Option Year Funding for Program Year 2017

Competitive Grants Update

March 22, 2017

UNITED STATES DEPARTMENT OF LABOR
Veterans' Employment and Training Service

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Agenda

- Background
- Criteria for PY 2017 option year funding
- Roles and responsibilities: what VETS is looking for in the review of applications
- Timeline and due dates
- Questions
Background

- Option year award VPL and technical assistance guide in Departmental Clearance
  - Replaces VPL 05-12 issued on February 29, 2012
- Aligns non-competitive grants reporting with the PY 2017 HVRP FOA requirements
  - 12-month period of performance
  - Follow-up employment tracking services
    - Applicants may request up to an additional 3% for tracking
  - Critical performance indicators
    - Number of enrollments
    - Placement rate (for all exiters)
    - Average hourly wage at placement (for all exiters)
    - Placement rate for the chronically homeless
Background

- Expected VPL publication date is the last week in March
- Estimated $24 million available for option year awards
  - Final HVRP allocation unknown as we’re operating under a continuing resolution through April 28
- Anticipate announcing new 12-month awards by June 1
  - Announcement is expected to change to April 30 in PY 2018
- Process has been streamlined to reduce the paperwork submitted by applicants and to reduce the review and approval time
• Primary sources for the performance data used in the application review are the 2nd quarter TPR and TPN
• Due date for option year award applications to DVETs is April 10
  – Due date reverts back to March 10 in PY 2018
• GOTRs should inform their HVRP grantees of the pending VPL and new due date
• Two types of applications for option year funding
  – Eligible based on performance
  – Eligible based on special consideration
The current grant met or exceeded minimum expectations on 50% or more of the applicable critical performance indicators at the time of the 2\textsuperscript{nd} quarter review of performance; \textbf{and} \\

The current grant is currently not designated as high risk at the end of the second quarter, December 31; \textbf{and} \\

The current grant is either an initial award or a first option year award.
The application package consists of:

- A letter or memorandum from the authorized representative for the grant requesting funding for another 12 months
  
  It should say *this request is a continuation of the current program as originally approved* and include the appropriate attachments

- An updated planned goals chart (VETS-700)
- Application for Federal Assistance SF-424
- Budget Information—Non-Construction Programs SF-424A
- Budget narrative, including descriptions for direct costs
Criteria for PY 2017 Option Year Funding

Eligible based on special consideration

• The current grant failed to meet minimum expectations on more than 50% of the applicable critical indicators; and

• Underperformance resulted from compelling circumstances beyond the reasonable management control of the grant recipient; and

• The current grant is currently not designated as high risk at the end of the second quarter, December 31; and

  – Note that a high risk designation can result from other areas not related to performance on the critical performance indicators such as program integrity issues where a grant recipients poses a high risk of fraud, waste, and abuse;

• The current grant is either an initial award or a first option year award.
Examples of compelling circumstances

- Delay in the receipt of federal funds
- Difficulties and the resulting delay in obtaining physical space for the grant-funded training project
- Partner programs withdrawing their previously agreed resources and participant services complementing activities funded under the current grant award
- Acts or omissions of civil authorities resulting in significant delays in obtaining needed licensing or certifications
Examples of compelling circumstances

- Natural or man-made disasters, including pandemics, resulting in an interruption of the delivery of grant-funded and partner-funded services
- Mass layoffs occurring in the current grant project service area
- Labor disputes
- Significant delays or interruptions affecting the availability of public services, including transportation
- Other unforeseen circumstances beyond the reasonable control of the grant recipient’s project
The application package consists of:

- Correspondence from the grant authorized representative requesting special consideration for funding for another 12 months

  - The correspondence shall say “this is a request for special consideration to continue the current program as modified in this request”

  - The correspondence shall describe the circumstances beyond the control of the grant recipient which seriously impaired the grant’s ability to perform successfully

  - The correspondence must include a modification request to make appropriate adjustments to performance goals and, if appropriate, funding for its award to account for compelling circumstances
Criteria for PY 2017 Option Year Funding

Request for special consideration

- The application package consists of (continued):
  - An updated planned goals chart (VETS-700)
  - Application for Federal Assistance SF-424
  - Budget Information—Non-Construction Programs SF-424A
  - Budget narrative, including descriptions for direct costs
Roles and Responsibilities

