

2015-2017 Pre-Apprenticeship & Supportive Services (PASS) Grant FISCAL GUIDELINES & GRANT TERMS

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GRANT TERMS & INFORMATION

General	The funds allocated by the state to support ESSB 5863 will be used to increase funds available to provide services and training to females, minorities and socially and economically individuals that desire entry into highway construction trades and careers.
Allowable Costs	<p>All expenditures submitted for reimbursement under this grant must be necessary and reasonable for the approved grant project.</p> <p><i>Applicable Washington State Regulations</i> The State Administrative and Accounting Manual (SAAM) must be followed: http://www.ofm.wa.gov/policy/default.asp</p> <p>85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.</p>
Unallowable Costs	<p>The following costs are explicitly prohibited with funds from this grant:</p> <ul style="list-style-type: none">• Vendor training: training that is provided by a manufacturer and tied to the purchase, lease, or installation of capital equipment, software, etc.• Capital outlays, which are defined as property or equipment with a useful life in excess of one year and a per unit acquisition cost of \$5,000 or more.• Indirect or overhead costs. For the purposes of this grant, indirect is defined as costs which may not be directly associated with the grant objective and are usually determined by a percentage to allocate to the objective.• Cash, monies or stipends may not be given directly to participants. Services provided to recipients <u>must be paid directly to the service provider</u> on behalf of the student.• Paying any part of salary or benefits for the following: consultants, project managers, fiscal managers, directors, navigators or other related staff or payment to individuals that are not directly providing case management type services. <p>No more than 10% of the requested funding may be used to pay staff to meet reporting, invoicing and related requirements. 5% may be used for project development.</p> <p>85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.</p>
Case management services - Definitions	<p>Organizations desiring to provide supportive services related to case management may invoice for these services on a fee per service basis.</p> <p>Case management is defined as: Services defined as outreach, supportive services, retention and mentoring services must have a component of case management, meaning that the case manager is in regular contact with and</p>

delivering identified services to this individual for a minimum of 12 months from the time that services begin. Regular contact is defined as, at a minimum, weekly contact with the identified individual(s).

The following services will be considered case management for fee for service basis:

- Outreach services
- Job retention and placement
- On-the-Job support services*
- Referral services
- Counseling on highway specific careers and trades

Outreach is defined as activities that are performed within a community to inform targeted populations about careers in the highway construction industry and trades.

Recruitment is defined as activities that inform individuals about existing programs and opportunities, and screen interested individuals for readiness to participate in training programs.

The maximum cost per individual for 12 months of case management will be capped at \$2,500.00 per person.

*This definition of case management supportive services does not include the purchase of PPE and other items that may be provided to employed apprentices/trainees.

85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.

Purchased Items

Non-capitalized property procured with PASS Grant funds shall remain the property of the organization awarded the project and must be under inventory control.

Monitoring

WSDOT may schedule and/or conduct announced or unannounced monitoring visits during and after the grant period to evaluate the fiscal progress and performance of the program and provide assistance as needed. The purpose of monitoring is to ensure regulatory and contractual compliance on the part of grant recipients.

Audit Requirements

If PASS Grant recipients and/or the Grant program are audited by an agency other than WSDOT, a copy of the audit report(s) must be submitted to WSDOT within 30 days of its issuance.

Records Retention	Financial management systems shall reflect accurate, current, and complete disclosure of financial results of each state sponsored project. Grant recipients are to maintain books and records, supported by source documentation, that sufficiently and properly reflect the source of funds and all costs expended for program purposes. These records and financial statements are subject to inspection, review, reproduction, and/or audit by WSDOT or its designee for at least 6 years after the dispersal of funds, the termination or expiration of the grant, or the resolution of litigation or audits related to the program, whichever is latest.
<i>Trainee Records</i>	<p>Trainee records must be retained for each PASS Grant project participant, including attendance records, sign-in sheets, receipts for services/materials provided to the student.</p> <p>Please note: attendance records must be signed by the trainees and their supervisor or instructor.</p> <p>Sign in sheets for class attendance must be provided as part of monthly reporting. Additional trainee records to be retained might include pre- and post-assessments, checklists of accomplishments, completion status, etc.</p>
<i>Supportive Services Records</i>	<p>Detailed records must be kept on each Pass Grant project participant that receives Supportive Services in any form. Documentation at the minimum must include:</p> <ul style="list-style-type: none"> • Documentation of eligibility for services provided • Services provided and all dates of services • Amount and type of assistance provided • Outcomes of individuals services are provided for • Other related information that may be requested by WSDOT • Recipients must sign-in for any services/ materials delivered under the grant. The Receipt of Services log must be kept on each participant receiving any type of supportive service, and a copy submitted to WSDOT monthly.
<i>Curriculum Materials</i>	Curriculum materials purchased or developed under this grant are to be retained by the educational institution. Curriculum materials may include lesson plans, course synopses, exams, task analysis, videotapes and other media productions, manuals and workbooks, and any other instructional materials either purchased “off-the-shelf” or custom developed.

