

**DEPARTMENT OF LABOR**

**Occupational Safety and Health Administration**

**Susan Harwood Training Grant Program, FY 2011**

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

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

**FUNDING OPPORTUNITY NO.:** SHTG-FY-11-01

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE NO.:** 17.502

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

## I. SUMMARY

The U.S. Department of Labor (DOL), Occupational Safety and Health Administration (OSHA) awards funds to nonprofit organizations to provide training and educational programs for workers and/or employers. Nonprofit organizations, including qualifying labor unions, community-based and faith-based organizations and employer associations, that are not an agency of a state or local government, are eligible to apply. Additionally, state or local government-supported institutions of higher education are eligible to apply in accordance with 29 CFR Part 95. Grants are awarded to provide training and education programs for workers and employers on the recognition, avoidance, abatement, and prevention of safety and health hazards in the workplace, and to inform workers of their rights and employers of their responsibilities under the Occupational Safety and Health (OSH) Act.

This notice announces availability of approximately \$4.7 million for Susan Harwood Training Program grants under the following categories; Capacity Building Developmental, Capacity Building Pilot, Targeted Topic, and Training and Educational Materials Development grants. For a full description of each of these grant categories and their respective application components see Section II.B.

All information and forms needed to apply for this funding opportunity are published as part of this solicitation for grant applications or are available on the <http://www.grants.gov> Web site (hereinafter “Grants.gov Web site”). For applicants using Grants.gov for the first time, it is strongly recommended that the organization immediately initiate and complete the “Get Registered” steps to register with Grants.gov at <http://www.grants.gov>. This process takes multiple days to complete and must be factored into the applicant’s plans for electronic application submission to avoid delays that could result in the rejection of the application.

**DATES:** Grant applications must be received electronically by the Grants.gov system no later than 4:30 p.m., E.T., on Wednesday, July 20, 2011, the application deadline date.

**SUBMITTAL INFORMATION:** Applications for grants submitted under this competition must be submitted electronically using the government-wide Grants.gov Web site at: <http://www.grants.gov>. If applying online poses a hardship, applicants must contact the OSHA Directorate of Training and Education office listed in this announcement at least two weeks prior to the application deadline date, 4:30 p.m., E.T., on Wednesday, July 20, 2011, to speak to a representative who can provide assistance to ensure that applications are submitted online by the closing date. Requests for extensions to this deadline will not be granted. Further information regarding submitting a grant application electronically can be found in Section VI.F.

**FOR FURTHER INFORMATION CONTACT:** Questions regarding this solicitation for grant applications should be emailed to [HarwoodGrants@dol.gov](mailto:HarwoodGrants@dol.gov) or directed to Kimberly Mason, Program Analyst, or Jim Barnes, Director, Office of Training and Educational Programs, at 847-759-7700 (note this is not a toll-free number). To obtain further information on the Susan Harwood Training Grant Program, visit the OSHA Web site at: <https://www.osha.gov>, select “Training” under the Top Links section, and then select “Susan Harwood Training Grant Program.” Please note that on the Susan Harwood Web page, the “Applying for a Grant” section

contains a PowerPoint program entitled “Helpful Tips for Improving Your Susan Harwood Grant Application.” All applicants are encouraged to review this before drafting their proposal.

## **II. FUNDING OPPORTUNITY DESCRIPTION**

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

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

1. Training workers and/or employers about high risk activities or hazards identified by OSHA through the DOL’s Strategic Plan, or as part of an OSHA special emphasis program or other OSHA priorities. (see [www.OSHA.gov](http://www.OSHA.gov))
2. Educating workers on their rights and educating employers on their responsibilities under the OSH Act.
3. Educating workers and/or employers in small businesses. For purposes of this grant program, a small business is one with 250 or fewer employees.
4. Training workers and/or employers about new OSHA standards.
5. Training at-risk and/or low-literacy worker populations.
6. Providing technical assistance to employers and workers.

### **B. Grants Being Announced Under this Solicitation**

Under this solicitation for grant applications, OSHA will accept applications for Capacity Building, Targeted Topic grants, and OSHA Training and Educational Materials Development grants. The four types of grant categories are being announced under this solicitation.

#### 1. Capacity Building Grants

Capacity Building grants are for longer-term grants that build safety and health competency. Applications for Capacity Building grants should focus on developing and/or expanding the capacity of the applicant organization to provide safety and health training, education and related assistance to the targeted audiences, Section IV. Organizations will be expected to institutionalize organizational capacity to provide safety and health training, education and related assistance services in their organizations to assist workers and employers on an ongoing basis and to ensure that services will continue after the grant ends.

The continuation of funding and level of funding for these grants are subject to annual appropriation of funds by DOL and a determination that the project is achieving the approved objectives. There are two types of Capacity Building grants.

a) Developmental

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

Each grant recipient must develop a comprehensive plan for becoming a center of safety and health competence and financially self-sufficient within the three to four years an organization needs to build capacity. Developmental grants will be funded for a 12-month period, and may be eligible for additional 12-month follow-on grants.

b) Pilot

Pilot grants are intended to assist organizations able to demonstrate a potential for meeting the objectives of this program, but that need to assess capabilities, needs and priorities; and formulate objectives before moving forward into developing a full-scale program. Recipients of Pilot grants will be required to initiate limited program operations during the 12-month period. The program operations should be small-scale or pilot projects, used to complement the organization's planning and pilot activities. Upon successful completion of its planning and pilot activities, an organization may apply for a Developmental grant in the next fiscal cycle they are offered.

Pilot grants are not eligible for follow-on grants.

2. Targeted Topic

a) Training

The emphasis for applications submitted for Target Topic Training grants should be on the development of quality safety and health training and educational materials, and conducting training for workers and/or multiple employers addressing safety and health hazards associated with one of the OSHA selected training topics listed in Section VI.C.1.c). Technical assistance may be proposed in addition to the training. The proposal may include training which occurs in a single or limited number of events during the 12-month performance period.

Targeted Topic Training grants are not eligible for follow-on grants.

b) Training and Educational Materials Development

Applicants for the Training and Educational Materials Development category are expected to develop, evaluate, and validate classroom quality training and educational materials for one of the audiences listed in Section IV, and on an

OSHA selected training topic as listed in Section VI.C.1.c). The purpose is to produce quality training materials and educational materials that fill an unmet need and that have broad applicability. Limited on-site training should be proposed as part of the evaluation and validation process, but should not be a significant work plan element.

Training and Educational Materials Development grants are not eligible for follow-on grants.

### **C. Maximum Funding Levels per Grant Categories**

#### **1. Capacity Building Grants**

##### **a) Developmental**

The maximum funding level is not to exceed \$200,000 per 12-month project performance period.

##### **b) Pilot**

The maximum funding level is not to exceed \$80,000 per 12-month project performance period.

#### **2. Targeted Topic**

##### **a) Training**

The funding level will range from \$15,000 to a maximum funding level not to exceed \$175,000 per 12-month project performance period.

##### **b) Training and Educational Materials Development**

The maximum funding level is not to exceed \$50,000 per 12-month project performance period.

