

FY 2015

Management Procedures & Guidelines

for Cooperative Agreements with
the *Office of Trade and Labor Affairs*

*U.S. Department of Labor
Bureau of International Labor Affairs
Office of Trade and Labor Affairs*

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1 List of Acronyms

CFR	Code of Federal Regulations
FOA	Funding Opportunity Announcement
FFR	Federal Financial Report
GOR	Grant Officer's Representative
GPRMA	Government Performance and Results Modernization Act
HHS-PMS	Department of Health and Human Services Payment Management System
ILAB	Bureau of International Labor Affairs
M&E	Monitoring & Evaluation
MPG	Management Procedures and Guidelines
NGO	Non-Governmental Organizations
OTLA	Office of Trade and Labor Affairs
PMP	Performance Monitoring Plan
SF	Standard Form
TPR	Technical Progress Report
USDOL	U. S. Department of Labor
VAT	Value Added Tax

2 Introduction

This document provides general management procedures and guidelines for Cooperative Agreements entered into by the U.S. Department of Labor's (USDOL) Bureau of International Labor Affairs/Office of Trade and Labor Affairs (ILAB/OTLA). The Cooperative Agreement recipient (hereinafter referred to as "Awardee") of USDOL funds from OTLA are subject to the provisions contained in these Management Procedures and Guidelines (MPG).

The MPG contains information that may not be explicitly detailed in the relevant Funding Opportunity Announcement (FOA) or Cooperative Agreement and provides examples of the format for deliverables. However, not all sections of the MPG will apply to all projects. In cases where the MPG and Cooperative Agreement are not aligned, the Cooperative Agreement takes precedence. The Awardee should contact USDOL if further clarification is necessary.

Additionally, the Awardee must also comply with all applicable Federal Regulations.

Note that USDOL may revise the MPG as needed, and any new or revised provisions will apply to this award and will be incorporated by reference via modification to the Cooperative Agreement.

3 Roles and Responsibilities of USDOL and Awardees

The principal purpose of the USDOL-Awardee relationship is the transfer of money, property, services, or anything of value to the recipient in order to accomplish a public purpose of support or stimulation authorized by federal statute. The primary recipient and/or any subrecipients are not allowed to charge a fee (profit).

In general, USDOL/ILAB uses a Cooperative Agreement modality with its Awardees. A Cooperative Agreement is a form of a grant where substantial involvement is anticipated between USDOL and the Awardee during performance of the proposed activities. The level of monitoring and accountability required by USDOL is less than what is required in a contract, but more than in a regular grant.

USDOL’s involvement focuses on elements that are essential to meet program requirements and assure achievement of program objectives. USDOL involvement includes the designation of key personnel positions and the approval of key personnel; collaboration with the Awardee in order to refine the project design and strategy, development of the project’s logic model, results framework, performance indicators and a Performance Monitoring Plan (PMP); development of the baseline and endline data collection methodology; monitoring project implementation through Work Plans, progress reports, evaluations, attestation engagements, site visits or conference calls with the Awardee; and approval of deliverables outlined in the Cooperative Agreement and MPG. USDOL may refine, approve, or deny any requests for modifications to the Cooperative Agreement, including technical or budget revisions.

Applicable provisions, including those provided for in the USDOL Cooperative Agreement with the Awardee, apply to subgrants and subcontracts (collectively “subawards”) entered into under USDOL-funded projects.

4 Project Implementation Requirements

The Awardee must implement the project according to the applicable USDOL FOA, the Cooperative Agreement, the Awardee’s approved technical and cost proposal, and the approved Project Document (see Section 4.2.1). In addition, the Awardee must adhere to the requirements and deliverables as described in the MPG, as applicable to the project.

4.1 General Timetable of Deliverables

Subsequent to receiving the notice of award, the Awardee will provide the following information/deliverables to USDOL, as applicable to the project and unless other deadlines or deliverables are specified in the applicable Cooperative Agreement:

DEADLINE¹	DELIVERABLE
Within 30 days of award	Contact information for Awardee provided to USDOL, including name, address, phone and email of point of contact at Awardee headquarters and in the project country(ies).
Within 45 days of award	Written notification that key personnel have begun to work on the project.

¹ All deadlines specified therein refer to calendar days. If a particular calendar day falls on a weekend or holiday the deadline will refer to the following business day.

