

Grant Compliance Handbook

Department of Labor Trade Adjustment Assistance
Community College and Career Training Grant

Ohio Technical Skills Innovation Network (OhioTechNet)

Lorain County Community College
Administrator/Fiscal Agent
Revised 7-11-17

Table of Contents

CONSORTIUM INFORMATION	4
STAFF RESPONSIBILITIES.....	4
LORAIN COUNTY COMMUNITY COLLEGE RESPONSIBILITIES	5
ALL CONSORTIUM MEMBERS RESPONSIBILITIES	5
CREATIVE COMMONS & SKILLSCOMMONS.....	6
PUBLIC ANNOUNCEMENTS.....	7
EXPENDITURE DEADLINES & REPORTING	7
EXPENDING FUNDS.....	7
UNALLOWABLE ACTIVITIES.....	8
SUBRECIPIENT VS CONTRACTOR	8
CONSULTANTS	9
SUPPLIES AND EQUIPMENT	9
RENOVATIONS	10
MEETING AND TRAVEL EXPENSE.....	10
INTERNAL FACILITY CHARGES.....	10
INVOICING GUIDELINES.....	11
The Basics	11
Supporting Documentation	11
LEVERAGE	11
BUDGET MODIFICATIONS.....	11
ADMINISTRATIVE COSTS.....	12
ADMINISTRATIVE COST CALCULATION.....	13
APPENDIX A: INVOICE TEMPLATE.....	14
APPENDIX B: TIME AND EFFORT REPORT (EXAMPLE)	15
APPENDIX C: BUDGET MODIFICATION EXAMPLE.....	16
APPENDIX D: NONEXPENDABLE EQUIPMENT INVENTORY FORM.....	17
APPENDIX E: BID DOCUMENTATION FORM	18
APPENDIX F: MEETING DOCUMENTATION FORM.....	19

APPENDIX G: QUARTERLY GRANT ACTIVITY REPORT20

APPENDIX J21

 Leveraged Resources21

 Accrued Expenditures.....21

APPENDIX K: MONITORING VISIT CHECKLIST22

APPENDIX L24

 Ohio Tech Net Equipment Purchase Guidance24

 Ohio Tech Net Renovation Procurement Guidance Memo.....25

APPENDIX M: PURCHASING.....27

APPENDIX Z: SUMMARY OF CHANGES TO HANDBOOK.....30

CONSORTIUM INFORMATION

The Department of Labor TAACCCT Advanced Manufacturing Consortium is a four-year award with a performance period from October 1, 2014 through September 30, 2018. The grant award should be listed in your college's **SEFA** (Schedule of Expenditures of Federal Awards) for their OMB A-133 audit. You will need the following numbers:

- **CFDA#: 17.282**
- **Identifying number: TC-26435-14-60-A-39**

STAFF RESPONSIBILITIES

Lorain County Community College serves as the administrative and fiscal agent for the TAACCCT grant. The project team at LCCC will serve as your main contact and will be responsible for communicating with the Department of Labor (DOL).

Terri Sandu
Entrepreneurship Innovation
(440) 366-4215
tsandu@lorainccc.edu

Bernie Gosky
Project Manager
(440) 366-4233
bgosky@lorainccc.edu

Tony Schweppe
Mgr of Business Engagemnt
(440) 366-7665
aschweppe@lorainccc.edu

Don White
Grant Accountant
440-366-7533
dwhite1@lorainccc.edu

Kathryn Maerlender-Stack
Administrative Associate
(440) 366-4685
kmaerlender@lorainccc.edu

Joe Martin
Grant Accountant
(440) 759-2084
jmartin2@lorainccc.edu

Joe Owens
Graphic Designer
(440) 387-9278
jowensdesign@gmail.com

Melika Matthews
Reporting Manager
(440) 366-4251
mmatthews@lorainccc.edu

Courtney Tenhover
Program Developer
(440) 366-4087
ctenhover@lorainccc.edu

Contact the Following for Help:	
<u>Accounting, Quarterly Invoices:</u> Joe Martin, Don White	<u>Data:</u> Melika Matthews
<u>Quarterly Reports:</u> Melika Matthews, Bernie Gosky	<u>Employer Engagement:</u> Courtney Tenhover, Tony Schweppe
<u>Labor Market Data:</u> Tony	<u>Newsletter/Weekly Communications:</u> Melika Matthews
<u>Grant Administration:</u> Bernie Gosky	Administrative Support: Kathryn Maerlender-Stack

LORAIN COUNTY COMMUNITY COLLEGE RESPONSIBILITIES

- Maintain accurate financial records and track budgetary changes.
- Approve budget modification requests and obtain approval from DOL, as necessary.
- Submit quarterly and annual financial reports to DOL.
- Submit quarterly progress reports and an annual performance report.
- Request drawdown of funds from DOL on a regular basis.
- Submit deliverables upon conclusion of the grant.
- Conduct on-site monitoring visits to review reimbursement documentation, competitive bid support documents, physical inspection of equipment, participant files and other documents identified on monitoring checklist.
- Provide technical assistance.

ALL CONSORTIUM MEMBERS RESPONSIBILITIES

- Comply with all applicable Federal laws, regulations and applicable OMB Circulars, including but not limited to, OMB Circular A-21 (2 CFR Part 220); 29 CFR Parts 37, 93, 94, 95, and 98.
- May be subject to Single Audit Act (see OMB Circular A-133).
- Track time and effort, equipment inventory, and budget to actual expenditures.
- Submit budget modification request when requested by LCCC.
- Submit quarterly invoices and grant activity reports.
- Should a cost be deemed ineligible for reimbursement, your institution will be responsible for that cost.
- Maintain all records for a minimum of three years after the DOL grant close-out date.
- Responsible for furnishing records upon request.

