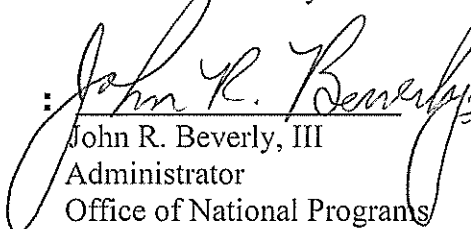
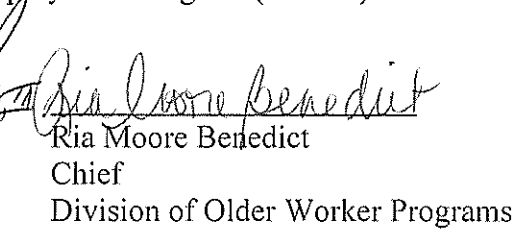


<b>EMPLOYMENT AND TRAINING ADMINISTRATION ADVISORY SYSTEM U.S. DEPARTMENT OF LABOR Washington, D.C. 20210</b>	<b>CLASSIFICATION</b>
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	<b>DATE</b> MAR 22 2004

**ADVISORY :** Older Worker Bulletin No. 04-03

**TO :** Senior Community Service Employment Program (SCSEP) Grantees

**FROM :**

 <u>John R. Beverly, III</u> Administrator Office of National Programs	 <u>Ria Moore Benedict</u> Chief Division of Older Worker Programs
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Eric Luetkenhaus  
 Grant Officer

**SUBJECT :** PROGRAM YEAR 2004 PLANNING INSTRUCTIONS AND ALLOTMENTS FOR ALL APPLICANTS

**1. Purpose:** This bulletin provides all SCSEP applicants with grant application instructions and procedures for Program Year (PY) 2004 beginning July 1, 2004 and information regarding extensions of the current grant.

**NOTE:** Separate instructions for application for funding under the special private sector set-aside under section 506(a)(1) of the Older Americans Act Amendments of 2000 (OAA Amendments) will be published in the Federal Register, or in another appropriate medium.

**2. References:** OAA Amendments, Pub. L. 106-501.

**3. Background:** The Fiscal Year 2004 appropriation for title V of the OAA is \$438,650,000. This funding will be used to support over 61,323 authorized SCSEP community service positions and will result in approximately 85,852 people being served during the program year beginning July 1, 2004.

**4. The PY 2004 Program Allotments:** Please see the Attachments for the State funding level and authorized positions.

**5. Grant Application Procedures:** All SCSEP grant applicants must submit a grant application package in order to be funded. Due to the enactment of the OAA Amendments, the requirements in the Final Unified Planning Guidance (65 FR 2464) have been superseded by the provisions of the new law. Therefore, all applicants must submit an application for funding under these requirements.

A complete grant application package must contain an original and two (2) copies of the following:

- a. Project Narrative or Technical Proposal.
- b. An SF-424 Form\*, Application for Federal Assistance (1 original with original signature and two copies).
- c. An SF-424A Form\*, Budget Information Form, with a detailed budget breakout.
- d. Assurances and Certifications.
- e. Special Conditions/Clauses.
- f. Current copies of the applicant's operating manuals and procedures, including orientation materials provided to participants on policies.
- g. Required attachments: Most recent audit report, monitoring report and Corrective Action Plan (i.e., if performance was less than the 20 percent unsubsidized placement goal and/or less than the 140 percent service goal). Note: If the applicant can demonstrate that its performance goal(s) in PY 2003 has been met at the time of this application, a corrective action plan does not need to be submitted.

\*Clean copies of the forms may be obtained from the SCSEP Website:  
<http://wdsc.doleta.gov/seniors/>. Click on "Bulletins and Memos" and look for Government Forms.

**6. Grant Application Intergovernmental Reviews:** In accordance with section 502(d) of the OAA Amendments, applicants must share applications on an intra-State basis and provide their Area Agencies on Aging (AAA) with copies of the SF-424, Application for Federal Assistance, including a summary of the project locations and an explanation of the services that will be provided. In addition, procedures established by Executive Order 12372 which implements the Single Point of Contact (SPOC) system should be followed, unless the State SPOC has waived this requirement. Any comments received should be sent to the Division of Older Worker Programs (DOWP).

**7. Methods of Submission:** Grant applications may only be submitted by U.S. Postal Service or overnight delivery. Electronic submissions are not acceptable.

**8. Eligibility Review/Responsibility Review/Grant Application Review:** The Department will conduct a pre-award eligibility review, responsibility review and grant application review as provided at section 514(c)–(d) the OAA Amendments and the current regulations in effect. Applicants will not be designated as grantees for PY 2004 if they:

- a. Fail to meet for the eligibility test of section 514(c) of the OAA Amendments.
- b. Fail to meet the responsibility tests of section 514(d) of the OAA Amendments.
- c. Fail to meet the general requirements of the OAA Amendments.

When appropriate, applicants will be advised of the Department's concerns by letter which may include, if appropriate, corrective action(s) specified as a funding condition, and a time frame for the completion of the corrective action(s).

**9. Extension of Current Grant:** Extensions are not permitted except under extreme circumstances. Extension requests must be submitted no later than June 1, 2004, and must outline the reasons for the extension request.

Note: Any services and placements provided during an extension are counted in the quarter in which they are earned.

**10. SCSEP Regulations:** The current regulations in effect on July 1, 2004 will apply for planning purposes.

**11. Performance Goals:** The current overall SCSEP Government Performance and Results Act (GPRA) goal is 35 percent. During the last complete program year, 2002, approximately 107,237 SCSEP participants were placed into unsubsidized jobs. In addition, the program and GPRA performance indicator for persons served exceeded the 140 percent customer service target level.

For Program Year 2004, the overall SCSEP GPRA goal will be thirty-five (35) percent. The GPRA measures are used for all Federal programs and are intended to improve performance. When preparing PY 2004 grant applications, all applicants should carefully consider approaches that will improve their unsubsidized placement rates. To further enhance the overall performance of the program, the Department will negotiate the unsubsidized goal of each grantee. All performance results will be made public to the grantee community.

In the aggregate, failure by the SCSEP program to achieve the negotiated unsubsidized placement rate and/or to reach the 140 percent service goal will result in the Department implementing a corrective action plan.

**13. Performance Measures:** The OAA Amendments and the pending new regulations require applicants to meet the following specific measures:

- a. The number of persons served with particular consideration given to individuals with the greatest economic need, greatest social need, or poor employment history or prospects, and individuals over the age of 60
- b. Community services provided
- c. Placement into and retention in unsubsidized public or private employment
- d. Customer satisfaction
- e. Earnings increase

The Project Narrative or Technical Proposal should address how the applicant plans to implement and meet (or exceed) their baseline levels of performance for each measure. (See Attachment I.)