DEADLINE¹	DELIVERABLE
Within 3 months of award OR within 30 days of completing joint project design mission by OTLA and Awardee (as applicable)	Project Document Package (initial draft)
Within 4 months of award and as applicable	Subaward Matrix
Within 6 months of award OR within 30 days of receiving comments from OTLA on initial draft of Project Document Package (as applicable)	Project Document Package (final draft)
Within 7 months of award	Sustainability and Exit Strategy
Within 8 months of award OR within 60 days of final Project Document Package approval by ILAB/OTLA (as applicable)	Data collection system established to systematically collect and report on the data necessary to measure achievement against the performance indicators and analyze results. Project Revision request to incorporate approved Project Document Package and, if necessary, revised project budget.
Within 10 months of award OR within 60 days after establishing data collection system	Baseline data submitted
Within 12 months of award and Bi-annually	Equipment and Real Property Inventory List submitted to Grant Officer
Within 3 months of completion of interim evaluation report	Review of project indicators and targets based on interim evaluation report
At least 4 to 6 months prior to the end of the Cooperative Agreement period and at least 60 days prior to fieldwork for the final evaluation	Endline data submitted

DEADLINE¹	DELIVERABLE
At least 120 days prior to the end of the Cooperative Agreement period	Government Property Inventory Disposition Request; inventory list of all real property, equipment with an acquisition value of USD 5,000 or more per unit, and supplies if aggregate value exceeds USD 5,000.
Within 90 days after the end of the Cooperative Agreement period	Closeout Documents Checklist; Recipient’s Release Form; Government Property Closeout Inventory Certification.
Delivery dates TBD in Project Document	Other Deliverables agreed upon between ILAB and Awardee in approved Project Document (<i>e.g.</i> , training materials, informational-educational-communication materials).

4.2 Project Deliverables

4.2.1 Project Document Package

The Awardee is required to carry out a review of the project strategy and project budget included in their proposal and produce a Project Document Package, in consultation with OTLA. The Project Document Package consists of the following items:

- Project Document
- Results Framework (updated from technical proposal, as necessary)
- Work Plan (updated from technical proposal, as necessary)
- Performance Monitoring Plan (PMP)
- Outputs-based budget (updated from technical proposal, as necessary)

The full Project Document Package serves as the reference point for the Awardee and USDOL as the basis for assessing the success of a project.

Operating within the scope of the approved proposal, the OTLA Grant Officer’s Representative (GOR) will be involved in the development, review, and approval of the Project Document Package. The initial draft of the Project Document Package must be produced within three months of award OR within 30 days of completing a joint project design mission by OTLA and the Awardee.

As applicable, the final version of the Project Document Package must be submitted within 6 months of award OR within 30 days of receiving comments from OTLA on the initial draft of Project Document Package. The final Project Document Package is subject to final approval by the GOR and Grant Officer. Within 8 months of award OR within 60 days of receiving OTLA approval for the Final Project Document Package, the Awardee must submit a Project Revision Request, as described in the Project Revisions section below, to incorporate the package into the Cooperative Agreement.

If the Awardee or OTLA determines at a later date that further refinement of the project strategy or budget is needed, the Awardee will be required to consult with the GOR in preparing and then submitting a Project Revision Request to the Grant Officer proposing refinements to the project strategy and budget.

4.2.1.1 Project Document

The Project Document describes the situation that gave rise to a particular project; establishes the plan for what must be done; outlines what must be produced, by when, and by whom; and what is expected to happen after the project ends (*e.g.*, post-project impact analyses, disposal of property) . While the Awardee’s original proposal is expected to serve as the basis for the Project Document, the finished Project Document will be a more refined, detailed, version of the technical proposal submitted in the grant application and sets the technical parameters and reference points for the project according to the standardized format outlined by OTLA (see Annex B for template).

OTLA recognizes that the initial proposal submitted by the Grantee and the Project Document may be crafted without full knowledge of the implementing environment, that the situation on the ground may evolve very quickly, and that the additional knowledge and experienced gained over time may lead to a changed understanding of what aspects of the design and implementation of the project will or will not work. Therefore, OTLA allows for the Project Document to be developed and revised over time with approval of the GOR, as appropriate.