CREATIVE COMMONS & SKILLSCOMMONS

The Department of Labor requires all grantees to license grant deliverables produced with TAACCCT grant funds with a Creative Commons Attribution License (CC BY). This license gives others broad access to TAACCCT resources and permission to use, adapt, and improve the resources as long as the original creator is given credit. The purpose of the CC BY licensing requirement is to ensure the Federal investment of TAACCCT funds has as broad an impact as possible and generates innovation in the development and delivery of learning. Educational resources that are licensed with a Creative Commons CC BY license are called Open Educational Resources (OER).

Creative Commons (<http://www.creativecommons.org>) is a non-profit organization that has developed legal and technical infrastructure that maximizes digital creativity, sharing and innovation around the world and across many different sectors. With funding support from the Bill & Melinda Gates Foundation Creative Commons is providing free strategic and implementation support to all TAACCCT grantees. Support includes help with:

- understanding how to design and develop new learning materials that others can reuse and improve
- applying the Creative Commons (CC BY) license to newly developed works using the Creative Commons license chooser
- creating appropriate attribution statements so you get credit for your work
- mixing openly licensed and proprietary material together
- finding and using existing Open Educational Resources others have produced
- understanding what OER are, their impact on teaching and learning practice, and benefits associated with sharing and reuse
- ensuring developed resources are ready for uploading to SkillsCommons.org the repository DOL is using to store and make TAACCCT resources publicly available

Creative Commons provides this support through a series of progressively interactive and intensive means including:

- self-service web resources, guidelines, and FAQ's available at <http://www.open4us.org>
- always available e-mail support through the e-mail address taa@creativecommons.org for all Creative Commons related questions
- an OPEN for TAACCCT Google+ community that provides grantees with the opportunity to directly interact with and learn from each other as well as request support from Creative Commons. Over 200 grantees are already sharing and receiving support in this community. All past and current interactions are immediately available once you join
- regularly scheduled webinars open to all
- customized on-request webinars that Creative Commons tailors to meet your specific needs and delivers specifically to you and your consortia partners
- in-person workshops and seminars delivered on site at your location or during district gatherings,
- all grantee convening's, and other TAACCCT events

Lead Team assumes responsibility to review grant materials, obtain CC BY licensing as necessary, and upload materials to SkillsCommons.org. Consortium members are responsible for providing requested materials to the Lead team.

PUBLIC ANNOUNCEMENTS

When issuing statements, press releases and other documents describing project or programs funded in whole or in part with Federal money, all awardees receiving Federal funds, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or program, and (3) the percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources.

If applicable, the following language from Round 2, 3, and 4 SGAs needs to be on all products developed in whole or in part with grant funds: TAACCCT Grant FAQs – Revised as of August 25, 2016 Page 39

“This workforce product was funded by a grant awarded by the U.S. Department of Labor’s Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership.”

EXPENDITURE DEADLINES & REPORTING

The TAACCCT grant follows the federal fiscal year, October 1 through September 30. The quarter start/ending dates are:

- Oct 1 – Dec 31
- Jan 1 – Mar 31
- Apr 1 – Jun 30
- Jul 1 – Sept 30

The following table provides a summary of the different reports due to the Grant Director:

What's Due	Description	Due Date
Quarterly Activity Report (Appendix G)	Report which includes key milestones and a general update of program implementation.	3 weeks following the last day of the quarter.
Quarterly Invoice (Appendix A)	Quarterly invoice for expenses incurred. An invoice template (Excel) is provided.	Last day of the month following the quarter.

EXPENDING FUNDS

This is a reimbursement grant to the consortium. All members must follow rules and requirements outlined in Grant Agreement, Uniform Administrative Requirements and Federal Cost Principles. For auditing purposes, consortium members should identify their entity as a direct recipient of federal funds.

All costs directly related (100%) to program development, including salary, fringe, stipends, travel, supplies, equipment, and outreach as outlined in each consortium member's approved budget are eligible for reimbursement. The Fiscal Agent (Lorain County Community College) will review all expenditures submitted for reimbursement for program and grant compliance. Should a cost be deemed ineligible for reimbursement, your institution will be responsible for that cost.

Common disallowed costs, include, but are not limited to:

- Salary for faculty not working directly on the grant (i.e. an adjunct filling in for faculty working on the grant)
- Alcohol
- Entertainment Costs
- Lobbying
- Marketing/ Advertising the institution

For more information, review OMB Circular A21 section J. For any expense that may be questionable, contact the Grant Accountant prior to purchase.

UNALLOWABLE ACTIVITIES

Per the SGA/DFA PY-13-10, Unallowable activities include the use of grant funds to pay an individual student's education and training costs, such as the cost of tuition (including scholarships), books, and academic fees. Unallowable academic fees include the testing and licensure fees required for individual students to receive an industry-recognized credential. Other unallowable activities include incentive payments for participants such as performance-based cash bonuses; WIA supportive services; wages of participants (including the wages of students participating in co-operative education programs, Registered Apprenticeship, on-the-job training, work-based training, or internships) and stipends for wage replacement of participants; the purchase of real property; and construction. Applicants should ensure they do not propose the unallowable activities listed above. Some of these activities may duplicate services and benefits provided to TAA-eligible workers. For example, TAA-eligible participants in TAACCCT-funded programs are entitled to TAA benefits, including tuition and related necessary and approved expenses such as books, tools, academic fees, travel or transportation expenses, and subsistence expenses.

Applicants may not use grant funds to supplant other funding sources they are currently using to fund existing activities.

SUBRECIPIENT VS CONTRACTOR

Subrecipient	Contractor
<i>Determines who is eligible to receive what Federal assistance</i>	<i>Provides similar goods or services to many different purchasers</i>
<i>Performance is measured by whether objectives of Federal program are</i>	<i>Provides the goods and services within normal business operations</i>
<i>Has responsibility for programmatic decision making</i>	<i>Provides goods or services that are ancillary to the operation of the Federal program.</i>
<i>Responsible for adhering to applicable Federal program requirements.</i>	<i>Not subject to the compliance requirements of the Federal program</i>
<i>Uses Federal funds to carry out a program for a public purpose.</i>	<i>Provides goods and services for the non- Federal entity's own use, creating a procurement relationship.</i>
<i>Funded by Subaward</i>	<i>Funded by a Procurement Contract</i>

CONSULTANTS

Consultant fees paid under this grant agreement shall be limited to \$585.00 per day. Submit any requests for higher compensation to the LCCC Grant Director for approval. If needed, she will seek guidance and/or approval from the DOL. Follow standard procurement rules when hiring a consultant.

