazards and reducing miner illnesses and injuries.

#### **B. REVIEW AND SELECTION PROCESS FOR FY 2020 GRANTS**

A technical panel will rate each complete application against the criteria described in this FOA. One or more applicants may be selected as grantees on the basis of the initial application submission, or a minimally acceptable number of points may be established. MSHA may request final revisions to the applications, and then evaluate the revised applications. MSHA may consider any information that comes to its attention in evaluating the applications.

The panel recommendations are advisory in nature. The Assistant Secretary of Labor for Mine Safety and Health 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 or the areas to be served, Agency priorities and the best value to the government, cost, and other factors. The Assistant Secretary's determination for award under this FOA is final.

#### **VI. AWARD ADMINISTRATION INFORMATION**

##### **A. AWARD NOTICES**

MSHA will notify all applicants whether they will be awarded a grant. All unsuccessful applicants may request a debriefing.

Before September 30, 2020, organizations selected as potential grant recipients will be notified by a representative of the Assistant Secretary. An applicant whose proposal is not selected will be notified in writing. The fact that an organization has been selected as a potential grant recipient does not necessarily constitute approval of the grant application as submitted (revisions may be required).

Before the actual grant award and the announcement of the award, MSHA may enter into negotiations with the potential grant recipient concerning such matters 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 negotiations and decline to fund the proposal.

**B. ANTICIPATED ANNOUNCEMENT AND AWARD DATES**

Announcement of the awards is expected to occur before September 30, 2020. The grant agreement will be signed no later than September 30, 2020.

## C. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS

### 1. Administrative Program Requirements

All grantees will be subject to applicable federal laws and regulations (including provisions of appropriations law) and applicable OMB Circulars. The grants awarded under this program will be subject to the following administrative standards and provisions, if applicable:

- (a) 2 C.F.R. Part 25, *Universal Identifier and System for Award Management*
- (b) 2 C.F.R. Part 170, *Reporting Sub-Awards and Executive Compensation Information*
- (c) 2 C.F.R. Part 175, *Award Term for Trafficking in Persons*
- (d) 2 C.F.R. Part 180, *OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement) (Nov. 15, 2006)*
- (e) 2 C.F.R. Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Dec. 26, 2013)*
- (f) 2 C.F.R. Part 2900, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*
- (g) 2 C.F.R. Part 2998, *Nonprocurement Debarment And Suspension*
- (h) 29 C.F.R. Part 2, Subpart D, *Equal Treatment in Department of Labor programs for Religious Organizations; protection of religious liberty of Department of Labor social service providers and beneficiaries*
- (i) 29 C.F.R. Part 31, *Nondiscrimination in federally assisted programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964*
- (j) 29 C.F.R. Part 32, *Nondiscrimination on the basis of handicap in programs or activities receiving federal financial assistance*
- (k) 29 C.F.R. Part 33, *Enforcement of nondiscrimination on the basis of handicap in programs or activities conducted by the Department of Labor*
- (l) 29 C.F.R. Part 35, *Nondiscrimination on the basis of age in programs or activities receiving federal financial assistance from the Department of Labor*
- (m) 29 C.F.R. Part 36, *Nondiscrimination on the basis of sex in education programs or activities receiving federal financial assistance*
- (n) 29 C.F.R. Part 93, *New restrictions on lobbying*

- (o) 29 C.F.R. Part 94, *Governmentwide requirements for drug-free workplace (financial assistance)*
- (p) *Federal Acquisition Regulation (FAR) Subpart 31.2, Contracts with commercial organizations (Codified at 48 C.F.R. Subpart 31.2)*

Except as specifically provided, MSHA's acceptance of a proposal or MSHA's award of federal funds to sponsor any program does not constitute a waiver of any grant requirement or procedure. For example, if an application identifies a specific contractor to provide certain services, the MSHA award does not constitute a justification to sole-source the procurement (to avoid competition).

## **2. Other Legal Requirements**

### **(a) Legal Rules Pertaining to Inherently Religious Activities by Organizations that Receive Federal Financial Assistance.**

Grants under this solicitation may not be used for religious instruction, worship, prayer, proselytizing, or other inherently religious activities. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of grantees and must be employed by grantees in the selection of contractors and subcontractors.