4.2.1.2 Results Framework

OTLA uses a results-based design approach for its technical assistance projects. Results-based design looks beyond activities and outputs and focuses on results. The planning process emphasizes cause and effect linkages and provides for monitoring that tracks progress towards results. Working with USDOL’s GOR, OTLA’s Monitoring & Evaluation Coordinator, and project stakeholders, the Awardee analyzes the problem to be addressed by examining available evidence and carrying out additional research as needed; arranges the problem’s components in terms of cause-and-effect relationships; defines the results that will be both necessary and sufficient to address the problem; clarifies all of the “if...then” relationships among those results; lays out a well-conceived “development hypothesis” that outlines the project’s overall goal and the central long-term outcome the project will achieve and the short and medium-term outcomes that are necessary and sufficient to achieve the long-term outcome; identifies inputs, activities, outputs, and objectives that support the stated outcomes; establishes specific deadlines and responsibilities for carrying out the activities of the project; and determines a timeframe for measuring the progress and achievements of the project.

Projects should have an underlying logical structure, and the logic of a good project or program should follow a chain of “cause and effect” statements or hypotheses. This set of hypotheses or cause-and-effect relationships should be expressed in the form of a **Results**

Framework. The Results Framework is a tool that demonstrates and lays out the project strategy (hypotheses) and communicates the project’s intent and content. It is usually presented in the form of a flow chart or diagram that shows the basic project strategy – what interventions will help us solve (or contribute to solving) a specific problem (see Annex C for template). The Results Framework should serve as the nucleus of the overall project design and the framework of the Project Document Package. The components of a Results Framework are:

Long-term Outcome

The long-term outcome is the change that the project seeks to achieve, its impact. It describes the situation that is expected to exist at the end of the project or the impact the project is expected to have. The project alone probably cannot achieve the identified outcome, but it should contribute significantly to its attainment. The outcome should be the driving force behind the design of the project. Strategies, implementation activities, indicators of success, evaluation activities, organizational structure, budget, etc. – these project components should all be defined in terms of the expected outcome. .

Examples of outcomes:

- Improved government enforcement of laws in X sector.
- Workers’ organizations increase public awareness of international labor standards.
- Increased industry adoption of codes of conduct.

Objectives

Based on the problems identified by USDOL, the outcome should describe the impact that USDOL hopes to achieve through the project. The outcome identified by the project will come about as a result of a chain of short-term and medium-term objectives that are considered both necessary and sufficient to bring about the outcome (impact).

Short and medium-term objectives contribute to progress in reaching the outcome, but the results are more concrete, precise, and measurable. A set of medium-term objectives provides an agenda for action and provides the outline for the short-term objectives and strategies. Success in meeting the short and medium-term objectives can serve as a proxy measurement for success in meeting the outcome (impact).

Example: If the expected outcome is “Improved government enforcement of laws in X sector,” medium-term objectives may include:

- Improved technical skill of labor inspectors to conduct worksite inspections.
- Improved use of data from previous inspections in order to create targeted inspection plans.
- Increased number of labor inspectors hired.

Example: If the medium-term objective is “Improved technical skills of labor inspectors to conduct worksite inspections,” short-term objectives may include:

- Increased knowledge of national labor laws among labor inspectors.

- Improved soft skills of labor inspectors.
- Increased application of designated inspection checklists and tools.

Outputs

Outputs are the tangible results produced by the Awardee or that come out of implementing a project activity. Outputs can range from manuals or reports to workshops to posters for public awareness campaigns. Outputs must support both a short-term objective and a medium-term objective.

Example: If the short-term objective is “Increased application of designated inspection checklists and tools,” outputs may include:

- Training curriculum for labor inspectors.
- Manual for conducting labor inspections.
- Labor inspection field guide.
- Labor inspection checklists.

Indicators

Indicators are the benchmarks that determine whether or not the project has successfully achieved its objectives or produced its outputs. Indicators should be factual, verifiable, and clearly linked to an objective or output. They should be specific in magnitude and in time. When taken together, the indicators should describe all the important aspects of the objectives to be achieved.

The Awardee will have proposed a set of indicators as part of its application in response to the FOA. Those indicators will be further refined as part of the development of the Results Framework and the Project Document development process and finalized when the PMP is finalized. For accountability and reporting purposes, the Awardee will be responsible only for achieving the targets for indicators set at the medium-term and short-term objective levels. Because the project will likely contribute to, but not fully achieve, the expected outcome, the Awardee will not be responsible for achieving it; Awardees may, however, track data related to changes at the outcome level and report that data to USDOL if available. Each short or medium-term objective must have at least one corresponding performance indicator. The Awardee is not required to develop an indicator for each proposed output, but the Awardee should propose indicators for any major milestones related to successfully completing outputs.