GOTR review of the application to confirm:

- The applicant complied with the due date for submission
- The required correspondence and attachments or enclosures are part of the submission (i.e., planned goals chart VETS-700, SF-424 and an SF-424A)
- The application transmittal correspondence was submitted by an authorized representative for the grant
- The application transmittal correspondence requests funding for another 12 months
Roles and Responsibilities

GOTR review of the application to confirm:

- The written request says *this request is a continuation of the current program as originally approved OR this is a request for special consideration to continue the current program as modified in this request*

- Each request for special consideration includes a description of the compelling circumstances beyond the reasonable management control of the grant recipient

- If the correspondence indicates if the grant recipient is requesting other grant modifications
The Technical Performance Report and the Technical Performance Narrative are reviewed to confirm the grantee is eligible for option year funding based on performance:

- The current grant met minimum expectations on 50% or more of the applicable critical performance indicators; and
- The current grant is not designated as high risk at the end of the second quarter, December 31; and
- The current grant is either an initial award or a first option year award.
For applications seeking approval based on special consideration:

- The information is reviewed to confirm the grant underperformance resulted from compelling circumstances beyond the reasonable management control of the grantee;
- The current grant failed to meet minimum expectations on over half of the applicable critical performance indicators; \textit{and}
- The underperformance resulted from compelling circumstances beyond the reasonable management control of the grantee that is addressed in a grant modification request; \textit{and}
- The grant is not designated as high risk on December 31\textsuperscript{st}; \textit{and}
- The current grant is either an initial award or a first option year award.
GOTR review of the included forms to ensure completeness and consistency:

- SF 424 Application for Federal Assistance
  - This form must contain an original signature in ink reflecting the original start and end date (block 17 ‘a’ and ‘b’) of the grant
  - The form must indicate that this is a “continuation” or “revision” (if changes to scope are requested) of an existing grant (block 2)
  - The SF 424 identifies the total amount of funding needed to continue operations for the new award period not to exceed 12 months
    - An eligible grantee may request less funding than what was originally awarded and not more than 103% of the current award
GOTR review of the included forms to ensure completeness and consistency:

- SF 424A Budget Information
  - This form shows the four (4) new quarters of funding
  - The funding on the SF 424A must crosswalk and equal the funds requested on the SF 424
  - All funds must be obligated by the last day of the grant award
- Planned Goals Chart (VETS-700)
  - The values entered onto this form must be consistent with the planned values for current grant award as modified in the application request accepted by the region
Roles and Responsibilities

Recommending or not recommending approval:

- The GOTR prepares a memorandum recommending or not recommending option year funding for the RAVET’s concurrence
  - The memorandum must describe the analysis completed by their region supporting the recommendation
- The memorandum must be addressed to the Grant Officer, Thomas Martin, through the Deputy Director of National Programs, Maria Temiqueul
Roles and Responsibilities

Recommending or not recommending approval:

- The RAVET may change the GOTR’s recommendation based on his or her analysis of the application.
- The RAVET will forward the signed memorandum to the Office of National Programs.
  - [https://sharepoint.dol.gov/vets/onp/Shared%20Documents/Competitive%20Grants/Option%20Year%20Modifications/PY-17](https://sharepoint.dol.gov/vets/onp/Shared%20Documents/Competitive%20Grants/Option%20Year%20Modifications/PY-17)
- ONP will review the option year grant application packages and make a recommendation to the Grant Officer for award.
By April 10 (March 10 beginning in FY 2018), those recipients of HVRP funds eligible for option year funding must electronically submit the necessary modification request described in the TAG to the GOTR.

The GOTR will forward the modification request package with his/her cover memo indicating his or her recommendation for approval/disapproval and seeking concurrence to the RAVET by no later than April 19 (March 19 beginning in PY 2018).
The RAVET will review the option year grant modification packages and indicate his or her concurrence/non-concurrence in the transmittal memo.

- The memo shall be addressed to Grant Officer Thomas Martin through the Deputy Director of the Office of National Programs, Maria Temiquel.

The region will submit via SharePoint to the Office of National Programs the memo indicating concurrence or non-concurrence and accompanying paperwork by April 27 (March 27 beginning in PY 2018).

https://sharepoint.dol.gov/vets/onp/Shared%20Documents/Competitive%20Grants/Option%20Year%20Modifications/PY-17
Questions