### **III. PROGRAM COMPONENTS**

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

### **IV. TARGET AUDIENCES FOR ALL GRANT APPLICANTS**

Training materials developed and/or training conducted must serve multiple employers and workers in one or more of the following target audiences:

- small businesses (less than 250 employees)
- new businesses
- non-English speaking/limited English proficiency workers
- non-literate and low literacy workers

- young workers
- minority and other hard-to-reach workers
- workers in high-hazard industries and industries with high fatality rates

Training for employees should be conducted in both a language and vocabulary that the employees can understand. Special consideration will be given to grant proposals that include training materials and training programs for non-English speaking/limited English proficiency workers.

## **V. AWARD INFORMATION**

All grants in this solicitation will be awarded for a 12-month project performance period. The 12-month project period for these grants begins no later than September 30, 2011. There is approximately \$4.7 million in funding that will be available for the FY 2011 Susan Harwood Training Grant Program.

### **A. Eligibility Applicants**

Nonprofit organizations, including qualifying trade associations, labor unions and community-based and faith-based organizations that are not an agency of a state or local government are eligible to apply. Additionally, state or local government supported institutions of higher education are eligible to apply in accordance with 29 CFR Part 95. Eligible organizations can apply independently for funding or in partnership with other eligible organizations, but in such a case, the lead organization must be identified. Subgrants are not authorized. Subcontracts, if any, must be awarded in accordance with 29 CFR 95.40-48, as well as, OMB circulars requiring full and open competition for procurement transactions, to the maximum extent practicable.

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

Applicants other than state or local government supported institutions of higher education will be required to submit evidence of nonprofit status from the Internal Revenue Service (IRS).

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

Applicants are not required to contribute non-federal resources.

### **C. Transparency**

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. For this grant competition, we will publish the Executive Summary (see Section VI.B.8) as required by this solicitation for all applications on the Department's website or similar location. Additionally, we will

publish a version of the Technical Proposal (Section VI.C) required by this solicitation, for all those applications that are awarded grants, on the Department's website or a similar location. No other parts of or attachments to the application will be published. The Technical Proposals and Executive Summaries will not be published until after the grants are awarded. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information. Information is considered proprietary or confidential commercial/business information when it is not usually disclosed outside your organization and when its disclosure is likely to cause you substantial competitive harm. Personally identifiable information is information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, or other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>1</sup>

Executive Summaries will be published in the form originally submitted, without any redactions. However, in order to ensure that confidential information is properly protected from disclosure when DOL posts the winning Technical Proposals, applicants whose technical proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with proprietary, confidential commercial/business, and personally identifiable information redacted. All non-public information about the applicant's staff should be removed as well. The Department will contact the applicants whose technical proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for DOL to post that redacted version. If an applicant fails to provide a redacted version of the Technical Proposal, DOL will publish the original Technical Proposal in full, after redacting personally identifiable information. (Note that the original, unredacted version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential information and any personally identifiable information.)

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

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

Redacted information in grant applications will be protected by DOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If DOL receives a FOIA request for your application, the procedures in DOL’s FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its “redacted copy.”

#### **D. Other Eligibility Requirements**

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

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

## **VI. APPLICATION AND SUBMISSION INFORMATION**

All information needed to apply for this funding opportunity is referenced as part of this solicitation, and all forms are available on the Grants.gov Web site. Applicants must limit their applications to one submittal per grant category, Capacity Building Developmental, Capacity Building Pilot, Targeted Topic and Training and Educational Materials Development. If the applicant is a prior Susan Harwood grant awardee, special consideration will be given to those past grant awardees that completed their work plans in a satisfactory and timely manner.

#### **A. Required Content (Application Checklist) and Submission Format**

A grant application must be submitted electronically through the <http://www.grants.gov> Web site. The application must contain the below mentioned specific parts (Application checklist) to be considered responsive to this solicitation. The application must be

divided into major sections and sub-sections and clearly identified. All pages must be numbered. Forms listed below are available through: <http://www.grants.gov> and must be submitted electronically as a part of the grant application. Each Grants.gov application package has a cover sheet that contains instructions on how to open and use the forms in the application package. The Susan Harwood grant application package at: <http://www.grants.gov> contains a menu of “Mandatory Documents” which must be completed and submitted online. The menu of “Mandatory Documents” can only be located after opening the grant package. Evaluation criteria are outlined in Section VII.

For applicants using Grants.gov for the first time, it is strongly recommended that they immediately initiate and complete the “Get Registered” steps to register with Grants.gov at: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

### **Application Checklist**

1. Application for Federal Assistance Form (SF-424)

The individual signing the SF-424 Form on behalf of the applicant must be authorized to bind the applicant. The applicant organization is required to have a Data Universal Number System (DUNS) number from Dun and Bradstreet to complete this form. Information about obtaining a DUNS Number is available from the grants.gov Web site at: [http://www.grants.gov/applicants/request\\_duns\\_number.jsp](http://www.grants.gov/applicants/request_duns_number.jsp).

2. Survey on Ensuring Equal Opportunity for Applicants

All applications must submit a Survey on Ensuring Equal Opportunity for Applicants (Faith-Based EEO Survey) form OMB No. 1890-0014.

3. Grant Category

All applicants must indicate the category of grant being requested, Capacity Building Pilot or Developmental, Targeted Topic, or Training and Educational Materials Development. Capacity Building Developmental applicants must also indicate the number of years in which they expect to fully complete their grant activities.

4. Program Summary

A detailed description is provided in Section VI B.

5. Budget Information form (SF-424A)

A detailed description is provided in Section VI E.1.

6. Detailed Project Budget Backup

A detailed description is provided in Section VI E.2.

7. Non-federal Resource Contribution

A description of any voluntary non-federal resource contribution to be provided by the applicant, including source of funds and estimated amount, should be provided.

8. Technical Proposal program narrative

Described further in Section VI C, the technical proposal should not exceed 20 single-sided pages, double-spaced, 12-point font.

9. Assurances form (SF-424B)

Please note that the electronic signature on the Grants.gov application includes compliance with the requirements for Federal Funding Accountability and Transparency Act (2 CFR Part 170) and the Universal Identifier and Central Contractor Registration (2CFR Subtitle A, Chapter I and Part 25)., Appendix A.

10. Combined Assurances form (ED 80-0013)

11. Organizational Chart

12. Evidence of Non-Profit status

Evidence of Non-Profit status from the Internal Revenue Service (IRS), if applicable. This does not apply to state and local government-supported institutions of higher education.

13. Accounting System Certification

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

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

#### 14. Other Attachments

Any attachments such as resumes of key personnel or position descriptions, exhibits, information on prior government grants, and signed letters of commitment to the project. Please limit the number of other attachments to 20 pages.

#### **B. Program Summary**

The Program Summary abstract is not to exceed two single-sided, 12-point font, typed pages and must include the following sections.