Example: If the short-term objective is “Increased knowledge of national labor laws among labor inspectors,” indicators may include:

- #/% of inspectors who demonstrate increased test scores after completing training module (compared to pre-module test scores).
- #/% of training modules successfully completed by each inspector, with success defined as achieving a score of X on post-module test.

Critical Assumptions

Critical assumptions are the general conditions under which the hypothesis or strategy for achieving the project's outcome will hold true. They are events or decisions that are beyond the control of the project, but are important and necessary to the success of the project. Identifying Critical Assumptions helps ensure that the project itself is realistically designed and implemented. If one or more Critical Assumptions is not likely to hold, based upon background knowledge of the country and sector, then the project needs to be redesigned.

Example: For a project intended to improve the technical competency of labor inspectors, a critical assumption might be that the government continues to fund the labor inspectorate at current levels, or that the government carries through on the commitment it made to increase labor inspectorate funding by X.

4.2.1.3 Work Plan

The Grantee is responsible for submitting a Work Plan as part of its original application and refining and/or updating that Work Plan as needed to correspond to the approved Results Framework. The Work Plan must identify major project activities and outputs, deadlines for completing them, and person(s) or institution(s) responsible. The Work Plan must correspond to activities and outputs identified in the Results Framework. The Grantee may choose the best available format for the Work Plan (see Annex D for one example).

Adjustments to timeframes in the Work Plan must be noted and submitted as part of the Awardee's quarterly progress reports. In the case of major delays, the Awardee should also note the corrective action proposed to help put the project on schedule. Any significant change in a planned project activity or the activity implementation timeframe may require a formal project revision and should be discussed with the GOR as soon as possible.

4.2.1.4 Performance Monitoring Plan (PMP)

The Awardee shall submit a draft PMP as part of the initial draft Project Document Package. The PMP must be based on the project's Results Framework and approved performance indicators and serves to:

- Ensure data comparability over time and across project sites by clearly defining indicators and specifying method and frequency of data collection.
- Assist in managing the data collection process by identifying timeframe, costs and responsible parties for data collection and analysis.
- Inform data analysis by providing detailed information on the characteristics of collected data.

While the Awardee proposed performance indicators as part of the original application, USDOL will work with the Awardee to refine those indicators while developing the Results Framework and finalize them as the PMP and Project Document Package is finalized. PMP finalization includes reviewing proposed indicators and eliminating any that are not necessary and sufficient to measure progress toward the project objectives, as well as

determining precise indicator definitions, data collection methodologies, responsibilities and costs. Target setting is also a critical part of the PMP finalization process, as targets are listed by time period in the PMP's Data Tracking Table. See Annex E for template and example of Data Tracking Tables.

4.2.1.5 Outputs-Based Budget

Per the guidance of the President's Management Agenda, USDOL encourages budget-performance integration and output-based budgets that allow the tracking of costs of particular outputs. That is, the budget must be clearly linked to the activities and outputs defined in the Project Document. In the detailed outputs-based budget, the Awardee must: 1) show how the budget reflects project objectives and design in a cost-effective way, and 2) link the budget to the activities, outputs, and objectives reflected in the Project Document Package. The Awardee must provide a breakdown of the total administrative costs into direct administrative costs and indirect administrative costs.

The outputs-based budget must correspond to the Grantee's SF-424A. If the grant is awarded to two or more organizations working together as a partnership or association on a single project, they must produce a consolidated outputs-based budget which corresponds to their consolidated SF-424A, as well as individual outputs-based budgets that correspond to each Associate's individual SF-424A. This budget must comply with federal cost principles, which can be found in the applicable OMB Circulars and the requirements listed in the FOA.

4.2.2 Data Collection System

The Awardee shall establish a data collection system to systematically collect and report on the data necessary to measure achievement against the performance indicators and analyze results. A description of the data collection system shall be submitted as part of the Project Document Package, and it must include the Awardee's plans for collecting post-award baseline and endline data.

4.2.2.1 Baseline Data Collection

The Awardee is expected to collect baseline data against the finalized project indicators and submit the data after the PMP is approved by USDOL and *before implementing project interventions* (to ensure baseline results are not biased). Baseline data must be used to establish benchmarks, contribute to the measurement of project impact, and inform management decisions through the period of project performance.