Each SCSEP recipient will be expected to collect data and submit reports about the demographic characteristics of program participants. The Department will provide instructions detailing these measures and how recipients must prepare these reports.

**15. Administrative Costs:** Administrative costs are limited to 13.5 percent under the OAA Amendments at section 502(c)(3). As provided at section 502(c)(3)(A)-(B) of the OAA Amendments, the limit may be raised to 15 percent of the Federal share if it can be justified. Such requests should be based on the legislative provisions of the OAA Amendments. General statements that costs have increased do not constitute adequate justifications. The applicant must identify which costs have increased, why they have increased, and how these costs relate to program operations. The Department may honor the request if it determines that it is necessary to carry out the project, and the applicant demonstrates that:

- a. Major administrative cost increases are being incurred in necessary program components; or
- b. The number of employment positions in the project or the number of minority eligible individuals participating in the project will decline if the amount available for paying the cost of administration is not increased; or
- c. The size of the project is so small that the amount of administrative expenses incurred to carry out the project necessarily exceeds 13.5 percent of the amount for such project.

**16. Reporting Requirements:**

- a. In accordance with 29 CFR 97.40 or 29 CFR 95.51, as appropriate, each SCSEP recipient must submit an SCSEP Quarterly Progress Report (QPR) to the Department in electronic format (through the EIMS or other required instrument) within 30 days after the end of each quarter of the PY. Each SCSEP recipient must also submit a final QPR to the Department within 90 days after the end of the grant period.
- b. In accordance with 29 CFR 97.41 or 29 CFR 95.52, each SCSEP recipient must submit an SCSEP Financial Status Report (FSR) in electronic format to the Department within 30 days after the end of each quarter of the PY. Each SCSEP recipient must also submit a final FSR to the Department in electronic format (through the EIMS or other required instrument) within 90 days after the end of the grant period.
- c. Each State agency receiving title V funds must annually submit an Equitable Distribution Report of SCSEP positions by all recipients in the State.
- d. Each SCSEP recipient that receives section 502(e) funds must submit reports on its section 502(e) activities.
- e. Each SCSEP recipient may be required to submit reports regarding the program performance measures and the common performance measures.
- f. Recipients may be required to maintain records that contain any other information that the Department determines to be appropriate in support of any other reports that the Department may require.

**17. Schedule:** Applicants must comply with the following timetable:

- a. The SF-424 and SF-424A Grant Application forms and narrative should be provided to the State Office on Aging and the Area Agencies on Aging no later than submission to DOWP.
- b. The PY 2004 Grant Application is due in DOWP by April 12, 2004. However, applicants are encouraged to submit their applications as soon as possible.

Please mail or deliver completed application packages to:

Ms. Ria Moore Benedict  
Chief, Division of Older Workers Program  
U.S. Department of Labor/ETA  
200 Constitution Ave., N.W.  
Room S-4203  
Washington, D.C. 20210

18. **Inquiries:** Questions may be directed to your Federal Project Officer.

#### ATTACHMENTS

- I. Technical Proposal Instructions
- II. Budget Information Instructions
- III. Standard Forms SF-424 and SF 424A
- IV. Assurances and Certifications
- V. General Special Clauses
- VI. Authorized Positions and Funding
- VII. Federal Contacts for State and National Grantees

## **ATTACHMENTS**

### **SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM**

#### **Instructions for Completion of the Grant Application Package**

##### **Contents:**

- I. Technical Proposal Instructions
- II. Budget Information Instructions
- III. Standard Forms SF-424 and SF-424A
- IV. Assurances and Certifications
- V. General Special Clauses
- VI Authorized Positions and Funding
- VII. Federal Contacts for State and National Grantees

#### **Employment and Training Administration**

**United States Department of Labor**

**Division of Older Worker Programs**

**2004**

## ATTACHMENT I

### TECHNICAL PROPOSAL AND BUDGET

There are two main parts to the completed application – a project narrative and a proposed project budget:

*Part I. Project Narrative.* The Project Narrative outlines the applicant's Technical Proposal. In this part, the applicant describes the objectives and needs that the proposed project will meet; the results and benefits expected; the program approach; the geographic areas to be served; and the administrative mechanisms to be used. The SCSEP Project Narrative must be prepared and the program operated in accordance with the OAA Amendments, and the administrative guidance provided in Older Worker Bulletins.

*Part II. Proposed Project Budget.* The budget should be prepared using the SF-424A. Other formats which contain the same information are also acceptable. In addition, all applicants must include a detailed budget breakout with their grant application packages. Administrative costs are limited to 13.5 percent under the OAA Amendments at section 502(c)(3). The limit may be raised to 15 percent of the Federal share if it can be justified. Such requests should be based on the legislative provisions of the OAA Amendments as delineated at section 502(c)(3)(A)-(B).

Detailed requirements for completing Parts I and II of the grant application are presented in Attachments I and II below.

### TECHNICAL PROPOSAL INSTRUCTIONS

This Attachment contains detailed instructions for the completion of a project narrative. PLEASE READ EACH SECTION OF THE NARRATIVE INSTRUCTIONS CAREFULLY.

### FORMAT

**The format delineated herein must be followed or the grant application package will not be accepted.**

The text of the project narrative should be double-spaced with one-inch margins at the top, bottom, right and left sides. Pages should be numbered. The use of graphs, maps and tables is permitted. In addition to using the required section headings, applicants are encouraged to use brief topic headings for paragraphs in the text.

The title, "PART I – PROJECT NARRATIVE" should be centered and the section headings and subheadings should be entered at the left-hand margin.



Number all narrative pages and properly label attachments or enclosures.

## **CONTENT**

Content guidelines for the project narrative are discussed in the following five sections. The content must be concise and relevant. Avoid direct reiteration of statutory or regulatory requirements. The grant application must provide an explanation of the proposed project.

### **SECTION 1 – STATE SENIOR EMPLOYMENT SERVICES COORDINATION PLAN**

Applicants must describe briefly how this grant application supports the State Senior Services Coordination Plan.

### **SECTION 2 – TECHNICAL APPROACH**

This section requires information about the operations of the proposed project and the methods and procedures that the applicant will use to implement them. This section must consist of three subsections, each is discussed separately below.