1. Applicant organization's full legal name.
2. Project Director's name, title, street address for overnight delivery service, and mailing address if it is different from the street address, telephone and fax numbers, and e-mail address. The Project Director is the person who will be responsible for the day-to-day operation and administration of the program. The Project Director's name must be the same name you list on the Application for Federal Assistance Form (SF-424) in section 8f: name and contact information of person to be contacted on matters involving this application.
3. Authorized Representative/Certifying Representative's name, title, street address for overnight delivery service, and mailing address if it is different from the street address, telephone and fax numbers, and e-mail address. An Authorized Representative/Certifying Representative is the official in the organization who is authorized to enter into grant agreements. The Authorized Representative/Certifying Representative's name must be the same name listed on the Application for Federal Assistance Form (SF-424) in section 21 for Authorized Representative.
4. If someone other than the Authorized Representative/Certifying Representative described above will be authorized by the organization to submit and sign off on the Federal Financial Report Form (SF-425), provide their name, title, street address for overnight delivery service, and mailing address if it is different from the street address, telephone and fax numbers, and e-mail address.
5. Funding Amount. List the amount of federal funding being requested to perform work plan and administrative activities for the 12-month project performance. Section II.C, describes the limits for each grant category. If the organization is contributing non-federal resources, list the amount of non-federal resources and the relevant source. These amounts should be consistent with the amounts listed on the SF-424 (Application for Federal Assistance).
6. Grant Topic. List occupational safety and health training topic(s) to be addressed by the grant. Targeted Topic and Training and Educational Materials Development applicants should indicate an OSHA topic from Section C.1.c).
7. Target Audience. Also indicate the target audiences to be served, as listed in Section IV.

8. Executive Summary of the Proposed Project. Write a brief executive summary of the proposed grant project.
9. Applicant Background. Describe the applicant organization, including its mission, identify the type of non-profit organization it is, and provide a description of the membership, if any. The description should indicate how many full-time and part-time employees your organization employs.

**C. Technical Proposal**

The Technical Proposal program narrative section is not to exceed 20 single-sided (8 1/2” x 11” or A4), double-spaced, 12-point font, typed pages and must address each section listed below as it applies to the applicants grant category.

1. Problem Statement/Need for Funds

A problem statement, including the need for funding, should be included in each grant application. The details of the problem statement to be addressed in the grant application vary per grant category as listed in Table 1.

Table 1. Problem Statement Details, per grant category, to be addressed in grant application

<b>Required Component</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
a) Grant Category	yes	yes	yes	yes
b) Target Population	yes	yes	yes	yes
c) Topic	yes	yes	yes	yes
d) Institutional Capacity Needs	yes	yes	no	no
e) Training and Educational Materials	yes	yes	yes	yes
f) Training Projections	yes	yes	yes	no

Clearly describe the following in the problem statement.

a) Grant Category

Please indicate the grant category for which the organization is applying, Capacity Building-Developmental, Capacity Building-Pilot, Targeted Topic, or Training and Educational Materials Development.

b) Target Population

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

c) Topic

Capacity Building Developmental and Pilot Grants: Describe the occupational safety and health hazards to be addressed. Capacity Building Developmental and Pilot applicants should pick occupational safety and health topics or industries that relate to the needs of their target population and describe how it will impact the target population.

Targeted Topic and Training and Educational Materials Development Grants: Targeted Topic and Training and Educational Materials Development applicants are required to address one of the 11 OSHA selected topics listed below. Training and Educational Materials Development applications that address multiple target audiences (Section IV) in a high hazard or high fatality occupation may receive special consideration. The Agency may award grants for some or all of the listed topics.

(1) Topics – Construction Industry

- (a) Crane Safety, covering, for example, the following subtopics: safety hazards relating to Derricks, Overhead Hazards, and Tower Cranes
- (b) Fall Protection, covering, for example, the following subtopics: Ladders; Roofs; Scaffolds; Handling, Installing, Bracing Trusses, Steel Erection and residential construction

(2) Topics – General Industry

- (a) Grain Handling Operations, covering, for example the following topics: Bin Entry, confined spaces and lockout-tagout.
- (b) Fall Protection, covering, for example, the following subtopics: Ladders; Roofs; Scaffolds

(3) Topics – Other Safety and Health Areas

- (a) Electrical Safety, covering, for example, the following subtopics: best practices Electrical Transmission and Distribution
- (b) Heat Exposure
- (c) Hearing Conservation, covering, for example, the following topics: the elements of an effective hearing conservation program including personal monitoring; audiometric testing and training; hazard prevention through engineering controls and personal protective equipment; and the hazards of loud noise

- (d) Ergonomic Hazards, covering, for example, the following subtopics: best practices for preventing musculoskeletal disorders (MSD) in Materials Handling, Nursing Homes, Meatpacking, Hotels, Poultry Processing, Retail Grocery Stores, Masonry Construction, or Solid Waste Removal
- (e) Hazardous Communication, covering, for example, the following topics: Globally Harmonized System of Classification and Labeling of Chemicals (GHS), changes in the Hazard Communication Standard, new training topics, classifications, and chemical exposure in industries including the service sector, such as salons
- (f) Shipyard Safety Hazards, covering, for example, the following topics: Electrical hazards and Arc Flash, Ergonomics, Personal Protective Equipment (PPE) including Flotation Devices, and Emergency Procedures
- (g) Agriculture Safety and Health

#### (4) Multiple Topics

Applicants are encouraged to limit their proposals to a single topic. Applicants who choose to address more than one topic must:

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

#### d) Institutional Capacity Needs

Capacity Building applicants (Developmental and Pilot) should also include a brief statement about the institutional capacity they plan to develop during the 12-month performance period. Capacity Building applicants should also include how many years of funding the applicant will need to fully develop and establish its developmental phase, the amount of funding needed each year, and plans to continue the activities after the grant ends.

#### e) Training and Educational Materials

The statement should include the types of training and educational materials to be developed and/or obtained as required by the applicant’s grant category. The statement should address how the proposed training and educational materials fill an unmet need and that they have a broad applicability. Section VI. C. 4.b)(3),

contains a description of training and educational materials required per grant category.

f) Training Projections

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

- (1) Describe the target audience(s) (Section IV) for each proposed type of training.
- (2) Identify the type(s) of training that will be conducted: worker, train-the-trainer, or employer.
- (3) Describe how each type of training will reach multiple employers and/or their workers.
- (4) Indicate the projected number trained (workers and/or employers) per type of training and target audience (Section IV).
- (5) Indicate the number of contact hours for each type of training (workers, train-the-trainer, and/or employer) and target audience (Section IV). Training contact hours are defined in Section VI.C. 4.b)(5)(a). See Table 2 as an example.
- (6) Substantiate the methodology used to develop the projections for total number trained and total contact hours for each type of training (train-the-trainer, worker, or employer).

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

<b>Audience</b>	<b>Type of Training</b>	<b>Length of training (contact hours)</b>	<b>Projected Number Trained</b>	<b>Total Contact hours per training *</b>
Limited/non-English	Worker	4	500	2000
Low-Literacy	Worker	2	300	600
Small Business	Employer	5	30	150
Hard-to-Reach Worker	Train-the-Trainer	8	10	80
<b>Total</b>			840	2830

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

2. Administrative and Program Capability of the Organization

Briefly describe the organization’s functions and activities. Relate this description of functions to the organizational chart included in the application. Details to be addressed in the application vary per grant category as listed in Table 3.