Within one month of completing the baseline data collection, the Awardee must review the proposed project strategy, PMP, and indicators to determine whether any modifications are needed in light of new information about the project's implementing environment, intended project beneficiaries or targeted geographic areas.

As necessary, the Awardee should contact the GOR to determine whether a Project Revision

is necessary.

4.2.2.2 Endline Data Collection

The Awardee is expected to collect endline data against the finalized project indicators four to six months before the end of the Cooperative Agreement period and to submit the data **60 days** prior to the final evaluation fieldwork. Using a modified version of the baseline data collection tool and the same population (or sample of the population) targeted in the baseline, the endline data should measure possible outcomes and impacts of the project interventions.

4.2.3 Sustainability and Exit Strategy

Awardees must submit to the GOR their strategy for promoting sustainability, including a strategy for building local capacity as a means to promote the sustainability of efforts to promote project results beyond the life of the project.. Awardees' strategies should explain how the project's specific objectives will be sustained after the project ends. Awardees will report on the progress of the sustainability plan in each of their TPRs.

Although there are restrictions on the award of subgrants or subcontracts to government entities, to the extent possible, Awardees should consider engaging relevant government agencies through other mechanisms, as well as partnering with other organizations or associations to strengthen their capacity in areas including advocacy and awareness-raising.

4.2.4 Subaward Matrix

The Awardee must submit a subgrants and subcontracts matrix listing all such awards made but not included in the original proposal (see Annex A for an example). Subcontracts awarded after the cooperative agreement is signed and not proposed in the original proposal must be awarded through a formal competitive bidding process in accordance with 2 CFR 200.317-326). Subgrants not named in the application must receive prior approval.

4.2.5 Inventory List of all Equipment and Real Property

The Awardee must submit an inventory list of all equipment and real property to the Grant Officer within 12 months of award, subsequently at any time that additional equipment or real property is purchased with project funds, and at least once every two years, consistent with the regulations applicable to "Property Standards" at 2 CFR 200, Subpart D – Post Federal Award Requirements (see Annex J for sample Inventory List Template).²

The inventory must also be submitted as part of the project closeout. See Project Closeout Procedures below.

² *Equipment* means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. (2 CFR 200.33).

5 Project Reporting Requirements

DEADLINE³	DELIVERABLE
Quarterly: January 30, April 30, July 30, October 30	Federal Financial Report (FFR) Standard Form (SF) 425
Semi-annually: January 30 and July 30	Abbreviated Technical Progress Report (TPR) without attachments
Semi-annually: April 30 and October 30	Full Technical Progress Report (TPR) with all attachments
Within 90 days after the end of the Cooperative Agreement period	Final TPR; Final Quarterly FFR/SF-425; Closeout Financial Form

5.1 Financial Reports

5.1.1 Quarterly Federal Financial Report SF 425

All Awardees must submit quarterly financial reports using the FFR/SF425 throughout the Cooperative Agreement period. The FFR/SF-425 indicates the status of funds at the project level. The Awardee must submit an updated FFR/SF-425 electronically through the *E-grants* system no later than 30 days after the end of each quarter as outlined below. See Annex F for an example of an SF-425.

FFR/SF425 Timeline

Report Period	Submission Deadline
October 1 – December 31	January 30
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30

5.1.2 Cost-Sharing/Matching Funds/In-Kind Contributions

Cost sharing, matching funds or in-kind contributions are not required. Any cost sharing, matching and/or in-kind contributions included in the Awardee's Application for Federal Assistance, SF 424, must comply with requirements described in 2 CFR 200.306.

³ All deadlines specified therein refer to calendar days. If a particular calendar day falls on a weekend or holiday the deadline will refer to the following business day.

Committed cost sharing, matching or in-kind contributions must be reported quarterly in the FFR/SF425. Such cost share, matching or in-kind contributions must abide by the same restrictions as funds awarded by USDOL. In addition, the Awardee is required to obtain USDOL approval to report direct beneficiaries for GPRMA purposes when the beneficiary services are not fully funded by USDOL.

If a recipient elects to commit cost sharing, matching or in-kind contributions, including funds from subrecipients, such contributions must be used to support the work of the project or defray its costs. Applicants may not make subawards contingent upon a subrecipient agreeing to provide cost sharing, matching or in-kind contributions.

In addition to the guidance set forth in 2 CFR 200.306(b), for Federal awards from the Department of Labor, the non-Federal entity must account for funds used for cost sharing or match within their accounting systems as the funds are expended.