**A. Plan of Action.** Provide a description of each project function or activity. Applicants must provide adequate descriptions for the reviewer to ascertain how the applicant will implement the project. The following activities must be discussed separately:

(1) Recruitment and selection of participants. Indicate the methods and resources that will be used to recruit project participants. Indicate how eligibility will be determined and documented. *Please read the following guidelines carefully.*

According to section 516(2) of the OAA Amendments, only those individuals who are at least 55 years of age and a member of a family with an income 125 percent or less of the poverty guidelines are eligible to receive SCSEP services. In accordance with section 502(b)(1)(M), priority is to be given to “minority, limited English-speaking, and Indian eligible individuals, and eligible individuals who have the greatest economic need, at least in proportion to their numbers in the State and take into consideration their rates of poverty and unemployment,” and to persons who are over the age of 60.

In addition, the Jobs for Veterans Act (JVA) of November 2002 established priority for veterans in all Department of Labor “qualified” job training programs. As defined at section 2(a)(2)(C) of the JVA, which amends 38 U.S.C. 4215, SCSEP meets the qualifying criteria as a “program or service that is a workforce development program targeted to specific groups.” Persons covered by this requirement are defined at section 2(a)(1) of the statute (38 U.S.C. 4215(a)(1)) as follows:

- A veteran
- The spouse of any of the following individuals:
  - Any veteran who died of a service-connected disability
  - Any member of the Armed Forces on active duty, who has been listed for a total of more than 90 days as missing in action, captured in the line of duty by a hostile force, or forcibly detained by a foreign government or power
  - Any veteran who has a total disability resulting from a service-connected disability
  - Any veteran who died while a disability so evaluated was in existence

The veterans' priority requirements must also be integrated with the special consideration preferences delineated at section 502(b)(1)(M) of the OAA Amendments. In applying these preferences, grantees are not expected to find such participants; but rather when faced with enrolling several individuals, preference should be given to the individual with these characteristics. If no individual possesses the preference characteristics, then the enrollment must still be based on the age and veteran priorities.

We offer the following examples to demonstrate the practical application of the requirements of both statutes. The examples are divided by age group, in descending order of priority:

- Eligible Individuals Age 60 or Older:
  - Veterans and qualified spouses who meet the special consideration criteria (if feasible)
  - Veterans and qualified spouses who do not meet the special consideration criteria
  - Non-veterans who meet the special consideration criteria (if feasible)
  - Non-veterans who do not meet the special consideration criteria
- Eligible Individuals Ages 55-59:
  - Veterans and qualified spouses who meet the special consideration criteria (if feasible)
  - Veterans and qualified spouses who do not meet the special consideration criteria
  - Non-veterans who meet the special consideration criteria (if feasible)
  - Non-veterans who do not meet the special consideration criteria.

(2) Continued Eligibility for Enrollment in the SCSEP. All grantees are required to recertify the income of each participant at least once each program year. Indicate the schedule for certifying participants and action, if any, to be taken on behalf of those found to be ineligible. Indicate where eligibility records will be maintained. Note: Self-attestation of income eligibility, without appropriate documentation, is not permitted.

(3) Physical Examinations. Describe the arrangements that will be made to offer initial and annual physical examinations to participants. These examinations are a service to participants -- a fringe benefit of participation -- and are not to be used as an eligibility criterion. Providing the results of the examination to the grantee is optional for the participant. If provided, they should not be included in the participant file. They should be maintained in a secure file to maintain confidentiality. Participants are not required to have an examination, but there should be documentation of an offer to provide an examination. If through their own efforts participants obtain a medical examination or if they have just had one, this will meet the intent of the requirement. Grantees are required to offer annual physical examinations to participants. If a participant waives the exam, the waiver should be documented.

(4) Orientation. Describe participant and host agency orientation procedures. The description should include mention of participant and agency responsibilities, permissible political activities, grievance procedures, etc. Include current copies of your operation manuals and procedures, including orientation materials provided to participants on policies.

(5) Assessment. Describe procedures for assessing the job aptitudes, job readiness, and job preferences of participants, as well as their potential for transition into unsubsidized employment. Training and supportive service needs of participants should also be addressed as part of this assessment, which must be administered upon enrollment and at least once each year thereafter. The assessment must also be considered in the formation of each participant's Individual Employment Program (IEP).

(6) Individual Employability Plan (IEP). Describe how the assessment will be used to develop the participant's IEP – a plan that includes an employment goal and an appropriate reasonable sequence of services for the participant based on the assessment. The participant must be an active partner in the development of the IEP. The IEP should be reviewed and updated at least twice every 12-month period. More successful projects generally update the IEP more frequently – i.e., on a continuous or as-needed basis.

(7) Assignment to Community Service. Describe how participants will be assigned to community service. Include such factors as:

- (a) Types of community service activities that will be emphasized in assigning participants and how they were chosen
- (b) Methods used to match participants with community service training
- (c) Extent to which participants will be placed in assignments involving the administration of the project itself
- (d) Types of host agencies to be used and the procedures and criteria for selecting work assignments
- (e) Average number of hours in participant work weeks
- (f) Average participant wage rate
- (g) Participant fringe benefits (if offered)
- (h) Procedures for assuring participants are given adequate work site supervision.

(8) Training during community service assignment and other training. Describe the training that will be provided to participants. Training must be related to the participant assessment and to the IEP. It may be related to the SCSEP job duties, or it may be developmental (i.e., the skills developed will enhance the participant's unsubsidized employment opportunities).

Under the OAA Amendments, the section 502(e) private sector set-a-side is no longer authorized from general SCSEP funds, and grantees are not permitted to use their community service funding for these private sector projects. In order to compensate, applicants should consider other ways to provide participant training. Creative approaches to participant training can be accomplished within the regulatory requirements. Classroom training, lectures, seminars and individual instruction singularly and in combination with other activities are allowable. Job search and job club activities are allowable in combination with other activities. Further, applicants should specify how they will leverage other Department of Labor training opportunities such as the Disability Program Navigators at local One-Stops and the Registered Apprenticeship Program to provide training. Although the availability of SCSEP training funds is limited because of limitations on the basic cost categories, at least 10% of the Federal SCSEP funding can be used for training.

**NOTE:** A separate Older Worker Bulletin on creative training is being developed and will be released soon. Plans to implement the new training options must be approved in advance by the Department.

(9) Supportive services. Describe the supportive services – designed to help participants get and keep an unsubsidized job – that will be provided to participants. Identify the source(s) of these services.

(10) Participant transportation. If applicable, describe the arrangements that will be made to provide transportation assistance to participants. Define the reimbursement rate for transportation. (Transportation expenditures should be for

the purpose of providing a benefit to participants; they are not to be used to support other programs or services.)