SUPPLIES AND EQUIPMENT

- All supplies and equipment must **directly impact the deliverables of the grant.**
- Supplies have a useful life of one year or less and/or a cost of not more than \$5,000.
- Computers are considered supplies.
- EQUIPMENT PURCHASES APPROVED BY THE DOL INCLUDE AN “NTE” (NOT TO EXCEED) DOLLAR AMOUNT APPROVAL. If the DOL approves the purchase of an arc welder for \$28,000 and the item costs \$28,001 or more, you need to contact Joe Martin to request permission from DOL to purchase item.
- Equipment has a useful life of more than one year and is in **excess of \$5,000.**
- Multiple Quotes must be received for Equipment in excess of \$5,000 and less than \$25,000.
- Document vendors that refuse to give you a quote or bid.
- All equipment must receive DOL approval prior to purchase, and if \$25,000 or more must be competitively bid. Your institutional policy should be adhered to if more restrictive guidelines apply.
- The DOL does not support Sole Sourcing.
- When asking for bids or quotes you may not dictate the manufacturer of the equipment. You may use a manufacturers name when describing the equipment

but you must include “or equal” or “as basis for design” verbiage to allow multiple parties to bid or quote.

- For contracts of \$25,000 or more, grantees are prohibited from doing business with any organization or person if they have been debarred or suspended by any federal department or agency (www.sam.gov/portal/public/SAM/). Refer to 29 CFR Part 98.
 - Federal Debarment: <https://www.epls.gov/> ; search “Current Exclusions” on far left side; select “Multiple names”
 - Equipment inventory must be maintained and include the item description, manufacturers’ identification number, source, date acquired, unit cost, location and condition of equipment as of the date of reporting (Appendix D). Refer to 29 CFR Part 95.34 for inventory and disposition guidelines.

RENOVATIONS

- ☐ All consortium members must follow Ohio Revised Code and Ohio Building Codes when renovating facilities. This includes hiring architects when sealed drawings are required.
- ☐ Renovations must receive permits.
 - Architects must be chosen from a current “Library of Qualifications”.
 - The Ohio Facilities Construction Commission (OFCC) maintains a current “Library of Qualifications” listing.

MEETING AND TRAVEL EXPENSE

See OMB CIRCULAR A-21 SECTION J. 32 and Appendix F

Reimbursement requests for local meeting expenses (food) related to grant activities must be supported by an agenda and list of attendees. Meals will be reimbursed on an actual or Federal per diem basis. For mileage reimbursement requests, please attach a copy of the Mapquest or Google Maps directions as your backup documentation. Please use the per mile reimbursement rate that your college utilizes when submitting mileage reimbursement requests.

Registration Fees (which may include meals) to attend industry group meetings and conferences in pursuit of the grant deliverables is allowable. Documentation supporting the existence and your attendance at the meeting is required.

Sharing Technical Knowledge – Group meeting expenses, including meals, to bring in industry leaders/employers to share technical knowledge regarding the program are allowable. Please document all in-kind expenses provided by the institution to provide these meetings on your quarterly Narrative and Invoice. In-Kind expenses can be used as leverage.

INTERNAL FACILITY CHARGES

Internal Facility Charges are an Allowable cost. However, if Facility expenses are included in your Indirect Cost Rate

then the Internal Facility Charges become UnAllowable as you are already capturing that cost. Please look at the F&A section of your indirect rate calculation.

Invoicing Guidelines

The Basics

This grant is a reimbursement based grant. You must actually incur the expense before requesting payment. Upon submitting an invoice (Appendix A Excel template), LCCC will reimburse your institution provided all supporting documentation has been provided.

When are invoices due: The last day of the month following the end of the quarter. See Expenditure Deadlines and Reporting.

How do I submit an invoice: You can email an electronic copy of your invoice and supporting documentation to LCCC's TAACCT Grant Accountant email at dwhite1@lorainccc.edu.

Supporting Documentation

What supporting documentation needs to be included: Supporting documentation includes, but is not limited to:

- Time & Effort Form (Appendix B)
- Summary Page of Expenses
- Payroll & Fringe Benefit documentation*, including a breakout of OPERS benefits and regular insurance benefits
- Invoices from third party vendors
- Itemized receipts
- Travel forms**
- Meeting Expense documentation (agenda with date & duration, attendance) – Appendix F
- General Ledger detail of expenditures

* Please remember to redact all personal identification information such as SSNs.

**LCCC prefers and recommends submitting all travel expenses based on actual cost with itemized receipts as supporting documentation. However, if your college is submitting expenses per diem, a copy of your institution's travel policy is required.

LEVERAGE

Leverage is recorded at the time it is received. Leverage is documented like any other expense. Leverage also follows the allowable expense rules. See Appendix J

BUDGET MODIFICATIONS

Consortium members have been awarded a specific amount of funds to be used to attain program goals. The award amount is outlined in the Budget Narrative section of the Grant Agreement dated September 24, 2014 (see below). Budgeted amounts by year are NOT fixed but will be used as a guide to follow your

spending of the grant.

Abbrev.	School	Award
CSTCC	Cincinnati	\$1,000,000
CSCC	Columbus	\$1,000,000
CCC	Cuyahoga	\$855,396
EGCC	Eastern	\$999,988
LCC	Lakeland	\$1,000,522
LCCCB	LCCC-Base	\$1,000,000
LCCCL	LCCC-Lead	\$4,144,094
OCC	Owens	\$1,000,000
RSC	Rhodes	\$1,000,000
SCC	Sinclair	\$1,000,000
SSC	Stark	\$1,000,000
ZSC	Zane	\$1,000,000

Budget Revisions: The Lead may ask for budget revisions on an annual basis from Consortium members typically in late summer. Budgeted expenses may be reallocated amongst expense categories as needed except that the Indirect Cost dollar amount may not exceed the dollar amount awarded in the initial Grant Award Budget Narrative. Your indirect cost amount may be less but cannot be more.