Table 3. Administrative and Program Capability, per grant category, to be addressed in the grant application

<b>Required Component</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
a) Organizational Experience	yes	yes	yes	yes
b) Occupational Safety and Health Experience	yes	no*	yes	yes
c) Grant Experience	yes	yes	yes	yes
d) Distribution Network	yes	yes	yes	yes
e) Needs Assessment Experience	yes	yes	no	no
f) Program Experience	yes	yes	yes	yes
g) Evaluation of Training Activity Experience	yes	yes	yes	yes
h) Management and Internal Control Systems	yes	yes	yes	yes
i) Organizational Chart	yes	yes	yes	yes

\*Capacity Building Pilot applicants who do not have occupational safety and health experience will not be penalized, but if the organization does have such experience it should be included.

a) **Organizational Experience**

Describe the organizational experience of the organization including its capabilities to expand and their experience with the target audience.

This applies to all applicants.

b) **Occupational Safety and Health Experience**

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

This applies to all applicants.

c) Grant Experience

If the organization is conducting, or has conducted any other government (federal, state, or local) grant programs, within the last five years, include in an Attachment information on previous grants including a) the organization for which the work was done, and b) the dollar value of the grant. If the organization has not had previous grant experience, it may partner with an organization that has grant experience to manage the grant. If you use this approach, the management organization must be identified and its grant program experience discussed. While grant experience is not required for application, it is highly desirable.

This applies to all applicants.

d) Distribution Network

Describe the organizations ability to disseminate materials or provide training to the target audience.

This applies to all applicants.

e) Needs Assessment Experience

Describe the experience of the organization in conducting needs assessments for training activities.

This section only needs to be completed by Capacity Building Pilot and Developmental applicants.

f) Program Experience of the Organization

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

This applies to all applicants.

g) Evaluation of Training Activities Experience

Describe the organizations experience conducting evaluations of training activities and the levels of training they have conducted as it relates to the evaluations described in Section 4.b)(6).

This applies to all applicants.

h) Management and Internal Control Systems

The applicant organization must demonstrate that they have sufficient financial management and internal control systems.

This applies to all applicants.

i) Organizational Chart

Include an organizational chart of the staff that will be working on this grant and their location within the applicant organization.

This applies to all applicants.

3. Staff Experience

All details for this section are required by all grant applicants.

a) Occupational Safety and Health Experience

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

b) Training Experience

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

4. Work Plan

Develop a 12-month work plan that is broken out by Federal calendar year quarters as shown in Table 4.

Table 4. Federal Quarters

<b>Federal Quarter</b>	<b>Time Span</b>
Quarter 1	October 1 to December 31
Quarter 2	January 1 to March 31
Quarter 3	April 1 to June 30
Quarter 4	July 1 to September 30

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

a) Work Plan Overview

The work plan must describe the plan for grant activities and the anticipated outcomes for the 12-month project period. The overall plan will describe such things as the needs assessment, development of training materials or the plan to use existing training materials, the training content, the number of trainees and the number of contact hours per trainee for each training program being proposed,

recruiting of trainees, where or how training will take place, and the anticipated benefits to workers and/or employers receiving the training. Also describe planned activities relating to conducting training evaluations and future capacity building activities, if applicable.

b) Work Plan Activities

The overall plan should be broken down into activities or tasks. For each activity, explain what will be done, who will do it, when it will be done, and the results of the activity. Minimum work plan activities per grant category are provided in Table 5.

Table 5. Work Plan Activities, per grant category, to be addressed in the grant application

<b>Required Component</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
(1) Capacity Building Plan	yes	yes	no	no
(2) Needs Assessment	yes	yes	no	no
(3) Training and Educational Materials	yes	yes	yes	yes
(4) Recruiting Plan	yes	yes	yes	yes
(5) Training	yes	yes	yes	yes
(6) Training Evaluation	yes	yes	yes	yes
(7) Meetings, Reporting and Documentation	yes	yes	yes	yes
(8) Work Plan Quarterly Activities	yes	yes	yes	yes

(1) Capacity Building Plan

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

## (2) Needs Assessment

Needs Assessment are conducted to identify safety and health hazards encountered by the target audience on-the-job, identify the training currently received by the target audience, and propose training and related services that will meet the target audience. The applicant should describe how they will conduct the needs assessment including; identifying the safety and health hazards to which the target audience is currently exposed, collecting training information on training which the target audience has received, analyzing the data to determine current training gaps, and proposing training which will be developed under the grant.

## (3) Training and Educational Materials

Describe each training and educational materials to be produced under the grant and provide a timetable for developing and producing the materials. Grantees must follow all copyright laws and provide written certification that their materials are free from copyright infringements.

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

### (a) Develop New Training and Educational Materials

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

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

### (b) Obtain or Revise Existing Training Materials

Capacity Building Development or Pilot or Targeted Topic applicants that plan to train with already developed materials, partially or wholly, must have the obtained materials reviewed by OSHA before use. Obtained

materials should have been developed under commonly accepted instructional design processes.

(c) Required Content

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

(d) Grant Training Delivered in Spanish

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

(e) OSHA Material Review

OSHA must review and approve all training materials (e.g., promotional flyers, advertising, training materials) for technical accuracy and suitability of content before the materials may be used. Therefore, the timetable must include provisions for an OSHA review of both draft and final camera-ready products. Allow two to three weeks for an OSHA review of draft training materials. Any previously developed training materials being proposed for use in the grant training must also go through an OSHA review before being used.

All training and educational materials developed by grantees will be required to be updated to reflect any changes to OSHA standards and policies that occur during the performance period. This includes any materials that may have been previously approved by OSHA.

Any changes to the training and educational materials must be reviewed and approved by OSHA.

(f) Submittal and Internet Posting requirements for final materials

Three (3) electronic and two (2) hard-copies of the materials are to be submitted to OSHA prior to or along with the close-out report. Electronic copies should be submitted per the Grant-Funded Material Submittal Procedures outlined in Appendix B.

Training Materials Development applicants will be required to post the final training materials on their Web site in a free downloadable format for three years. Electronic copies provided to OSHA should include a copy of what will be posted on the grantees Web site. OSHA may list the grantees' URL addresses to access these materials or directly link to the materials on the grantees' Web sites from the OSHA Web site.

Any applicant proposing online training or posting materials on the Web must produce training materials that are compliant with Section 508 of the Rehabilitation Act of 1973, as amended <http://www.access-board.gov/sec508/guide/act.htm> . Specific compliance checklists can be found at <http://www.hhs.gov/web/508/checklists/index.html>.

(g) Acknowledgment of USDOL Funding

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

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

(4) Recruiting Plan

The recruiting plan should include what methods the applicant plans to utilize to recruit workers from the targeted audience for the proposed training. Past success in reaching your target audience as well as any plans to work with other organizations in your recruiting efforts should be described. All materials developed for recruiting are subject to OSHA review.

(5) Training

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

(a) Training contact hours

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

Contact hours include instructor lead contact minutes used to train on the training learning objectives. Instructor lead minutes used for administrative activities such as introductions, and presenting learning

objectives, and training certificates can not be counted toward the contact hours. Break time and lunchtime can not be counted toward contact hours.

(b) Eligible Trainees and Training Numbers

Training should be limited to eligible trainees. Eligible trainees are those workers that are currently covered under the Occupational Safety and Health Act of 1970, SEC. 4, codified at 29 USC 653.

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

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

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

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

The specific methodology for projecting trainee numbers must be described.

(c) Training class size

To facilitate participatory learning, the recommended class size is from 10 to 30 trainees. The recommended minimum and maximum limits are from 3 to 40 trainees per training.