Sub-Contracting

If the educational institution is contracting to a third party to deliver training or supportive services under this grant, *a client services contract must be in place before paid work can begin*. The contract should clearly define the services to be delivered and must include the following:

- Scope of work including deliverables.
- Time period for completing scope of work.
- Any assigned responsibilities for capturing and submitting trainee. signatures, rosters, evaluations, etc.
- Rate of pay and total cost.
- Method for documenting performance and requesting payment.

Please note that the rules that apply to the PASS Grant recipient under this grant must also be applied to the subcontractor.

85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.

Termination

This grant may be terminated by WSDOT upon giving notice in writing to the grant recipient at least thirty (30) days in advance of the date of termination. If the grant is terminated for any reason, all reports and data gathered by grant recipient prior to termination shall at the option of WSDOT, become the property of WSDOT. If termination shall occur pursuant to this section, reimbursement to grant recipient shall be made on the basis of work performed prior to the effective date of termination as mutually agreed upon by both parties. Determination of final adjustments, either payments or refunds, shall also be mutually agreed upon by both parties.

Termination for Cause

If for any reason, the grant recipient violates any terms and conditions of the PASS Grant program, WSDOT will give the grant recipient notice of such failure or violation. Grant recipient will be given the opportunity to correct the violation or failure within thirty (30) days. If failure or violation is not corrected, this grant may be terminated immediately by written notice from WSDOT.

Savings

In the event funding from state, federal, or other sources is withdrawn, reduced, or limited in any way after the effective date of this grant and prior to normal completion, WSDOT may terminate the grant under the "Termination" clause, without the thirty-day notice requirement, subject to renegotiation at WSDOT's discretion under those new funding limitations and conditions.

BUDGET GUIDANCE - DEFINITIONS

Budget Activities The following list identifies eligible Pre-Apprenticeship Supportive Services (PASS) budget activities (also known as budget lines or line items).

Project Development Supporting expenses for program development. Project development include costs associated with:

- Recruitment/Outreach/Orientation to Highway Construction trades
- Screening and Placement into training programs
- Pre-employment counseling /Job Skills
- Pre-Apprenticeship Training programs*

***Training programs must have Washington State Apprenticeship & Training Council Recognition. See Program Guidelines for more information.**

Combined Project Development and Administrative costs must not exceed 15% of the total budget and are to be included in the total amount requested for funding For example.

Instructional Support for instructional personnel and supporting expenses for direct instruction. Duties may include:

- Curriculum development.
- Supplemental instruction.
- Direct classroom or student assistance.
- Materials to be used in direct instruction and hands on activities.

Administration Supporting expenses for administration of the grant. Related costs may include:

- Grant reporting.
- Recordkeeping.
- Budget tracking & invoicing.
- Contract writing and oversight.

The administration budget line cannot exceed 10% of the total budget. Combined project development and administrative costs must not exceed 15% of the total budget and are to be included in the total amount requested for funding.

Profit may not be gained from PASS Grant funds. Funds must be used for delivered services or actual costs.

85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.

Budget Categories Based on the budget activities above, you must determine how much of each activity will be budgeted in each category (also known as a budget column). Listed below is a general overview of the budget categories.

Goods & Services Items with an individual acquisition cost of **\$5,000 or less**, or a useful life of less than one year or services of a routine nature necessary to carry out grant activities are allowable goods and services.

Examples: *textbooks, instructional materials; grant related copying, postage, fax, telephone, printing.*

PASS funds cannot be used to purchase capital outlays. Capital outlays are defined as items having a useful life in excess of one year and a per unit acquisition cost of \$5,000 or more.

Travel Travel costs should be kept to a minimum and directly associated with grant activities. Only travel directly associated with the project is allowable, must be necessary and conform to the regulations set by the state of Washington's Office of Financial Management (OFM).

Reimbursement for travel costs must be within OFM travel rates and regulations which can be found in the State Administrative and Accounting Manual (SAAM) at <http://www.ofm.wa.gov/policy/10.90.htm>. Please note, when the grantee reimburses travel to any subcontractor under this grant using state funds, the same OFM travel rates and regulations must be applied.

Travel for individuals that are receiving assistance through grant funds is not covered. The exception is travel designated under support services and described in the grant project application.

FUNDING AND INVOICING REQUIREMENTS

Overview Funds for this grant must be claimed on a reimbursement basis. No payments in advance of or in anticipation of goods or services provided under this grant shall be requested or paid except in the case of Upfront Costs (see below). All costs must be reported for the period the expense was incurred.