(11) Placement into unsubsidized employment. Describe the steps that will be taken to move or place participants into unsubsidized employment. Include the cooperative measures that will be taken with the Workforce Investment Act, the One-Stop Delivery System, and the Department of Labor Work Opportunity Tax Credit Program in support of this effort. These strategies should support the President's and ETA's focus on high-growth industries, i.e.,: health care, information technology, biotechnology, geospatial technology, automotive, retail, advanced manufacturing, construction, transportation, hospitality, financial services and energy. Please tell us how this follow-up will be done and who will do it. Applicants that were unable to place the number of participants that equals at least 20 percent of their annual authorized positions into unsubsidized employment in the prior program year (2003) must attach a plan of action for addressing the goal in the forthcoming year and for performance improvement, which will be made part of the special clauses for such grantee. If an applicant has already met the goal for the current year, a corrective action plan is not required.

(12) Maximum Duration of Enrollment. Maximum duration of enrollment is an optional provision of the regulations and, as such, sponsors may elect not to exercise this option. If there is such a time limit on enrollment established in the grant agreement, the grantee must provide for a system to transition participants to unsubsidized employment or other assistance before the maximum enrollment duration has expired. Provisions for transition must be reflected in the participant's IEP.

(13) Individual Employability Plan-Related Terminations. Termination of a participant based on his/her IEP is an optional provision of the regulations. Applicants may elect not to exercise this option; however, those applicants wishing to use this option should describe efforts to provide adequate notification of IEP-related terminations to participants. Indicate the relationship between these terminations and the IEP. Describe efforts to ensure that this policy is applied equitably and uniformly. Define the kinds of referrals and number that must be refused in order to implement the IEP-related termination. Indicate situations that would exempt the participant from this policy. Describe how the grievance procedures will be related to the IEP related terminations, including corrective action letters and documentation.

(14) Participant Complaint Resolution. Describe fully the system of due process that will be used in cases where an adverse action is contemplated against a participant or in cases where an applicant for enrollment wishes to dispute an unfavorable determination of eligibility. Attach an example of the written explanation of the due process system that is given to each participant. Note: If your attached participant orientation materials address complaint resolution procedures, that will suffice to satisfy this requirement.

(15) Over-Enrollment Describe the utilization of participants when there is over-enrollment, and the anticipated number of participants that could be employed above the number of authorized positions. Describe how participants will be notified of their short-term status, and how the short-term status of participants will be identified in participant records. Applicants must describe how they will balance ED Report requirements with over-enrollment to achieve equitable distribution.

(16) Maintenance of Effort. Describe steps that will be taken to ensure compliance with the Maintenance of Effort provision. The maintenance strategy “will result in an increase in employment opportunities which would otherwise be available; will not result in the displacement of currently employed workers (including partial displacement, such as a reduction in the hours of non-overtime work or wages or employment benefits; and will not impair existing contracts or result in the substitution of Federal funds for other funds in connection with work that would otherwise be performed; will not employ or continue to employ any eligible individual to perform work the same or substantially the same as that performed by any other person who is on layoff.” See OAA Amendments sections 502 (b)(1)(F) and 501(b)(1)(G).

(17) Procedures for Payroll and Payment of Workers’ Compensation Costs. Describe how payroll and workers’ compensation premiums are paid. Include in this description an estimate of how much is paid in a grant year for workers’ compensation premiums and separately for workers’ compensation claims. Please note that in PY 2004, it will not be permissible to delegate this responsibility of providing workers compensation coverage to host agencies. Such practices lead to poor program performance. This section applies to program participants’ costs only.

(18) Collaboration. Describe how you will collaborate with other entities serving the same area—e.g., the One-Stop Delivery System or other grantees—to maximize opportunities for SCSEP participants to obtain intensive and training services, and to move into unsubsidized employment. Also describe plans for referring or co-enrolling job ready individuals to the One-Stop.

**B. New Performance Standards and Reporting Requirements**. Describe plans for implementing the proposed new performance standards and new reporting requirements in PY 2004 **including the purchase of computer and Internet access for all local persons who have data entry responsibilities**. Describe how existing staff resources will be augmented to meet the increased data collection and reporting needs.

**C. Equitable Distribution**. Describe the current slot imbalances and the steps *your organization* is proposing to correct such inequities in conjunction with other selected

SCSEP grantees. Applicants should ensure that this information is consistent with the ED Report and the State Plan.

**NOTE:** The Census Bureau has made available information from the 2000 decennial Census relating to the number of people eligible for SCSEP. This information can be accessed on the Older Worker website at <http://wdsc.doleta.gov/seniors>, and must be incorporated in PY 2004 grant applications. Grant applicants must describe the effect the new Census information will have on the distribution of positions in their State in PY 2004.

### **SECTION 3 – GEOGRAPHIC AREAS TO BE SERVED**

List the cities and counties where the project and its subprojects will be conducted. Include the number of SCSEP authorized positions to be established in each jurisdiction. For those applicants with a project located in a city but also serving surrounding counties (or other jurisdictions), the authorized positions for the surrounding counties/jurisdictions **must** be listed as well. Please indicate where authorized positions have been changed from the prior year.

### **SECTION 4 – PROGRAM ADMINISTRATION**

**A. Organizational Structure.** Describe the organizational structure of the project, including an explanation of the mission and function of each unit connected with the project.

**B. Subproject Management.** In completing this section, applicants need not provide specific information on their subgrantees or contractors. The Department is interested only in general procedures and practices utilized by the grantee to manage and select their subproject operators. Applicants must describe how they will assure that subgrantees, affiliates, contractors, or other entities receive adequate resources to effectively operate local projects. (See OAA Amendments section 502(b)(1)(R)).

**C. Training of Subproject (Local) Staff.** Describe the training that will be provided to increase the skills, knowledge, and abilities of local staff. Where applicable include a description of the proposed staff training with dates, content, and potential participants.

**D. Project Monitoring.** Explain the methods and procedures to be used to monitor and evaluate project activities, subgrantees, and contractors to determine whether the project is being administered in accordance with Federal guidelines and regulations and whether project goals and timetables are being met. Respond to the following issues:

- (1) Frequency of monitoring/evaluation visits to local projects
- (2) Person(s) responsible for monitoring and evaluation

- (3) Criteria used to monitor and evaluate project activities
- (4) Methods for prescribing remedial action when necessary
- (5) Follow-up procedures to ensure that any identified problem has been remedied
- (6) Validation of sub-project reports

In general, local projects should be monitored no less than once each grant period. All written monitoring reports and subsequent follow-up actions must be made a part of the permanent files. Applicants must also attach a copy of their most recent monitoring report to their application.