The Lead will be utilizing Appendix C during their annual budget revisions request.

ADMINISTRATIVE COSTS

There is a 10% limitation on administrative costs on funds awarded under this grant. Under no circumstances may administrative costs exceed this limit. Administrative costs under this award follow the definition in the Workforce Investment Act at 20 CFR 667.220(b) and (c). Compliance with the administrative costs limits is monitored throughout the grant period. Any amounts exceeding this limitation at closeout will be disallowed. Administrative Costs are NOT equal to Indirect Costs used to calculate in the indirect cost rate. A portion of the indirect costs are considered program costs.

- Administrative Expenses include Accounting, Budgeting, Procurement, Personnel, Payroll, Audit and Legal.
- Program expenses are other costs that are not administrative.
- Direct Expenses are charges that can be identified with a specific project or program.
- Indirect Expenses are charges that are not easily identified to a program and are allocated amongst all programs based on a specific formula.

Examples:

Admin Cost: A Grant Accountant

Direct Admin Cost: A Grant Accountant assigned to the TAACCCT grant only. *Indirect*

Admin Cost: The Manager of Accounting allocated amongst all programs. *Program Cost:* A Faculty Member

Direct Program Cost: A Faculty Member teaching a TAACCCT funded program.

Indirect Program Cost: A Department Chair.

ADMINISTRATIVE COST CALCULATION

Each Consortium Member must identify their Direct Admin costs and Indirect Admin costs incurred during their current quarter on their Quarterly Invoice. These costs will be recorded under the “Cost Category” section of the invoice which is on the lower half of the page.

This calculation is done in two steps. The first is to identify the Direct portion of the costs incurred during the quarter and record them on the “Direct Administrative Costs” portion of the page.

The second step is to multiply Line J Indirect costs by the % of admin costs included in your Indirect Cost Rate. (see below how to calculate this rate)

Program/Admin % of your Indirect Cost Rate: Every school in the Consortium is using an approved Indirect Cost Rate. Included in this rate are Program Costs and Admin Costs. It is important to calculate the percentage of Admin costs included in your Indirect Cost Rate to be used in the above Administrative Cost Calculation.

APPENDIX A: INVOICE TEMPLATE

TAACCCT Quarterly Finance Invoice Summary					
Sub-Award Name and Address:			Request Number:		
			Period Covered:		
Project/Initiative Name:			Prepared By:		
Ohio Tech Net TAACCCT Grant - Agreement# TC-26435-14-60-A-39 -CFDA# 17.282			Telephone Number:		
Cost Category	Budget (Year 1 Total)	Prior Periods Reimbursements	Current Period Request	Cumulative Total	Balance
Personnel				0.00	0.00
Fringe Benefits				0.00	0.00
Travel				0.00	0.00
Equipment				0.00	0.00
Supplies				0.00	0.00
Contractual				0.00	0.00
Other				0.00	0.00
Indirect				0.00	0.00
Total	0.00	0.00	0.00	0.00	0.00
Percentage of budget expended to date:	#DIV/0!	Total Reimbursements Received to Date			
Percentage of budget committed to date:	#DIV/0!	Balance Due		0.00	
Other (report summary totals quarterly; detail on file for monitoring)		Prior Periods	Current Period	Cumulative Total	
Leveraged Resources (please attach summary sheet)				0.00	
			Current Period		
Accrued Expenditures (not included in reimbursement request)		N/A			
Unliquidated Obligations (not included in reimbursement request)		N/A			
<i>Note: In order to not exceed the 10% cap on Administrative Costs, all dollars allocated as administrative to both direct and indirect costs must be tracked. Supporting documentation must be available for monitoring.</i>					
Cost Category		Prior Periods	Current Period	Cumulative Total	
Direct Administrative Costs:				0.00	
Indirect Administrative Costs:				0.00	
			Total Administrative Costs:	0.00	
			% of Total Budget:	#DIV/0!	
			% of Expend. To Date:	#DIV/0!	
<i>Certification: I, the undersigned, do hereby certify the following:</i> (1) Costs have been paid as itemized in this request for funds; (2) Procurement of goods and services have been made in compliance with all applicable Federal, State, and Local regulations; (3) No payments have been made to disbarred or suspended vendors; (4) Accurate accounting records and supporting documentation are being maintained on site; (5) I am authorized to authenticate and certify this claim.					
(Typed Name)			(Authorized Signature)		

(Title)				(Date)
INSTRUCTIONS: Please e-mail completed form to: dwhite1@lorainccc.edu		Lorain County Community College Internal Use Only:		
<i>Retain original, signed form for on-site monitoring reviews.</i>		Received/Comments _____		

APPENDIX B: TIME AND EFFORT REPORT (EXAMPLE)

If your college generates an automatic time and effort report for those employees being compensated through grant funds, you may submit those reports as documentation rather than completing the form below. This report must account for 100% of an employee's time. Worked time spent on Federal grants must be itemized while time spent on other Non-Federal grants and college activities may be grouped together. Again, 100% of an employee's time must be documented.