Reimbursement requests must be submitted monthly by the last business day of the month, along with the monthly status report. Invoices submitted more frequently will not be processed until the end of the month.

85% of all requested funds must go directly to services that will be of direct benefit to the individuals the project is serving.

Grant Awarding Only grant application packets that are complete and received by the submission deadline will be considered for award. WSDOT may choose to fund the program for more or less than the requested amount.

Reimbursement Process PASS Grant awardees must be registered with the State of Washington as a vendor to receive payment. Click here to download the [Statewide Vendor Form](#). Check [here](#) to see if your organization is registered with the State. Please

note that it can take up to two weeks to complete the vendor application process, so please submit this form as soon as possible to avoid payment delays.

Unexpended grant funds will revert back to WSDOT.

Upfront Expenses

Certain expenses associated with project startup costs may be approved and paid directly by WSDOT, if the PASS Grant recipient demonstrates the inability to purchase items associated with project startup that exceed \$5,000.00. These expenses could include large class material purchases, such as classroom set of text books. The purchase must be approved in advance through supporting documentation, and upon approval WSDOT will secure the item and have it delivered to the project location. Up to 25% of grant funds may be requested for upfront expenses if the criteria are met for disbursement.

Upfront expenses **only** apply to approved material goods and services. Administrative, travel and other related costs will not be considered as upfront costs expenses.

Goods & Services

Required documentation: Documentation of payment for goods and services purchased that were used directly in the PASS Grant project. Documentation includes:

- Detailed invoices.
- Receipts.
- Information about who received the services/items.
- Other supporting documentation as necessary or requested by WSDOT must be submitted when requesting payment.

Note: Under no circumstances will cash be given directly to program participants. All qualified services will be paid on behalf of the individual receiving services by the Grant Project Administrator. Individuals receiving services must sign a receipt of services form available on the PASS Grant website. <http://www.wsdot.wa.gov/EqualOpportunity/Training/PASS.htm>.

Travel

Required documentation: Documentation of payment for PASS Grant related travel or documentation of PASS Grant travel reimbursement to traveler. Detailed invoices, receipts and reasons for travel and other supporting documents are required for payment to be processed.

Reimbursement for travel costs must be within OFM travel rates and regulations which can be found in the State Administrative and Accounting Manual (SAAM) at <http://www.ofm.wa.gov/policy/10.90.htm>. Please note, when reimbursing travel to subcontractors under this grant using state funds, the same OFM travel rates and regulations must be applied.

Other Unexpected Expenses

Unexpected expenses will be evaluated on a case by case basis. These expenses will require a budget revision to be submitted and approved before funds will be approved. Requests should not exceed 10% of the total amount of the initial grant award.

Required documentation: Funds must be requested **in advance** of purchase with proper documentation and the reason for the increase. Requests must be for activities approved in the project proposal. No new or additional scopes of work will be considered. Requires WSDOT Grant Coordinator approval and funding subject to availability.

Note: To avoid having to request funds for Unexpected Expenses, please be sure to accurately estimate costs and services in the initial application. Grant award may only be requested one time. Repeated increases for unexpected expenses will be denied.

Budget Revisions WSDOT approval of a revised budget is required. The allowable variance of 10% per budget does not apply to budgeted amounts in the Administrative activity. No additional funds for administrative activities will be authorized. Only one budget revision over the duration of the project will be considered. See other unexpected expenses for allowable reasons for budget revision requests.

Invoicing Deadlines ***For expenses incurred, all invoices must be submitted monthly with all supporting documentation no later than the last business day of each month. Invoices submitted more often than this will be held until the end of the month.***

Final Invoicing ***All final invoices must be submitted with proper documentation no later than May 5, 2017. Invoices submitted after this date may not be honored due to Agency fiscal obligations.***

REPORTING REQUIREMENTS

Monthly Reporting ***A monthly status report must be submitted with monthly invoicing.*** Reporting may be done on your own form or use the form provided. The form can be found on the PASS Grant website <http://www.wsdot.wa.gov/EqualOpportunity/Training/PASS.htm>. Reports, invoicing and supporting documentation are due to WSDOT by the last business day of each month.

Final Report A final report summarizing the outcome(s) for this grant and final budget report is required of all PASS Grant projects. The format for this report can be found at <http://www.wsdot.wa.gov/EqualOpportunity/Training/PASS.htm>.

The deadline to submit this final report is June 20, 2017.

Reporting and future grant awards Failure to meet invoicing and reporting deadlines, or failure to provide requested information or adhere to grant policies may render an organization ineligible for future grant opportunities. Please read all instructions carefully and contact the WSDOT Grant Coordinator if you have questions.

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