**E. Financial Monitoring.** Describe how the financial management system of local subprojects will be monitored. The following issues should be addressed:

- (1) Person(s) responsible for monitoring subgrantee expenditures
- (2) Frequency of monitoring of expenditures
- (3) Follow-up procedures to be used
- (4) Validation of financial reports

All written monitoring reports and subsequent follow-up actions must be made a part of the permanent files.

**F. Audits.** Describe audit coverage including plans to audit local projects as well as plans to audit the headquarters activities. To the extent feasible, provide dates, possible audit firms and selection procedures for future audits. Provide specific references to the most recent audit. Include the name of the audit firm and the date, and attach a copy of the most recent audit.

## **SECTION 5. CONTINGENCY PLAN FOR PARTICIPANTS**

Applicants should describe how on-board participants will be transferred to new grantees if a grantee loses all or some of its positions. Such losses may occur if there are position reductions resulting from competition, swaps, new Census data, or reductions in funding. In this section, please address the following issues:

- (1) How and when the participants will be notified
- (2) Records, if appropriate, that will be turned over to the new grantee
- (3) Efforts to place program participants into other employment and training opportunities
- (4) Services that will be provided to ease the transition
- (5) How final payroll payments will be made

By accepting this grant, the grantee agrees to carry out the transition plan, should that be necessary.



## ATTACHMENT II

### **BUDGET INFORMATION INSTRUCTIONS**

Part 2 of the proposal should be titled "PART II – PROPOSED PROJECT BUDGET." The applicant must prepare the proposed budget using Standard Form (SF) 424A (available in MS Word format at [http://wdsc.doleta.gov/seniors/other\\_docs/SF424a.doc](http://wdsc.doleta.gov/seniors/other_docs/SF424a.doc)) or a comparable format.

Sections A, B, C, and D of the Budget Information Form should include budget estimates for the entire grant period. Sections A and B require information on the four basic grant functional areas: (1) Administration; (2) Local Administration; (3) Participant Wages and Fringe Benefits; and (4) Other Participant Costs. Costs attributable to these functional areas are described in the regulations (also see Older Worker (OW) Bulletin No. 97-26). Applicants must ensure that the proportional distribution of the Federal funds among these functional areas meets the program requirements.

The following instructions are intended to clarify the process of completing the SF-424 grant application and the SF-424A budget form. The current regulations should be reviewed as well as such bulletins as OW Bulletin No. 97-26, Classification of Other Participant Costs; OW Bulletin No. 00-20 Allocation of Indirect Costs; and OAA Amendments sections 502(b)(3)-(b)(4). Local Administration includes estimated sums associated with the administration of state and Local SCSEP project activities including subgrantees, subcontractors, or other affiliates. (OAA Amendments section 502(b)(1)(R)). Sufficient funding for administrative costs must go to the local levels of program operation.

### **CLARIFYING INSTRUCTIONS FOR STANDARD FORM 424**

If additional space is needed to complete an item, insert an asterisk and use an extra sheet of paper. For the most part, this form is self-explanatory. Complete all applicable items.

**Item 12.** List the counties with the number of authorized positions to be placed in each one. If the space on the form is not sufficient, please continue on a separate page.

**Item 15.** The Federal funding for Program Year 2004 for all State applicants is listed in Attachment V or may be obtained by calling your Federal Project Officer.

## **CLARIFYING INSTRUCTIONS FOR STANDARD FORM 424-A**

### **Section A - Budget Summary**

*Lines 1 - 4, Columns (a) and (b).*

Under Column (a), enter the following:

Line 1 – “Administration”

Line 2 – “Local Administration”

Line 3 – “Participant Wages and Fringe Benefits (EW/FB)”

Line 4 – “Other Participant Costs (OEC)”

Under Column (b) on Line 1, enter “17.235”.

*Lines 1 - 4, Column (c) through (g).* Leave Columns (c) and (d) blank. For each line entry under Column (a), enter in Columns (e) (Federal), (f), (Non-Federal) and (g) the appropriate amounts of funds needed to support the project for the grant period.

*Line 5.* Show totals for all columns of the non-Federal funds. The non-Federal share must be no less than 10 percent of the total cost of the project. The legislative requirement is found in section 502(c)(1) of the OAA Amendments. Rules regarding States and non-Federal funds are found in the administrative regulations, 29 CFR Part 97. Please indicate as a remark (on Line 23) the specific source(s) and amounts (if known) of any non-Federal funds and include this information in the detailed cost breakout.

### **Section B – Budget Categories**

In the column headings at Line 6 titled “Object Class Categories” (1) through (4), enter the titles of the grant functional areas (Administration, Local Administration, EW/FB, and OEC) shown on Lines 1 - 4, Column (a), Section A. For each functional area fill in the total funds needed (Federal plus non-Federal) by object class categories. The object class categories are those listed in lines 6(a) through 6(k) including totals.

*Lines 6a through 6h.* Show the estimated amount (include the combined Federal and non-Federal share) for each direct object class category under each column used. All costs to be incurred under contracts or subgrants should be reflected in line 6f (Contractual). The costs to be incurred under individual contracts or subgrants must be properly attributed among the three basic functional areas (i.e., Administration, Local Administration, EW/FB, and OEC). Under the EW/FB column (Participant Wages and Fringe Benefits), entries may be made in three object class categories: “Personnel” (Participant Wages), “Fringe Benefits” (Participant Fringe Benefits), or “Contractual” (when funds for participant wages and fringe benefits are to be included in contracts or subgrants).

Line 6i. Show the total of entries made for lines 6a through 6h in each column.

Line 6j. Show the amount of indirect costs. A copy of the current indirect cost rate agreement must be sent with the application. If it is not available please provide an explanation and an estimate as to when it will be available.

Line 6k. Enter the totals of the amounts indicated on lines 6i and 6j. For all applications, the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5.

Line 7. Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Under the project narrative statement describe the nature and source of such income. **Note:** Income generated by SCSEP projects must be used for SCSEP activities.

### **Section C – Source of Non-Federal Resources**

Line 8. Enter amounts of non-Federal resources that will be used in the grant.

Column (a). On Line (8) Column (a) only, enter "SCSEP" (Senior Community Service Employment Program). A breakdown by functional areas is not necessary. Use Line (8) for entries under all columns.

Column (b). Enter the amount of applicant cash and/or in-kind contributions to be made.

Column (c). Enter the State(s) contribution. This requirement does not apply to State grantees.

Column (d). Enter the amount of cash and/or in-kind contributions to be made from all other sources.

Column (e). Enter totals of Columns (b), (c), and (d). The amount under Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Line 12. Under each column enter the same figure entered in Line (8).

### **Section D - Forecasted Cash Needs**

Make no entries.