(d) Training for Workers

Programs for workers should be participatory in nature. Please include specific details regarding how you will achieve this.

(e) Train-the-Trainer

Train-the-trainer training may be proposed under this grant solicitation.

(i) A train-the-trainer component is not required. However, as this may lead to wider distribution of the training, the applicant will receive additional consideration for inclusion of the train-the-trainer component.

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

(f) Constitution Day Training

Constitution Day and Citizenship Day is required of Educational Institutions only. Each educational institution that receives federal funds for a fiscal year shall hold an educational program on the United States Constitution on September 17 of such year for the students served by the educational institution. These activities should be addressed in your work plan. Section 111 of Division J of Public Law 108-447, the “Consolidated Appropriations Act, 2005,” December 8, 2004; 118 Stat. 2809, 3344-45, requires “educational institutions” that receive federal funds to hold an educational program on the United States Constitution on September 17 (“Constitution Day and Citizenship Day”) of each fiscal year for which the institution receives funds. The Office of Personnel Management has placed relevant materials on its Web site at the following address: [http://opm.gov/constitution\\_initiative](http://opm.gov/constitution_initiative). The U.S. Department of Education’s Federal Register Notice of the Implementation of Constitution Day and Citizenship Day on September 17 of Each Year, published on May 24, 2005, can be found at: <http://www.2.ed.gov/legislation/FedRegister/other/2005-2/052405b.html>. Please note that this Web site primarily addresses educational institutions that receive funds from the U.S. Department of Education. However, it also discusses other materials that may be helpful.

(6) Training Evaluation

Varying levels of evaluations must be conducted based on the grant category, as shown in the table below.

Table 6. Types of Evaluations required, per grant category, to be addressed in the grant application

<b>Evaluations</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
Level 1	yes	yes	yes	yes
Level 2	yes	yes	yes	yes
Level 3	yes	no	no	no

The types of training evaluations are described below.

- **Level 1 – Training Session Reaction Assessment**

Training session reaction assessments measure how trainees in a training session react to it including trainees’ perceptions of the quality and usefulness of the training. The results should be used for the improvement of the training program. This assessment can be accomplished through trainee satisfaction surveys regarding both the relevancy of the information taught and the teaching style of the instructor. This type of evaluation should be conducted for all training, and as part of the training materials development validation process.
- **Level 2 – Learning Assessment**

Learning assessments measure the skills, knowledge, or attitude that the trainee retains because of the training. This evaluation could be accomplished through pre-tests and/or post-tests administered in the training. Alternatively, trainees could be required to perform a new task that had been taught during the training and the result assessed. This type of evaluation should be conducted for all training, and as part of the training materials development validation process.
- **Level 3 – Training Impact Assessment**

Training impact assessments gauge the effect of the training on workers’ ability to participate in safety and health activities in the workplace. Grantees should specify at least one measure that is closely linked to the expected outcomes of their planned activities. Examples of such measures could be: increases in workers’ involvement at the workplace safety as demonstrated by reporting the pre-training level and the level at follow-up 3 to 6 months later, or increased the number of hazards reported as demonstrated by report the pre-training level and the follow up level, or increase in the number of workers participating on safety committees as demonstrated by reporting the pre-training level and the follow up level, or increase in the number of reported accident near misses as demonstrated by report the pre-training level and the follow up level, increases in the number of formal complaints filed, trainee retention of knowledge,

positive impacts of training activities on work practices, etc. Training impact assessments are typically conducted 3 to 6 months after the training and require the grantees to recontact trainees by phone, in person or by survey.

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

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

##### (a) Meetings

###### (i) Orientation Meeting

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

###### (ii) Trainer Exchange

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

##### (b) Quarterly Reports

###### (i) Program Reports

A quarterly report is required to be submitted to OSHA within 30 days following the end of the fiscal quarter. The report consists of a narrative and a completed Form 171 for each training conducted. Form 171 can be found at [http://www.osha.gov/dte/sharwood/grant\\_requirements.html](http://www.osha.gov/dte/sharwood/grant_requirements.html).

Each quarterly progress report should contain information on all work performed during the quarter including needs assessment, training materials development, recruiting, training conducted, training evaluations, and any technical assistance activities. The summary for the training evaluations should be an aggregate for type of training conducted and type of evaluation completed during the quarter.

A quarterly program activity progress evaluation is also required. The purpose of a program activity progress evaluation is to assess how well program activity goals are being met. It involves collecting, analyzing and using information to determine whether program activity progress benchmarks for the quarter were attained and to point out unanticipated developments.

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

Results and findings from training program evaluations will be summarized by each grantee and submitted on an annual basis as a part of the Quarterly Progress Report for the fourth quarter. Program evaluation reports shall describe the current status of instructor effectiveness, trainee retention of knowledge and skills, and positive impacts of training activities on work practices, workplace safety and health conditions, overall worker protection from on the job hazards, and long-term impacts of the training, if applicable. To the extent possible, such evaluations shall include quantitative as well as qualitative assessments.

(ii) Financial Reports

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

Grantees shall use Standard Form (SF-425), Federal Financial Report (FFR), to report the status of funds at the project level, during the grant period. A final SF-425 shall be submitted no later than 90 days following completion of the grant period. The SF-425 reports will be submitted electronically through the Department of Labor (DOL) E-Grants system.

(c) Close-Out Report

A close-out report is required to be submitted within 90-days of the end of the grant performance period. The report must summarize activities conducted under the grant for all grant years, explain how these activities enabled the grantee to accomplish the goals of the grant, discuss successes and problems encountered, and provide the results of the follow up impact evaluation.

As part of the close-out report, all applicants are required to include the following:

- (i) Certification of a drug-free workplace in accordance with 29 CFR Part 98, Subpart F.
- (ii) Certification of compliance with the New Restrictions on Lobbying published at 29 CFR Part 93.

- (iii) Certification regarding the debarment rules at 29 CFR part 98
- (iv) A special lobbying certification
- (v) A written self-certification that their grant-funded programs and materials were not provided to ineligible audiences
- (vi) A written self-certification that any materials developed with grant funds are free from copyright infringements

(d) Documentation

Documentation of grant activities may be requested throughout the grant cycle. Requests may include, but are not limited to: training sign-in sheets and training evaluation assessment course results.

(8) Work Plan Quarterly Projections

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

Grantees are accountable for accomplishing the activities listed in their work plans and meeting quarterly projections. Quarterly projections are used to measure actual performance against the work plan and are reported to the Secretary of Labor quarterly.

If the work plan includes a train-the-trainer program, estimate the number of individuals to be trained during the grant period in second tier training by those who received the train-the-trainer training, and estimate the planned trainee training contact hours. To count second tier training numbers, the organization must formally follow-up with the trainers during the grant project performance period to obtain their training documentation records.

**D. Attachments**

Summaries of other relevant organizational experiences; information on prior government grants; resumes of key personnel and/or position descriptions; and signed letters of commitment to the project should be included as attachments. Please limit the number of attachments to essential documents only, maximum 20 pages.

Acceptable formats for document attachments submitted as a part of a Grants.gov grant application include Microsoft Office 2003 and 2007, and the Adobe .pdf format.