LORAIN COUNTY COMMUNITY COLLEGE									
PAY PERIOD DOCUMENTATION OF PERSONNEL EXPENSES REPORT									
FACULTY AND PROFESSIONAL STAFF - TIME AND EFFORT FORM									
CERTIFICATION									
NAME:	Joe Smith	Employee ID:	123456	PAYROLL PERIOD:	10/5/15	From	10/5/15	To	10/18/15
POSITION TITLE:	Project Assistant	PROJECT PRINCIPAL INVESTIGATOR/COORDINATOR							
HOME DEPARTMENT:	Accounting	Jane Smith							
GRANT ACCOUNTAL:	(Initial and Date)	Pay Period Number: 9							
FOR COMMUNITY COLLEGE FACULTY ONLY: FOR ACADEMIC TERM: BASE CONTACT HOURS:									
Sponsoring Agency	Agency Grant #	Community College Project ID	Activity	Hours for Reporting Period	%	Charges (To be completed by)			
1. DOL: TAACCCT Round 4; Ohio TechNet	C-26435-14-60-A-3	46501	Project Administrative	2	3%	600.00			
			Program Delivery	19	24%	63.16			
			Total	21	26%	\$ 663.16			
2. Ohio Department of ED.	OH-32461	46502	Project Administrative	0	0%	-			
			Program Delivery	20	25%	60.00			
			Total	20	25%	\$ 60.00			
3 Other			Project Administrative	0	0%	-			
			Program Delivery	24	30%	50.00			
			Total	24	30%	\$ 50.00			
4			Project Administrative	0	0%	-			
			Program Delivery	0	0%	-			
			Total	0	0%	\$ -			
College/Departmental Activities:									
			Instruction/Teaching	0	0%	-			
			Mission/ Learning Support	0	0%	-			
			Special Projects	15	18%	-			
			College Administration/Staff Responsibilities	0	0%	-			
----- Effort Summary Section -----									
TOTAL				80	100%	\$ 773.16			
Summary of work I have performed on grant projects this period:									
In signing this form, I certify that I have first hand knowledge of the actual effort expended during the period shown above and this represents a reasonable estimate of that effort.									
Faculty/Staff Member Signature						Date			
Supervisor Signature						Date			
Principal Investigator/Project Coordinator Signature						Date			
Completed form is due to the Assigned Grant Accountant by the 10th day of the month following the end of the reporting period.									

APPENDIX C: BUDGET MODIFICATION EXAMPLE

BUDGET MODIFICATION Example (found in Shared Documents under Budget Modification)

Sample

	Yr.1	Yr.2	Yr.3	Yr.4	Yr.4 New	Total	Total	Total	4 Yr.
	Changes	Changes	Changes	Changes	Total	Original	Changes	Total	%
6 Description (including required detail per the instructions)									
7 Personnel (Wages)									
8 Welding Faculty/Program Director (100%)	51,790	52,795	53,819	54,869	55,944	158,404	-	158,404	
9 P.T Career Services Coordinator, Data Management - 50% time of Adm	9,750	9,939	10,132	10,329	10,529	40,150	-	40,150	
10 P.T Adm. Assistant (25 hrs/wk - 52 wkyr - \$15/hr with a 1.94% incr	19,500	19,878	20,264	20,654	21,048	59,642	-	59,642	
11 Recruiter (20% time of F-T recruiter)	4,729	4,821	4,914	5,007	5,100	14,464	-	14,464	
12 Advisor (20% time of F-T advisor)	4,729	4,821	4,914	5,007	5,100	14,464	(4,729)	9,735	
13 P.T Faculty/Instructor		15,000	15,022	15,044	15,066	30,022	-	30,022	
16									
17 Fringe Benefits	90,498	92,254	94,043	95,872	97,741	287,124	25,293	312,417	8.8%
18									
19									
20 Wedding Faculty/Program Director (100%) @ 50.89%	26,354	26,322	26,322	26,322	26,322	85,149	-	85,149	
21 P.T Career Services Coordinator, Data Management @ 16%	1,560	1,590	1,621	1,653	1,685	6,424	-	6,424	
22 P.T Adm. Assistant @ 16%	3,120	3,181	3,242	3,304	3,366	9,543	-	9,543	
23 Recruiter @ 16%	757	771	786	799	813	2,314	-	2,314	
24 Advisor @ 16%	757	771	786	799	813	2,314	-	2,314	
27									
28 Subtotal FICA and Fringe Benefits	32,548	34,635	36,808	39,089	41,476	105,744	-	105,744	0.0%
29									
30 Business Conference Career Services Coordinator/Faculty	3,800	3,800	3,800	3,800	3,800	7,600	-	7,600	
31 Airfare \$500 Per Person \$235 X 3 days, Hotel \$600 X 2 nights, Misc \$90 =	4,200	4,200	4,200	4,200	4,200	12,600	-	12,600	
32 Local Travel including Consortium Meetings, 7500 mi X \$ 66 = \$4200	4,200	4,200	4,200	4,200	4,200	12,600	-	12,600	
37									
38 Subtotal Travel	8,000	8,000	8,000	8,000	8,000	20,200	-	20,200	0.0%
39									
40 (15) Lincoln Welders (350MP)	107,706	(25,293)	(25,293)	(25,293)	(25,293)	107,706	(25,293)	82,413	
41 (15) Welding Booths w/ ventilation (Robo Vent Fusion3 system)@3900	135,000					135,000		135,000	
42 2- Downdraft table @ \$7,160	14,320					14,320		14,320	
43 Tool box with set of tools	10,000					10,000		10,000	
44 1- Coupon Station	11,500					11,500		11,500	
45 1- Wet Saw	6,000					6,000		6,000	
51									
52 Subtotal Equipment	284,526	(25,293)	(25,293)	(25,293)	(25,293)	284,526	(25,293)	259,233	-8.3%
53									
54 Supplies, small tools, and equipment	8,012	6,000	1,351	7,351	5,000	19,012	1,351	20,363	
55									
56 Working Copy Budget Template - Sheet1									

APPENDIX E: BID DOCUMENTATION FORM

For contracts competitively bid, sub-recipients may use this Bid Documentation form.

Grant Director Terri Sandu Lorain County Community College 1005 North Abbe Road Elyria, OH 44035 TC-26435-14-60-A-39	
Bid Documentation Form	
College:	Date:
Equipment:	
Bid Results	
Rationale: (explain why this bidder was selected)	

APPENDIX F: MEETING DOCUMENTATION FORM

All meetings must be documented. This document format may be used when documenting these meetings.

MEETING FORM DOCUMENTING ACTIVITY

College Consortium member:

Person completing form:

Contact phone and email:

Meeting title:

Date:

Time

Purpose of meeting:

List of Attendees:

College administrators:

College faculty:

Employers and/or grant partners:

Other grant partners:

Attach the following:

1. Agenda
2. Minutes
3. Action or activities prior to the next meeting

APPENDIX G: QUARTERLY GRANT ACTIVITY REPORT

Quarterly Institutional Narrative Progress report template can be found on Sharepoint in the Handbook and Forms document library.