### **Section E - Budget Estimates of Federal Funds Needed for Balance of Project**

Make no entries.

## **Section F - Other Budget Information**

Line 21 - Direct Charges. In the space provided type "A Detailed Cost Breakout is Attached."

A Detailed Cost Breakout is required with the Grant Application Package. All applicants should prepare this and have available for inspection the basis for their estimated costs by line item (including the detail for the "Other" line item). The cost breakout should reflect the SF-424 so that totals match for both the form and the detailed breakout. Information should be presented by line item and category. Applicants are encouraged to describe any extraordinary item such as planned conferences, travel, and unusual expenses.

It is important that the cost breakout demonstrate how costs are distributed vertically as well as horizontally, showing costs that occur at the local levels. The detailed cost breakout should also indicate the specific kind of non-Federal resources; for instance, the provision of office space or the salaries of project staff.

The applicant may consult with the Federal Project Officer regarding the needed level of detail. In categorizing costs and their applicability, all sponsors must follow OAA 2000 Section 502(c) and the Regulations at 20 CFR Part 641 Subpart D, sections 641.401 - 641.407. Please also see the discussion of administrative costs in the One-Stop Comprehensive Financial Management Guide at [http://wdsc.doleta.gov/sga/pdf/FinalTAG\\_August\\_02.pdf](http://wdsc.doleta.gov/sga/pdf/FinalTAG_August_02.pdf), pages II-5-3 to II-5-6.

*Other considerations:* Grantees may be expected to attend Department-sponsored measures training and should prepare their budgets accordingly. It may also be useful to budget amounts for training, software and new computers (including Internet access) related to new reporting requirements. **NOTE:** Applicants should have current computer technology and ensure that their organizations have the capability to link to the Internet. Reporting will be done via the Internet.

When applicants divide costs between the "Administration" and "Other Participant Costs" Categories for the same cost item (such as a local project director), they should describe the basis for that division and include mention of any surveys used to determine the allocations. The Department of Labor reserves the right to require additional information on any budget line item or cost category.

Line 22 - Indirect Charges. Enter the type of indirect rate (provisional, predetermined, final, or fixed) that will be in effect during the grant period, and the nature and the amount of the base to which the rate is applied, and the total indirect charges. Include a copy of your agency's approved indirect cost rate agreement. It should cover the entire grant period. If not, state that a new one will be provided when available.

Applicants that have not previously used an indirect cost rate but wish to do so must contact the Grant Officer, who will advise the grant applicant of the documents and materials that must accompany the grant application in support of the request. Where indirect charges are approved, the terms and conditions relating to the payment of indirect costs, which are subject to negotiation by the Department, will be specified in the grant document.

Line 23 - Remarks. Provide any other explanations or comments deemed necessary, such as specific sources of non-Federal funds. It is also suggested that the words "See Attached Detailed Cost Breakout" be entered in this section.

**ATTACHMENT III**

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier
<b>5. APPLICANT INFORMATION</b>			
Legal Name:		Organizational Unit:	
Address (give city, county, State, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> [ ] [ ] - [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]		<b>7. TYPE OF APPLICANT: (enter appropriate letter in box)</b>	
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es)    [ ]    [ ] A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other(specify): _____		A. State                      H. Independent School Dist. B. County                    I. State Controlled Institution of Higher Learning C. Municipal                J. Private University D. Township                K. Indian Tribe E. Interstate                L. Individual F. Intermunicipal         M. Profit Organization G. Special District        N. Other (Specify) _____	
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> [ ] [ ] - [ ] [ ] [ ] [ ] TITLE: _____		<b>9. NAME OF FEDERAL AGENCY:</b>	
<b>12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):</b>		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>	
<b>13. PROPOSED PROJECT</b>		<b>14. CONGRESSIONAL DISTRICTS OF:</b>	
Start Date	Ending Date	a. Applicant	b. Project
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>	
a. Federal	\$ _____ <sup>00</sup>	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON:	
b. Applicant	\$ _____ <sup>00</sup>	DATE _____	
c. State	\$ _____ <sup>00</sup>	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372	
d. Local	\$ _____ <sup>00</sup>	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
e. Other	\$ _____ <sup>00</sup>	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>	
f. Program Income	\$ _____ <sup>00</sup>	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
g. TOTAL	\$ _____ <sup>00</sup>		
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes 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 regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item:  | Entry:   |
|--|--|
| 1. Self-explanatory.   | 12. List only the largest political entities affected (e.g., State, counties, cities).   |
| 2. Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).   | 13. Self-explanatory.  |
| 3. State use only (if applicable).   | 14. List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7. Enter the appropriate letter in the space provided.   | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- "New" means a new assistance award.<br><br>-- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |  |
| 9. Name of Federal agency from which assistance is being requested with this application.  |  |
| 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.  |  |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |  |



**BUDGET INFORMATION - Non-Construction Programs**

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$	\$	0.00
2.						0.00
3.						0.00
4.						0.00
5. Totals		\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	0.00

**SECTION B - BUDGET CATEGORIES**

Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	0.00
b. Fringe Benefits					0.00
c. Travel					0.00
d. Equipment					0.00
e. Supplies					0.00
f. Contractual					0.00
g. Construction					0.00
h. Other					0.00
i. Total Direct Charges (sum of 6a-6h)	0.00	0.00	0.00	0.00	0.00
j. Indirect Charges					0.00
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	0.00
7. Program Income	\$	\$	\$	\$	0.00

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.	\$	\$	\$	0.00	0.00
9.				0.00	0.00
10.				0.00	0.00
11.				0.00	0.00
12. TOTAL (sum of lines 8-11)	\$	0.00 \$	0.00 \$	0.00 \$	0.00 \$

SECTION D - FORECASTED CASH NEEDS									
(a) Grant Program	Total for 1st Year	1st Quarter		2nd Quarter		3rd Quarter		4th Quarter	
	\$	\$	\$	\$	\$	\$	\$	\$	\$
13. Federal	0.00 \$								
14. Non-Federal	0.00								
15. TOTAL (sum of lines 13 and 14)	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00 \$	0.00 \$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (Years)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16.	\$	\$	\$	\$	
17.					
18.					
19.					
20. TOTAL (sum of lines 16-19)	\$	0.00 \$	0.00 \$	0.00 \$	0.00 \$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

## INSTRUCTIONS FOR THE SF-424A

Public reporting burden for this collection of information is estimated to average 180 minutes 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 regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the Catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the Catalog program title on each line in *Column* (a) and the respective Catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

### Lines 1-4, Columns (c) through (g)

For *new applications*, leave Column (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5** - Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Line 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

## INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

**Lines 8-11** Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.

## ATTACHMENT IV

### ASSURANCES AND CERTIFICATIONS

**The Assurances and Clauses are found in this Part. Please review them carefully and affix proper signatures.**

THE GRANT CONDITIONS AND CLAUSES WILL BE PROVIDED TO GRANTEEES BY THE DIVISION OF FEDERAL ASSISTANCE (GRANT OFFICER) ALONG WITH A GRANT SIGNATURE SHEET AND PACKAGE FOR THE GRANTEE'S SIGNATORY OFFICIAL PRIOR TO JULY 1, 2004. SHOULD THERE BE ANY INCONSISTENCY BETWEEN THE CONDITIONS AND THE GRANTEE'S PROPOSAL, THE CONDITIONS SHALL GOVERN. FURTHER, IF THERE SHOULD BE SUCH INCONSISTENCY BETWEEN THE CONDITIONS AND THE SPECIAL CLAUSES, THE SPECIAL CLAUSES SHALL GOVERN.

## PROGRAM ASSURANCES - NON-CONSTRUCTION PROGRAMS

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

- (1) Has the legal authority to apply for Federal Assistance, and the institutional managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
- (2) Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (3) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (4) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (5) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- (6) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88.352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of handicaps; (c) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (d) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92.255) as amended, relating to nondiscrimination on the basis of drug abuse; (e) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91.616) as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (f) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd.3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (g) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.) as amended, relating to nondiscrimination in the sale, rental or financing of housing; (h) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (i) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (7) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91.646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- (8) Will comply with the provisions of the Hatch Act (U.S.C. 1501-1508, and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- (9) Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a 7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act (40.327-333), regarding labor standards for federally assisted construction subagreements.
- (10) Will comply, if applicable, with Flood Insurance Purchase Requirements of Section 102(A) of the Flood Disaster Protection Act of 1973 (P.L. 93.234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (11) Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91.190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93.523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93.205).
- (12) Will comply with the Wide and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wide and scenic rivers system.
- (13) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a.1 et seq.).
- (14) Will comply with P.L. 93.348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (15) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L.) 89.544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- (16) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
- (17) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984.
- (18) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(see reverse for public burden disclosure)

<p><b>1. Type of Federal Action:</b></p> <p>a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p>a. bid/offer/application b. initial award c. post-award</p>	<p><b>3. Report Type:</b></p> <p>a. initial filing b. material change For Material Change Only: year ____ quarter ____ date of last report ____</p>
<p><b>4. Name and Address of Reporting Entity:</b> ___ Prime ___ Subawardee Tier ____, if known:  Congressional District, if known:</p>	<p><b>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime.</b>  Congressional District, if known:</p>	
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable:</p>	
<p><b>8. Federal Action Number, if known:</b></p>	<p><b>9. Award Amount, if known:</b> \$</p>	
<p><b>10. a. Name and Address of Lobbying Entity individual, last name, first name, MI):</b> (if  (Attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>	<p><b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI):</b>  (Attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>	
<p><b>11. Amount of Payment (check all that apply):</b> ___ actual ___ planned \$</p> <p><b>12. Form of Payment (check all that apply):</b> ___ a. cash ___ b. in-kind; specify: nature _____ value _____</p>	<p><b>13. Type of Payment (check all that apply)</b> ___ a. retainer ___ b. one-time fee ___ c. commission ___ d. contingent fee ___ e. deferred ___ f. other, specify:</p>	
<p><b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11:</b>  (attach Continuation Sheet(s) SF-LLL-A, if necessary)</p>		
<p><b>15. Continuation Sheet(s) SF-LLL-A attached:</b> ___ YES ___ NO</p>		
<p><b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>	<p>Signature _____ Print Name: _____ Title: _____ Telephone Number: _____ Date: _____</p>	

# Lobbying Certification (29 CFR Part 93)

## Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal Action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes 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 regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.



DISCLOSURE OF LOBBYING ACTIVITIES  
(Continuation Sheet)

Reporting Entity:

Page \_\_\_\_ Page

## ATTACHMENT V

### GENERAL SPECIAL CLAUSES

- (1) Website contact information must be updated on a regular basis, as necessary.
- (2) SCSEP reports must be submitted accurately and on a timely basis.
- (3) Attendance is required at any significant training to be held during the program year. Attendance is mandatory for program directors and the staff responsible for SCSEP fiscal reporting.
- (4) Any grantee that did not meet the 20 percent performance goal for unsubsidized placements or the 140 percent service goal in PY 2002 must attach a corrective action plan unless that applicant has already achieved these goals in PY 2003.

**ATTACHMENT VI**

USDOL/ETA  
**Older Americans Program**  
**PY 2004 Older Americans Allotments**

<sup>1</sup>With \$2 M of Reprogrammed PY 2002 funds Included in Minority Sponsor Reserve