## **E. Budget Information**

Applicants must include the following required grant project budget information.

1. Budget Information form (SF-424A)

The budget must provide information on the 12-month project performance period.

2. Detailed Project Budget

A Detailed Project Budget that clearly details the costs of performing all of the requirements presented in this solicitation. The detailed budget will break out the costs for a 12-month project performance period that are listed in Sections B and C of the SF-424A Budget Information Form. Applicants are asked to plan for a funding level based on funds needed to perform work plan and administrative activities for the 12-month project performance period.

The Detailed Project Budget must break out administrative costs separately from programmatic costs for both federal and non-federal funds. Administrative costs include indirect costs from the costs pool and the cost of activities, materials, meeting close-out requirements as described in Section VI, and personnel (e.g., administrative assistants) who support the management and administration of the project, but do not provide direct services to project beneficiaries. Indirect cost charges, which are considered administrative costs, must be supported with a copy of a current approved Indirect Cost Rate Agreement form. Administrative costs cannot exceed 25% of the total grant budget. The project budget should clearly demonstrate that the total amount and distribution of funds is sufficient to cover the cost of all major project activities (Section VI C.4) identified by the applicant in its proposal, and must comply with federal cost principles which can be found in the applicable OMB Circulars.

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

Capacity Building Developmental applicants must also include a summary of grant funds requested for each year beyond the initial 12-month project performance period.

Table 7. Budget Details, per grant category, to be addressed in the grant application

<b>Required Component</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
SF424-A with costs as listed in Sections B and C	yes	yes	yes	yes
Budgets for additional years	yes	no	no	no

3. Funding Allocations, Restrictions, and Guidelines

a) Allowable Costs

Grant funds may be spent on the following.

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

b) Funding Restrictions

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

- Any activity that is inconsistent with the goals and objectives of the Occupational Safety and Health Act of 1970.
- Activities for the benefit of state and local government employees unless the employees have occupational safety and health responsibilities. Examples of such responsibilities include: occupational safety and health training; safety and health program management; membership on an employer, union or joint safety and health committee; and responsibilities for abatement of unsafe and unhealthful working conditions.
- Program activities predominately involving workplaces that are largely precluded from enforcement action by the Occupational Safety and Health Administration under section 4(b)(1) of the Act, codified at 29 USC 653(b)(1).
- Training on topics that do not cover the recognition, avoidance, and prevention of unsafe or unhealthy working conditions. Examples of unallowable topics include: workers' compensation, first aid, and publication of materials prejudicial to labor or management.

- Assisting workers in arbitration cases or other actions against employers, or assisting workers and/or employers in the prosecution of claims against federal, state or local governments.
- Duplicating services offered by OSHA, a state under an OSHA-approved State Plan, or consultation programs provided by state designated agencies under section 21(d) of the Occupational Safety and Health Act, codified at 29 USC 670(d)(1).
- Conducting any of the OSHA Outreach Training Program courses.
- Conducting courses that are presented by the OSHA Training Institute or its OSHA Training Institute Education Centers.
- Generating membership in the grantee's organization. This includes activities to acquaint nonmembers with the benefits of membership, inclusion of membership appeals in materials produced with grant funds, and membership drives.
- Reimbursing the cost of lost-time wages paid to trainees while attending grant-funded training.
- Providing food and beverages.
- Exceeding 25% of the total grant budget for administrative costs. Indirect costs are considered to be administrative costs.

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

Determinations of allowable costs will be made in accordance with the applicable federal cost principles, (e.g., Nonprofit Organizations – 2 CFR Part 230, formerly OMB Circular A-122; Educational Institutions – 2 CFR Part 220, formerly OMB Circular A-21.) Disallowed costs are those charges to a grant that the grantor agency or its representative determines to not be allowed in accordance with the applicable federal cost principles or other conditions contained in the grant.

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

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

#### c) Funding Guidelines

The cost per trainee should be less than \$500 and the cost per training hour should not exceed \$125. Estimates for cost per trainee and cost per training hour should be clearly identified in the grant application. Calculations should be based on the total projected number trained and total course hours as presented in the

applicants work plan (Section VI C.1.f)). Please use the following formulas to calculate these costs:

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

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

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

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

4. Voluntary Non-Federal Contributions

A description of any voluntary non-federal resource contribution to be provided by the applicant, including source of funds and estimated amount.

**F. Submission Date, Times, and Addresses**

1. Date

The deadline date for receipt of applications is Wednesday, July 20, 2011. Applications must be received by 4:30 p.m., E.T., on the closing date at <http://www.grants.gov>. Any application received after the deadline will not be accepted.

2. Electronic Submission of Applications

Applications for Susan Harwood grants under this competition must be submitted electronically using the government-wide Grants.gov Apply site at: <http://www.grants.gov>. Through this site you will be able to download a copy of the application package, complete it offline, and then upload and submit the full application. Acceptable formats for document attachments submitted as a part of a Grants.gov grant application include Microsoft Office 2003 and 2007, and the Adobe .pdf format. The Susan Harwood grant application package at: <http://www.grants.gov> contains a menu of “Mandatory Documents” that must be completed and submitted online. The menu of “Mandatory Documents” can only be located after opening the grant package. Grant application documents that the applicant creates such as the Program Summary, Detailed Budget Backup, Technical proposal, etc., may be scanned into a single document, saved as an Adobe pdf file, and attached in the area for “Mandatory Documents.” Applications sent by mail or other delivery services, e-mail, telegram, or facsimile (FAX) will not be accepted. Applications that do not meet all of the conditions set forth in this notice will not be honored.

For applicants using Grants.gov for the first time, it is strongly recommended that they immediately initiate and complete the “Get Registered” steps to register with Grants.gov at: [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

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

1. Obtain a Data Universal Number (DUNS)
2. Register your Organization with the Central Contractor Registration (CCR), a government-wide registry for vendors doing business with the federal government. During this process you will be asked to identify your organization’s E-Business Point of Contact (E-Biz POC)
3. Create an account in the Grants.gov system to obtain a username and password
4. An individual within your organization must register as the Authorized Organization Representative (AOR), who will be approved by the E-Business Point of Contact (E-Biz POC)
5. Track AOR Status. The purpose of this step is to verify that your organization’s E-Biz POC has approved you as an AOR. You cannot apply for grants without approval.

These steps require multiple days for completion. This additional time must be factored into an applicant’s plans for electronic application submission in order to avoid unexpected delays that could result in the rejection of the application.

The Grants.gov Web site has several tools and documents available online to assist organizations with the Grants.gov process. Further information is available from the Applicant Resources section at: <http://www.grants.gov>.

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

NOTE: In some organizations, a person may serve as both an E-Biz POC and an AOR. In this case you will need to perform this step and approve yourself as an AOR. If you are the E-Biz POC and want to submit applications through Grants.gov, you will need to register with Grants.gov as an AOR, using an alternate email than the one used on correlation with the E-Biz POC, and authorize yourself as an AOR.

After an AOR registers with Grants.gov, the E-Biz POC will have to approve the individual who registered as the AOR. Refer to the information provided above in the five steps in getting your organization registered in Grants.gov.