Report submission via SurveyMonkey was implemented 4/21/16. Lead Team will provide survey link to Consortium Members prior to submission deadline.

Quarterly Institutional Narrative Progress Report

Introduction

Thank you for completing your quarterly narrative report via SurveyMonkey! This input will help us develop the Ohio TechNet quarterly report, which will be submitted to the DOL.

Reporting Deadlines
Quarterly narrative reports must be submitted to LOCC three (3) weeks following the last day of the reporting quarter, or the previous business day:

Reporting Quarter	Quarterly Report Deadline
October – December	January 21, or the previous business day
January – March	April 21, or the previous business day
April – June	July 21, or the previous business day
July – September	October 21, or the previous business day

Saving Survey Responses
Responses are saved and submitted when you click the "Next" button on each page of the survey. Responses don't automatically save as each question is answered—they are saved and submitted page by page as you progress through the survey. Also note that it is important to use the same computer that was used to complete survey to access previously saved survey.

Other Notes

- Only report on activities that directly relate to Ohio TechNet grant.
- Only list activities that relate to the the quarter that is being reported on.
- Most questions are required. Please enter N/A if you don't have anything to report.

Questions/Concerns or Feedback?
Contact Melika Matthews at mmatthews@lorainccc.edu or (440) 366-4251.

Next

APPENDIX J:

Leveraged Resources:

- ❖ Leverage are funds provided by the organization or another organization towards the goal of the grant. While match is not required for this grant, leverage is sometimes called matching funds. With regards to the OhioTech Net consortium, a perfect example would be the difference between your Approved Indirect Cost Rate and the actual indirect costs being charged to the grant. If your Indirect Cost Rate is 48% and you are only charging 7% to this grant... the difference is a portion of your leverage.
- ❖ Report any leveraged resources used to support grant activities during the reporting quarter, including the organization that contributed the resources, the ways in which the resources were used and the estimated monetary value. Indicate if you received any additional leveraged resources beyond what is listed in your statement of work. Leveraged resources include both Federal and non-Federal funds, and may take the form of cash or in-kind contributions. Examples of in-kind contributions include personnel services provided by volunteers or non-grantee staff, donated equipment, supplies or space. Leveraged resources must be reported on the Financial Status Report (ETA-9130) quarterly report.

Accrued Expenditures:

- ❖ These are goods and services that have been received or incurred but not yet expensed in your general ledger. An example would be equipment that has been purchased and installed in March but not billed by the vendor until April. These are accruals that need to be reported to us on your "Sub award Reimbursement Invoice Form". Please make a list of accruals that totals the amount you entered on the invoice under Accrued Expenditures. You may submit reimbursement for accrued expenses as long as you include documentation for the support. If you ask for reimbursement for accrued expenses please do not include those amount under Accrued Expenditures.

APPENDIX K: MONITORING VISIT CHECKLIST

Ohio TechNet Source Documents in preparation for Monitoring Visit Organization Name: Date
TBD

Program & Grant Management Systems

- 1) Federal Grant Records Retention Policies and Procedures
- 2) Personnel Policies and Procedures
- 3) Organizational Chart Identifying Personnel Associated with OTN by Name and their Role/Scope of Responsibilities for each Consortium Member
- 4) Position Descriptions for each Position Identified on the Organizational Chart
- 5) Federal Assisted Program Equal Opportunity and Section 504 Notice, Policies and Procedures and Contact Information for current EO Officer
- 6) OTN Sustainability Planning Documents
- 7) Policies and Procedures for Tracking and Reporting Leveraged Funds and Accompanying Fiscal Records Detailing Leverage, if applicable
- 8) Procurement Policies and Procedures
- 9) Federal Grant Property Management Policies and Procedures
- 10) Federal Grant Property Inventory, Control, and Disposal Records
- 11) Procurement Files for each Procurement Activity Including All Equipment and Subcontracts
- 12) Current Consortium Agreement and any Other MOU/Legal Documents
- 13) Copies of most recent A-133 Compliant Single Audit, Management Letters, and Findings
- 14) Debt Collection Policies and Procedures
- 15) MIS Policies and Procedures and Evidence of your school's Quarterly Reporting

Financial Management Systems

- 16) Fiscal and Administrative Policies and Procedures
- 17) Your OTN Budget
- 18) Cumulative Revenue and Expense Statements for the OTN
- 19) Expenditure History from the General Ledger Identifying the OTN Grant
- 20) Chart of Accounts
- 21) Time Sheets, Payroll Records, and Time Activity Reports For Staff charged to OTN
- 22) Rental or Office Lease Agreements
- 23) Policies on Meetings and Meal/Travel Reimbursements
- 24) Curriculum Developers and/or Consultant Contracts/Agreements and Policies
- 25) Bank Reconciliations and Evidence of Canceled Checks For Expenses/Bills Paid From the Grant
- 26) Cost Allocation Policies and Procedures for each Consortium Member
- 27) Indirect Cost Rate Agreement for each Consortium Member
- 28) Policies and procedures for Federal Grant Cash Management

Service Delivery

- 29) Inventory of Grant Products and Deliverables
- 30) Targeted Populations Outreach Strategy and Evidence of Implementation

- 31) Participant files if you have participants (10 current participants and 10 exiters if possible)
- 32) Diagram of participant process from outreach/intake through placement/follow-up
- 33) Veterans Priority of Service Policy and Procedure
- 34) Selective Service Registration Verification Policy and Procedure
- 35) Academic Supportive Services Policies and Procedures
- 36) Evidence that Online Content Development is SCORM Compliant
- 37) Intellectual Property Policies and Procedures for Grant Products
- 38) Evidence of Creative Commons Attribution License for each Consortium Member
- 39) Arrangements to Interview Several Participants – including current participants and exiters
- 40) Arrangements to Interview Employer Partner Point of Contact