### **(b) Freedom of Information**

Any information submitted in response to this FOA will be subject to the provisions of the Freedom of Information Act, 5 U.S.C § 552 et seq., as appropriate.

### **(c) Record Retention**

You must follow federal guidelines on record retention, which require that you maintain all records pertaining to grant activities for a period of at least three years from the date of submission of the final expenditure report. *See* 2 C.F.R. § 200.333.

## **D. REPORTING**

Grantees are required by U.S. Department of Labor regulations to submit financial and project reports, as described below. Grantees also are required to submit final reports no later than 90 days after the end of the grant period.

### **1. Financial Reports**

The grantee must submit financial reports on a quarterly basis. This system uses the government-wide SF-425 Federal Financial Report (OMB Control No. 4040-0014, Exp. Date: 02/28/2022), to report the status of all funds awarded, and, if applicable, program income received and expended, during the funding period. FedConnect will send a prepopulated SF-425 form at the end of each quarter to be filled out, saved, and uploaded to submit to MSHA. All reports are due no later than 30 days after the end of the reporting period.

## **2. Performance Reports**

A grantee must submit a quarterly technical report no later than 30 days after the quarter. The technical report provides both quantitative and qualitative information and a narrative assessment of performance under the grant. This report will contain the following information:

- (a) A comparison of actual accomplishments to the objectives established for the period.
- (b) An evaluation of the impact or results of the program's activities.
- (c) Description of any significant developments or problems affecting the organization's ability to accomplish the work.
- (d) Reasons for any objectives not met.
- (e) The performance data required by Part IV.E.6.a-c.

## **3. Interim Reporting**

Between reporting dates, the grantee shall immediately inform MSHA of significant developments or problems affecting the organization's ability to accomplish work.

## **4. Final Report**

No later than 90 days after the end of the grant period, each grantee must provide a final performance and financial report, a summary of its progress (including performance data), and an evaluation report.

## **VII. AGENCY CONTACTS**

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Program Office:

Janice Oates  
Grants Program Manager  
Mine Safety and Health Administration  
U.S. Department of Labor  
201 12<sup>th</sup> Street South, Suite 401

Arlington, Virginia 22202  
(202) 693-9573  
(202) 693-9571 (FAX)  
Oates.janice@dol.gov

Carolyn T. Wilson  
Deputy Director  
Educational Policy and Development and Program Evaluation  
and Information Resources  
Mine Safety and Health Administration  
U.S. Department of Labor  
201 12<sup>th</sup> Street South, Suite 401  
Arlington, Virginia 22202  
(202) 693-9564  
(202) 693-9571 (FAX)  
Wilson.carolyn.t@dol.gov

Grants Office:

Emmanuel Ekwo  
Grant Officer  
Mine Safety and Health Administration  
U.S. Department of Labor  
201 12<sup>th</sup> Street South, Suite 401  
Arlington, Virginia 22202  
(202) 693-9635  
(202) 693-9801 (FAX)  
Ekwo.emmanuel.m@dol.gov

The telephone numbers listed above are not toll-free numbers.

### **VIII. OMB INFORMATION COLLECTION**

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This FOA requests information from applicants. This collection of information is approved under OMB Collection No. 1225-0086, which expires July 31, 2022.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 18 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

*Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301, Washington, D.C. 20210. Comments may also be emailed to DOL\_PRA\_PUBLIC@dol.gov.*



***PLEASE DO NOT RETURN YOUR GRANT APPLICATION TO THIS ADDRESS. SEND ONLY COMMENTS ABOUT THE BURDEN CAUSED BY THE COLLECTION OF INFORMATION TO THIS ADDRESS. SEND YOUR GRANT APPLICATION TO THE SPONSORING AGENCY AS SPECIFIED EARLIER IN THIS ANNOUNCEMENT.***

This information is being collected for the purpose of awarding a grant. This information is required to be considered for this grant.

\_\_\_\_\_  
Emmanuel Ekwo  
Grant Officer  
Mine Safety and Health Administration  
Arlington, Virginia

\_\_\_\_\_  
Date

2020