If your organization is already registered with Grants.gov and there have been any changes to the organization users, such as the E-Business Point of Contact or Authorized Organization Representatives, please be sure that the necessary updates are made with Grants.gov to prevent a delay in submission of the electronic application. Please note that registered organizations must also renew their Central Contractor Registration (CCR) once a year. This process takes a minimum of five days to complete. This additional time should be factored into an applicant's plans for electronic application submission in order to avoid unexpected delays that could result in the rejection of the application.

Applicants are strongly encouraged to review the Grants.gov user guide, which is available at: <http://www.grants.gov/applicant/resources.jsp>. The link to the guide is located under "User Guides," just click on Applicant User Guide (pdf).

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

1. E-mail at: [support@grants.gov](mailto:support@grants.gov).
2. Telephone the Grants.gov Contact Center Phone: 1-800-518-4726. The Contact Center is open 24 hours a day, 7 days a week; closed on federal holidays.
3. When contacting the Grants Program Management Office, the following information will help expedite your inquiry.
  - Funding Opportunity Number (FON).
  - Name of Agency You Are Applying To.
  - Specific Area of Concern.

If applying online poses a hardship, applicants must contact the OSHA Directorate of Training and Education office listed in the announcement at least one week prior to the application deadline date of 4:30 p.m., E.T., Wednesday, July 20, 2011, to speak to a representative who can provide assistance to ensure that applications are submitted online by the closing date. Requests for extensions to the grant application deadline will not be granted.

### 3. Confirmation of Grant Application Receipt from Grants.gov

Once the grant application has been submitted through the Grants.gov system it will be processed. Once the submission has been processed, Grants.gov will send email messages advising of the progress of the application through the system. Within 24 to 48 hours of the submission, two emails should be received. The first will confirm receipt of the application by the Grants.gov system, and the second will indicate that

the application has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors. Be sure to submit the grant application in sufficient time to ensure that the application has been received and successfully validated by the application deadline. Grant applications submitted on the application due date will be too late for the Grants.gov system to inform the applicant organization of any submittal problems. Applicants are strongly encouraged to utilize the “Track My Application” link that the Grants.gov system will provide in its email message to monitor the processing status of the grant application within the Grants.gov system.

**G. Intergovernmental Review**

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

**VII. APPLICATION REVIEW INFORMATION**

Grant applications will be reviewed by technical panels comprised of OSHA staff. The results of the grant reviews will be presented to the Assistant Secretary of OSHA, who will make the selection of organizations to be awarded grants. OSHA may award grants for some or all of the categories and OSHA topic areas. It is anticipated that the grant awards will be announced no later than September 30, 2011.

**A. Evaluation Criteria**

Technical panels will review applications against the criteria, Table 8, on the basis of 100 maximum points. Details on each required component can be found in Section VI.C.

**B. Review and Selection Process**

OSHA will screen all applications to determine whether all required components are present and clearly identifiable. Incomplete applications and applications that do not specifically address any of the required components may be deemed non-responsive and may not be evaluated. Targeted Topic Training and Training and Educational Material Development applications that do not specifically address any of the designated topics may also be deemed non-responsive and may not be evaluated. A technical panel will objectively rate each complete application against the criteria described in this announcement. The panels’ recommendations to the Assistant Secretary are advisory in nature. The Assistant Secretary may establish a minimally acceptable rating range for the purpose of selecting qualified applicants. The Assistant Secretary will make a final selection determination based on what is most advantageous to the government, considering factors such as panel findings, geographic presence of the applicants, Agency priorities, the best value to the government, cost, and other factors. The Assistant Secretary’s determination for award under this solicitation for grant applications is final.

**C. Anticipated Announcement and Award Dates**

Announcement of these awards is expected to occur no later than September 30, 2011.

Table 8. Evaluation Criteria Applicability and Points per Grant Category

<b>Required Component</b>	<b>Capacity Building - Developmental</b>	<b>Capacity Building - Pilot</b>	<b>Targeted Topic Training</b>	<b>Training and Educational Materials Development</b>
1) Problem Statement/Need for Funds a) Grant Category b) Target Population c) Topic d) Institutional Capacity Needs e) Training Materials f) Training Projections	15 pts	15 pts	10 pts	25 pts
2) Administrative and Program Capability of Organization a) Organizational Experience b) Occupational Safety and Health Experience c) Grant Experience d) Distribution Network e) Needs Assessment Experience f) Program Experience g) Evaluation of Training Activities Experience h) Management and Internal Control System i) Organizational Chart	15 pts	20 pts	15 pts	15 pts
3) Staff Experience a) Occupational Safety and Health Experience b) Training Experience	10 pts	15 pts	10 pts	25 pts
4) Work Plan a) Work Plan Overview b) Work Plan Activities i) Capacity Building Plan ii) Needs Assessment iii) Training Materials iv) Recruiting Plan v) Training vi) Training Evaluation vii) Meetings, Reporting and Documentation viii) Work Plan Quarterly Projections	50 pts	45 pts	55 pts	25 pts
5) Budget Information a) Budget Information form b) Detailed Project Budget	10 pts	15 pts	10 pts	10 pts
<b>Total</b>	<b>100 pts</b>	<b>100 pts</b>	<b>100 pts</b>	<b>100 pts</b>

## VIII. AWARD NOTIFICATION INFORMATION

### A. Award Notification and Program Revisions

Organizations selected as grant recipients will be notified by a representative of the Assistant Secretary. An applicant whose proposal is not selected will be notified in writing.

Notice that an organization has been selected as a grant recipient does not constitute approval of the grant application as submitted. Before the actual grant award, OSHA will enter into negotiations concerning such items as program components, staffing and funding levels, and administrative systems. If the negotiations do not result in an acceptable submittal, the Assistant Secretary reserves the right to terminate the negotiation and decline to fund the proposal.

NOTE: Except as specifically provided, OSHA's acceptance of a proposal and an award of federal funds to sponsor any program(s) does not provide a waiver of any grant requirement or procedures. For example, if an application identifies a specific sub-contractor to provide services, the USDOL OSHA award does not provide the justification or basis to sole-source the procurement, i.e., to avoid competition.

### B. Request for Application Comments

After the eventual selections are announced, applicants may request feedback comments from OSHA. To receive comments on the grant application, the organization's authorized representative must send a written request that includes the following:

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

The request may be sent by email or mail. The organization's authorized representative must send an email request to [HarwoodGrants@dol.gov](mailto:HarwoodGrants@dol.gov) or mail the request, on organization letterhead, to

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

### C. Freedom of Information Act (FOIA)

Submission of the grant application information is required for the applicant to be considered for a grant award. Information submitted in the respondent's application is

not considered confidential. Awarded grant application packages may be releasable under the Freedom of Information Act. However, information protected from disclosure under the Privacy Act may be withheld.

## **IX. POST AWARD ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS**

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

All grantees, including faith-based organizations, will be subject to applicable federal laws and regulations (including provisions of appropriations law) and the applicable Office of Management and Budget (OMB) Circulars. The grant award(s) awarded under this solicitation will be subject to the following administrative standards and provisions, as applicable to the particular grantee: 29 CFR Part 2, Subpart D, new equal treatment regulations.