	<u>National Sponsors</u>		<u>State Agencies</u>		<u>Total</u>	
	Pos	Dollars	Pos	Dollars	Pos	Dollars
<b>Total Appropriation<sup>1</sup></b>					<b>61,603</b>	<b>\$440,649,607</b>
Special Projects Reserve					280	2,000,000
Territory Total Reserve			460	\$3,289,872	460	3,289,872
Balance	47,788	\$341,842,114	13,064	93,517,621	60,852	435,359,735
Minority Sponsor Reserve <sup>1/2</sup>	1,715	12,263,104	0	0	1,715	12,263,104
<b>State Total (Formula)<sup>1</sup></b>	<b>46,069</b>	<b>329,579,010</b>	<b>13,064</b>	<b>93,517,621</b>	<b>59,137</b>	<b>423,096,631</b>
Alabama	887	6,345,481	227	1,625,823	1,114	7,971,304
Alaska	0	0	262	1,876,500	262	1,876,500
Arizona	639	4,572,267	174	1,245,793	813	5,818,060
Arkansas	872	6,238,173	223	1,597,174	1,095	7,835,347
California	4,115	29,434,508	1,052	7,527,488	5,167	36,961,996
Colorado	484	3,462,472	124	888,115	608	4,350,587
Connecticut	526	3,762,935	134	959,737	660	4,722,672
Delaware	0	0	262	1,876,500	262	1,876,500
District of Columbia	275	1,967,314	71	508,517	346	2,475,831
Florida	2,824	20,202,524	724	5,178,281	3,548	25,380,805
Georgia	1,061	7,590,254	272	1,948,122	1,333	9,538,376
Hawaii	0	0	262	1,876,500	262	1,876,500
Idaho	231	1,650,437	65	467,588	296	2,118,025
Illinois	1,863	13,325,282	478	3,416,377	2,341	16,741,659
Indiana	1,253	8,963,797	321	2,299,071	1,574	11,262,868
Iowa	613	4,385,321	157	1,124,468	770	5,509,789
Kansas	491	3,515,069	125	895,277	616	4,410,346
Kentucky	907	6,488,558	233	1,668,796	1,140	8,157,354
Louisiana	808	5,783,116	207	1,482,578	1,015	7,265,694
Maine	295	2,110,391	76	544,328	371	2,654,719
Maryland	658	4,707,245	169	1,210,414	827	5,917,659
Massachusetts	1,041	7,447,978	267	1,912,311	1,308	9,360,289
Michigan	1,597	11,419,966	410	2,929,346	2,007	14,349,312
Minnesota	1,136	8,122,690	291	2,084,205	1,427	10,206,895
Mississippi	590	4,220,782	152	1,088,657	742	5,309,439
Missouri	1,185	8,474,555	303	2,170,151	1,488	10,644,706
Montana	298	2,131,853	77	551,491	375	2,683,344
Nebraska	366	2,619,906	94	673,248	460	3,293,154
Nevada	240	1,717,591	65	467,588	305	2,185,179
New Hampshire	220	1,575,716	65	467,588	285	2,043,304
New Jersey	1,353	9,679,184	346	2,478,126	1,699	12,157,310
New Mexico	274	1,960,704	69	494,193	343	2,454,897
New York	3,167	22,653,660	811	5,801,394	3,978	28,455,054
North Carolina	1,252	8,956,643	321	2,299,071	1,573	11,255,714
North Dakota	287	2,053,160	74	530,004	361	2,583,164
Ohio	2,087	14,930,123	536	3,831,785	2,623	18,761,908
Oklahoma	775	5,541,619	197	1,410,956	972	6,952,575
Oregon	704	5,036,323	180	1,289,199	884	6,325,522
Pennsylvania	2,559	18,306,091	657	4,698,413	3,216	23,004,504
Puerto Rico	658	4,707,245	168	1,203,252	826	5,910,497
Rhode Island	254	1,817,083	66	472,706	320	2,289,789
South Carolina	652	4,664,322	167	1,196,090	819	5,860,412
South Dakota	333	2,379,725	85	608,788	418	2,988,513
Tennessee	978	6,996,483	250	1,790,554	1,228	8,787,037
Texas	2,657	19,004,260	681	4,870,306	3,338	23,874,566
Utah	319	2,282,084	82	587,302	401	2,869,386
Vermont	262	1,874,313	68	487,031	330	2,361,344
Virginia	1,038	7,422,009	266	1,905,149	1,304	9,327,158
Washington	709	5,069,187	181	1,296,361	890	6,365,548
West Virginia	538	3,848,781	138	988,386	676	4,837,167
Wisconsin	1,227	8,775,680	314	2,248,935	1,541	11,024,615
Wyoming	230	1,647,254	65	467,588	295	2,114,842
<b>State Total</b>	<b>47,788</b>	<b>341,842,114</b>	<b>13,064</b>	<b>93,517,621</b>	<b>60,852</b>	<b>435,359,735</b>
American Samoa	0	0	138	986,961	138	986,961
Guam	0	0	138	986,962	138	986,962
Northern Marianas	0	0	46	328,987	46	328,987
Virgin Islands	0	0	138	986,962	138	986,962
<b>Territory Total</b>	<b>0</b>	<b>\$0</b>	<b>460</b>	<b>\$3,289,872</b>	<b>460</b>	<b>\$3,289,872</b>

<sup>2</sup> State distribution of national sponsors includes distribution of minority national sponsor funding by State.

**ATTACHMENT VII**

**FEDERAL CONTACTS FOR NATIONAL GRANTEEES**

<b>NATIONAL GRANTEE</b>	<b>FEDERAL REPRESENTATIVE</b>	<b>BACKUP</b>
<b>SER-Jobs for Progress National, Inc.</b>	Adriana Barsotti-Kaplan	Gale Gibson
<b>USDA Forest Service</b> <b>National Asian Pacific Center on Aging</b>	Karen Davis	Judith Gilbert
<b>National Caucus &amp; Center on Black Aged, Inc.</b>		Mina Johnson (Technical Assistant)
<b>Senior Service America, Inc.</b>  <b>AARP</b>  <b>National Indian Council on the Aging, Inc.</b>	Judith Gilbert	Karen Davis
<b>Easter Seals</b>  <b>Mature Services, Inc.</b>  <b>National Able Network</b>	Gale Gibson	Judith Gilbert
<b>National Council on the Aging, Inc.</b>  <b>Asociacion Nacional Pro Personas</b>  <b>Experience Works</b>	David Richardson	Adriana Barsotti-Kaplan

**FEDERAL CONTACTS FOR STATE GRANTEES**

<b>STATE ASSIGNMENTS</b>		
<b>REGION</b>	<b>FEDERAL REPRESENTATIVE</b>	<b>BACKUP</b>
<b>Region 1</b> – Massachusetts, Rhode Island, Connecticut, Maine, Vermont, New Hampshire, New York, New Jersey, Virgin Islands, Puerto Rico	Karen Davis	Judith Gilbert
<b>Region 2</b> – Pennsylvania, West Virginia, Virginia, Delaware, Maryland, DC	Karen Davis	Mina Johnson (and also Technical Assistant)
<b>Region 3</b> – Kentucky, Tennessee, North Carolina, South Carolina, Georgia, Alabama, Mississippi, Florida, Guam	David Richardson	Adriana Barsotti-Kaplan
<b>Region 4</b> – Texas, New Mexico, Oklahoma, Arkansas, Louisiana, Montana, North Dakota, South Dakota, Wyoming, Utah, Colorado, American Samoa	Gale Gibson	Judith Gilbert
<b>Region 5</b> – Minnesota, Wisconsin, Michigan, Iowa, Nebraska, Kansas, Missouri, Illinois, Indiana, Ohio	Adriana Barsotti-Kaplan	Gale Gibson
<b>Region 6</b> – Washington, Oregon, Idaho, California, Nevada, Arizona, Hawaii, Alaska, Marianas Islands	Judith Gilbert	Karen Davis

Adriana Barsotti-Kaplan	202-693-3740	kaplan.adriana@dol.gov
Karen Davis	202-693-3761	davis.karen@dol.gov
Gale Gibson	202-693-3758	gibson.gale@dol.gov
Judith Gilbert	202-693-3938	gilbert.judith@dol.gov
Mina Johnson	202-693-3755	johnson.mina@dol.gov
David Richardson	202-693-3757	richardson.david@dol.gov