Performance Accountability

- 41) Reporting Policies and Procedures for Consortium Member Programmatic Activities
- 42) Data Validation Policies and Procedures for Quarterly Progress Reports and Annual Performance Reports
- 43) Resumes of Third Party Subject Matter Expert Reviewers (For Grant Products)

Appendix L:

Ohio Tech Net Equipment Purchase Guidance

- All Equipment anticipated in costing over \$5,000 must receive prior approval from the Department of Labor.
- Please submit equipment requests through Bernie Gosky who will formally submit the request to DOL.
- Equipment prior approvals from the DOL include an “NTE” Not to Exceed amount. If the DOL approves an equipment purchase they approving the purchase “not to exceed” the dollar amount requested/approved. Be sure to include shipping and miscellaneous costs in your request. You may accomplish this by adding freight costs to the price of the equipment or having the supplier include freight costs in the cost of the equipment.
- Reimbursement for equipment and renovations may be submitted in between regular Quarterly Invoice Submissions. Please submit invoices to Don White which is the same process for Quarterly Invoice submission.
- All Consortium members are Ohio Community Colleges and must follow the Ohio Revised Code. When in doubt refer to the Ohio Revised Code or work through the Attorney General’s office.
- Reference Section E of the Grant Agreement and p. 4 of TAACCCT Handbook for procurement policies. These include:
 - Procurement for renovation services will follow the purchasing procedures of Lorain County Community College and of all sub-recipients, which are not less restrictive than the Federal procurement standards found at 29 CFR Part 95 or Part 97 as applicable.
 - Your institutional policy must be adhered to if more restrictive guidelines apply

- If not bid, appropriate documentation must be provided for sole sourcing and consortium purchasing. (The DOL strongly believes that all items can be competitively purchased. Sole sourcing a purchase will receive a large amount of scrutiny from the Lead on this grant and the DOL.)
- For contracts of \$25k or more, grantees are prohibited from doing business with any organization or person if they have been debarred or suspended by any federal department or agency
- See Appendix E of Handbook for Bid Documentation Form.
- Procurement documents will be reviewed as part of the annual monitoring process
- Common Mistakes:
 - Failure to obtain written approval on renovations
 - Improper allocations of cost
 - Improper valuations for donated property

Ohio Tech Net Renovation Procurement Guidance Memo

- Renovation requests often require contract approval from the Attorney General’s office. They can guide you through the process of including all federally required language. It may also be necessary to work directly with the Ohio Controlling Board or Ohio Facilities Construction Commission.
- Reference Section E of the Grant Agreement and p. 4 of TAACCCT Handbook for procurement policies. These include:
 - Procurement for renovation services will follow the purchasing procedures of Lorain County Community College and of all sub-recipients, which are not less restrictive than the Federal procurement standards found at 29 CFR Part 95 or Part 97 as applicable.
 - Your institutional policy must be adhered to if more restrictive guidelines apply
 - If not bid, appropriate documentation must be provided for sole sourcing and consortium purchasing. (The DOL strongly believes that all items can be competitively purchased. Sole sourcing a purchase will receive a large amount of scrutiny from the Lead on this grant and the DOL.)
 - For contracts of \$25k or more, grantees are prohibited from doing business with any organization or person if they have been debarred or suspended by any federal department or agency
 - See Appendix E of Handbook for Bid Documentation Form.
 - Procurement documents will be reviewed as part of the annual monitoring process
- Common Mistakes:
 - Failure to obtain written approval on renovations
 - Improper allocations of cost
 - Improper valuations for donated property
- Special requirements for contracts exceeding \$100k (see section 95.48 of CFR part 95: www.gpo.gov/fdsys/pkg/CFR-2003-title29-vol1/pdf/CFR-2003-title29-vol1-part95.pdf)
 - Except as otherwise required by statute, an award that requires the contracting (or subcontracting) for construction or facility improvements shall provide for the recipient to follow its own requirements relating to bid guarantees, performance bonds, and payment bonds unless the construction contract or subcontract exceeds \$100,000. For those contracts or sub-contracts exceeding \$100,000, DOL may accept the bonding policy and requirements of the recipient, provided DOL has made a determination that the Federal Government’s interest is adequately protected. If such a determination has not been made, the minimum requirements shall be as follows.

(1) A bid guarantee from each bidder equivalent to five percent of the bid price. The “bid guarantee” shall consist of a firm commitment such as a bid bond, certified check, or other negotiable instrument accompanying a bid as assurance that the bidder shall, upon acceptance of his bid, execute such contractual documents as may be required within the time specified.

(2) A performance bond on the part of the contractor for 100 percent of the contract price. A “performance bond” is one executed in connection with a contract to secure fulfillment of all the contractor’s obligations under such contract.

(3) A payment bond on the part of the contractor for 100 percent of the contract price. A “payment bond” is one executed in connection with a contract.

Appendix M: PURCHASING



Section: Administrative Services

Subsection: Purchasing

Policy VI-105: Purchasing

- (A) The Board of Trustees of Lorain County Community College desires to give consideration to the objectives and policies of the institution, to obtain the maximum value of each dollar of expenditure, and to obtain quality merchandise from the lowest responsive and responsible bidder. A bidder shall be considered responsive if his proposal meets or exceeds specifications. A bidder shall be considered responsible if the bidder's experience, financial condition, performance on previous college contracts, facilities and personnel to execute the contract properly are acceptable. The contract awarded will be to the lowest responsible suppliers complying with the conditions of the invitation to bid, provided the bid is reasonable and it is to the interest of the Lorain County Community College to accept it. Lorain County Community College, however, reserves the right to reject any and all bids or parts thereof or items therein and to waive any informality in bids received whenever such rejection or waiver is in the interests of the College. Lorain County Community College also reserves the right to not award contract to the low bidder if it is determined by the College that the low bid is not in the best interest of the College. Whenever all responsible bidder criteria factors are equal, the purchases of services and materials will be distributed, giving preference to businesses of Lorain County and/or State of Ohio.
- (B) The following shall apply to the purchase of construction for modifications and works of improvements to facilities.
- (1) All purchases of construction for modifications and works of improvements the aggregate cost of which amount to less than the amount as defined in Ohio Revised Code Section 153 for Public Improvements, shall be procured by securing informal competitive price quotations for items requisitioned. Informally competitively bid shall mean that a minimum of three (3) written price quotations will be requested by the college.
 - (2) All purchases of construction for modifications and works of improvements to facilities the aggregate cost of which amounts to more than the amount as defined in Ohio Revised Code Section 153 for Public Improvements, must

be competitively bid, legally advertised once a week for three consecutive weeks in a newspaper of general circulation within Lorain County.