1. 29 CFR Parts 31, 32, 35 and 36 as applicable
2. 29 CFR Part 93, new restrictions on lobbying
3. 29 CFR Part 95, which covers grant requirements for nonprofit organizations, including universities and hospitals. 29 CFR Part 95 includes the Department of Labor regulation implementing 2 CFR Part 215, formerly OMB Circular A-110
4. 29 CFR Part 98, Government-wide debarment and suspension (non-procurement), including provisions regarding drug-free workplace requirements.
5. 2 CFR Part 220, formerly OMB Circular A-21, which describes allowable and unallowable costs for educational institutions
6. 2 CFR Part 230, formerly OMB circular A-122, which describes allowable and unallowable costs for other nonprofit organizations
7. OMB Circular A-133, 29 CFR parts 96 and 99, which provide information about audit requirements

### **B. Grant Produced Training Materials**

OSHA has a lending program that circulates grant-produced audiovisual materials. Audiovisual materials produced by the grantee as a part of its grant program may be included in this lending program. Two copies of all final product materials produced by grantees must be provided to OSHA in hard copy as well as in a digital format (CD Rom/DVD) for possible publication on the Internet by OSHA.

As stated in 29 CFR 95.36(a), the Department of Labor reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use for federal purposes any work produced under a grant, and to authorize others to do so. Applicants should note that grantees must agree to provide the Department of Labor a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use for federal purposes all products developed, or for which ownership was purchased, under an award including, but not limited to, curricula, training models, technical assistance products, and

any related materials, and to authorize the others to do so. Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronic or otherwise.

**C. Public Reference to grant**

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

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

**D. Use of U.S. Department of Labor (USDOL) OSHA Logo**

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

**E. Reporting**

Grantees are required by Departmental regulations to submit program and financial reports each calendar quarter. All quarterly reports are due no later than 30 days after the end of the fiscal quarter. In addition, grantees are required to submit grant program and financial closeout reports within 90 days after the grant termination or expiration date. Detailed information on the report requirements are included in Section VI.C.4.b)(7)(b) and Section VI.C.4.b)(7)(c).

## **Appendix A – New Requirements for Grants Awarded after October 1, 2010**

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

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

Financial Assistance Use of Universal Identifier and Central Contractor Registration:  
<http://edocket.access.gpo.gov/2010/pdf/2010-22706.pdf>

### **2 CFR Part 170**

Appendix A to Part 170--Award Term

#### **I. Reporting Subawards and Executive Compensation.**

##### *a. Reporting of first-tier subawards.*

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

##### *b. Reporting Total Compensation of Recipient Executives.*

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

- iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:
    - i. As part of your registration profile at <http://www.ccr.gov>.
    - ii. By the end of the month following the month in which this award is made, and annually thereafter.

*c. Reporting of Total Compensation of Subrecipient Executives.*

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if
  - i. in the subrecipient's preceding fiscal year, the subrecipient received
    - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
    - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
  - ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:
  - i. To the recipient.
  - ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

*d. Exemptions*

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- i. Subawards, and
- ii. The total compensation of the five most highly compensated executives of any subrecipient.

*e. Definitions. For purposes of this award term:*

1. Entity means all of the following, as defined in 2 CFR part 25:
  - i. A Governmental organization, which is a State, local government, or Indian tribe;
  - ii. A foreign public entity;
  - iii. A domestic or foreign nonprofit organization;
  - iv. A domestic or foreign for-profit organization;
  - v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
2. Executive means officers, managing partners, or any other employees in management positions.
3. Subaward:
  - i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
  - ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --- .210 of the attachment to OMB Circular A-133, ``Audits of States, Local Governments, and Non-Profit Organizations").
  - iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
4. Subrecipient means an entity that:
  - i. Receives a subaward from you (the recipient) under this award; and
  - ii. Is accountable to you for the use of the Federal funds provided by the subaward.
5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
  - i. Salary and bonus.
  - ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
  - iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
  - iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
  - v. Above-market earnings on deferred compensation which is not tax-qualified.
  - vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **2 CFR Subtitle A, Chapter I and Part 25**

### Appendix A to Part 25--Award Term

#### **I. Central Contractor Registration and Universal Identifier Requirements**

##### **A. Requirement for Central Contractor Registration (CCR)**

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

##### **B. Requirement for Data Universal Numbering System (DUNS) Numbers**

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

##### **C. Definitions**

For purposes of this award term:

1. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
  - a. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

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

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

5. Subrecipient means an entity that:

a. Receives a subaward from you under this award; and

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

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

As described in the solicitation for grant applications (SGA), any distributed materials (training, marketing, etc.) during the grant period are required to be reviewed by OSHA. In addition, electronic and paper copies are required to be submitted by the end of the grant period. Materials that were not developed or altered with grant funds (e.g., purchased, OSHA publications) do not have to be submitted in electronic format.

The purpose of the electronic copies is to be able to share the materials with the general public via the OSHA web site. These instructions were developed to the standardized submittal procedures for the grant-funded training materials.

1. Material Requirements. When submitting grant-funded training materials make a note of the following:
  - a. The word “draft” must not appear on any materials (print or electronic) submitted to OSHA as the final version. If the materials were produced in a non-English language, a final English version must also be submitted.
  - b. Training materials must be generic and appropriate for all audiences. References to training of specific groups, members of a group, or individuals should not be included in the final submittal. This includes personal information such as the instructor names, addresses, cell phone numbers, email addresses, etc.
  - c. Promotional materials can include the grantee organizational information including phone numbers, email addresses, etc.
  - d. If a test is included ensure that the test answers are provided.
2. Required Programs: Grant-funded training materials must be provided in Microsoft Office 2003 or 2007 as indicated below. Currently there is no preferred program for providing media files.
  - a. Word Files: Manuals and other print materials must be submitted as Word 2003 or 2007 documents.
  - b. PowerPoint Files:
    - i. Must be submitted as .ppt or .pptx files. “Show” format, such as .pps, is not acceptable.
    - ii. Power Point has a function to compress images and graphics. This should be used to minimize file sizes.
    - iii. If the presentation includes linked or embedded audio or video files, two copies of the presentation must be provided. One copy must be provided which does not contain any linked or embedded files.
    - iv. Presenter notes or a transcript of the presenter notes must be included.
  - c. Adobe format is not acceptable.
  - d. Media Files: Should be ADA compliant.

- i. Images such as photographs must have descriptive captions.
  - ii. Audio files must have transcripts.
  - iii. Video files must be captioned and have transcripts.
3. **Submitting Materials.** All grant-funded training materials must be submitted in both print and electronic format. Review the SGA for the appropriate number of copies that are required to be submitted. Please note the following:
  - a. Electronic files are restricted to those smaller than 15MB. Please split large files at logical points and label parts.
  - b. The CD must be clearly labeled with the grantee's organization and the grant number (SH-XXXXXX-YR), where XXXXX is the 5-digit grant number and YR is the last 2-digits of the fiscal year for which the grant was awarded.
  - c. The files on the CD must be clearly labeled by type of material (examples):
    - i. Instructor Manual
    - ii. Student Manual
    - iii. Pre-Test
    - iv. Post-Test
    - v. Evaluation Form
  - d. Check the CD before sending to ensure that all of the files will open.
  - e. Check the CD before sending to ensure that all grant-funded materials are included.
  - f. Files should be provided in a readily usable format. Therefore, files must not be password protected, "read only" format, or encrypted.

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

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