- (3) All purchases of construction for modifications and works of improvements, regardless of the aggregate cost, are to be paid at the prevailing wage rate.
- (C) The following shall apply to the purchase of supplies, equipment, contract services, repairs to facilities, library books and periodicals, and goods for resale.
- (1) All purchases costing less than \$25,000 unit price, and all purchases of library books and periodicals, and goods for resale shall be procured by securing informal competitive price quotations for items requisitioned.
 - (2) All purchases costing more than \$25,000, but less than \$50,000 unit price must be formally competitively bid prior to signing of purchase contracts. Formally competitively bid shall mean that a minimum of three (3) written proposals will be requested by the college.
 - (3) All purchases costing more than \$50,000 unit price must be competitively bid, legally advertised once a week for three consecutive weeks in a newspaper of general circulation within Lorain County.
 - (4) The capitalization amount for fixed assets with a useful life of at least one year will be \$5,000.00 unit price.
- (D) Expenditures for supplies, equipment, contract services, repairs to facilities, construction for modifications and works of improvements to facilities, if approved in the annual budget, are delegated to the President for implementation. Any unbudgeted item of expenditure exceeding \$25,000.00 or the expenditure of the State of Ohio Capital Improvements Appropriations requires approval by the Board of Trustees.
- (E) The following items shall be exempt from the policy:
- (1) Emergency purchases (i.e., maintenance, equipment repair).
 - (2) Items available through contracts or agreements with the State of Ohio, the Ohio Inter-University Purchasing Council, or any higher education purchasing consortium or cooperative to which the college has membership.
 - (3) Professional service providers (i.e., auditors, attorneys, architects, consultants).

- (4) Sole source items.
- (5) Distributions authorized by the College for whom the College is the fiscal agent or custodial of funds.
- (F) All bids received by the College shall have the date and time recorded on the outside of bid envelope. In case of identical low acceptable bids on an item, the award shall be made to the bid which was received first.
- (G) Except as noted below, the responsibility and authority for the procurement of goods and services for the Lorain County Community College District is vested in the Vice President for Administrative Services/Treasurer and the Director of Purchasing, and is normally exercised by the latter.
 - (1) The responsibility and authority for the procurement of materials for resale in the College Bookstore is vested in the Director of Auxiliary Services and the Bookstore General Manager, and is normally exercised by the latter.
 - (2) The responsibility and authority of the procurement of library books and periodicals for the College Library is vested in the Dean of the Bass Library/Community Resource Center.
- (H) Requests for purchases originate through requisitions approved by the responsible account assignee. The actual purchase will be made on a pre-numbered purchase order approved by the Purchasing Office. The College District will not be responsible for orders made in another way.
- (I) All contracts with vendors to obtain formal price quotations, to confirm purchase details, to expedite orders, to correct defects, and all other matters relating to a specific purchase will be made by the purchasing office. All other contacts with vendors will be considered informal unless specifically authorized by the Director of Purchasing.
- (J) Replaces 3354:3--VII-02.00, 03.00, dated October 9, 1969, approved February 23, 1989, revised August 20, 1990, revised and approved December 21, 1995; revised and approved September 21, 2000; revised and approved June 27, 2002; revised and approved March 27, 2003; revised and approved January 27, 2011; revised and approved March 22, 2012.

APPENDIX Z: SUMMARY OF CHANGES TO HANDBOOK

- 5-26-15: Added Bernie Gosky as Project Manager, page 3
- 5-26-15: Changed due date of Quarterly Narrative report to 3 weeks following ending of quarter from “Last day of the month following the quarter”, page 4
- 6-2-15: Added Guidance Memo – Renovations to Appendix L
- 7-14-15: Added Appendix K: Monitoring Visit Checklist
- 7-20-15: Added and Revised Staff Responsibilities
 - Added Creative Commons requirements
 - Added Public Announcements requirements
 - Added Unallowable Activities
 - Added Not To Exceed language under Supplies and Equipment
 - Added Federal Debarment links under Supplies and Equipment
 - Added Time and Effort Form and Summary Page of Expenses under ...Supporting Documentation
 - Updated Schedule G using revised Template date of 6/26/15
 - Added Equipment Purchase Guidance Memo
 - Revised Renovation Procurement Guidance Memo
- 8-3-15: Added Meeting Changes including meeting charges
- 8-3-15: Added LCCC Procurement Policy
- 8-4-15: Added Renovations on page 8
- 8-4-15: Added verbiage to Equipment & Supplies
- 8-11-15: Added Member must notify LCCC regarding personnel changes under “Consortium Members Responsibilities”
- 12-31-15: Added Staff of Courtney, Tony, Mario and Natalie
- 12-31-15: Updated Budget Modification Language
- 7-11-17: Update Public Announcements verbiage to SGA specified language.
- 7-11-17: Update Staff Responsibilities
- 7-11-17: Update Creative Commons section
- 7-11-17: Update Appendix G
- 7-11-17: Remove Appendix I
- 7-11-17: Revise Appendix K

This workforce solution was funded by a grant awarded by the U.S Department of Labor’s Employment and Training Administration. The solution was created by the grantee and does not necessarily reflect the official position of the U.S Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership.

This work is licensed under the Creative Commons Attribution 4.0 International License. It is attributed to Ohio TechNet. To view a copy of this license, visit <http://creativecommons.org/licenses/by/4.0/>.