5.2 Technical Progress Reports (TPRs)

ILAB/OTLA requires quarterly Technical Progress Reports (format provided in Annex G). These progress reports are meant to serve as an official record of project progress and performance. There are two types of TPRs. An abbreviated report without attachments covering just the previous quarter is required two quarters per year, while a full report that includes attachments covering the previous 6-month period (including the quarter covered by the previous TPR) is required the other two quarters of the year. The schedule is as follows:

Report	Report Period	Submission Deadline
January abbreviated TPR	October 1-December 31 (3 months)	January 30
April full TPR	October 1-March 31 (6 months)	April 30
July abbreviated TPR	April 1-June 30 (3 months)	July 30
October full TPR	April 1-September 30 (6 months)	October 30

The TPR format provided in Annex G covers both types of TPRs. For abbreviated TPRs, the Awardee is only required to fill out the report through Section V. For full TPRs, the Awardee is required to fill out the entire report and submit all required attachments. Attachments that cannot be sent electronically must be sent in hard copy by mail (accompanied by an email message alerting USDOL of its pending arrival). USDOL may follow-up on information provided in reports with comments or additional questions to the Awardee. In these cases, the Awardee may be requested to respond to USDOL comments within a specific timeframe or submit responses with the subsequent progress report.

All TPRs must be sent electronically to the GOR by the established deadlines. If the Awardee cannot submit a report by the deadline, the Awardee is expected to inform the GOR by email at

least 10 days before the required deadline of the cause for the delay and the date when the report is expected to be submitted.

5.3 Final Federal Financial Report SF 425 and Closeout Financial Form

A final FFR/SF-425 quarterly report and a Closeout Financial Form must be submitted electronically through the E-grants system no later than 90 days following completion of the Cooperative Agreement period.

5.4 Final Technical Progress Report

The Awardee must submit a Final Technical Progress Report, using the standard TPR format, no later than 90 days after the project completion date. The Final Technical Progress Report is a stand-alone report that provides a complete and comprehensive summary of the progress and achievements made during the total life of the project. The report must also include information on the closeout process, including the dates that subawards were closed and the financial closeout (including plans for property disposition at the end of the project). For Cooperative Agreements funding projects in multiple countries, the report is expected to include an estimate of total expenditures per country.

Final Technical Progress Reports are expected to provide the following specific information:

- An assessment of achievement in terms of efficiency, effectiveness, relevance, sustainability, and interrelationships between objectives. If information is missing or not applicable, the Grantee should indicate and explain why in a footnote. A narrative assessment is expected to be provided for each indicator.
- A final and complete PMP data tracking table.
- A final and complete list of subawards, including the name of the funded entities, activities or services performed, program duration, the approved budget, actual expenditures, delivery rate, date of closeout, and any additional remarks.
- An assessment of project sustainability as outlined in the Awardee's sustainability strategy. The assessment must be linked to project impact and the ability of individuals, communities, and nations to ensure that the activities or changes implemented by a project endure.

6 Reporting Problems Encountered

The Awardee is expected to notify the GOR immediately of any developments, problems, delays, or adverse conditions that may have a significant impact on project implementation or which may materially impair the Awardee's ability to meet the project objectives. The Awardee is also expected to identify such issues in their TPRs. USDOL will work with the Awardee to monitor and resolve any issues as necessary.

Additionally, should any information, suspicion, or allegation relating to waste, fraud, or abuse of USDOL funds come to the attention of the Awardee, the Awardee must contact the GOR immediately. The Awardee must describe in writing any action taken, or contemplated to be

taken, to investigate and, if necessary, resolve the situation, and a timeframe for doing so.

USDOL may require the Awardee to participate in a Corrective Action process in response to concerns about project performance. Depending on the nature of the concern with project performance, USDOL may request that the Awardee participate in conference calls or meetings with USDOL to review the status of project implementation, USDOL may conduct a site visit or may schedule an attestation engagement with the project. USDOL may require that the project prepare a corrective action plan to submit to USDOL or other documents to allow USDOL to monitor project performance more frequently and in more detail.

7 Communication

Effective communication is essential to the successful collaboration between USDOL and the Awardee. Both parties are expected to keep the other fully informed of project-related issues.

The Awardee's primary point of contact with USDOL regarding technical matters is the GOR, as named in the relevant Cooperative Agreement. In some instances, there may be a different individual other than the GOR responsible for oversight of the Cooperative Agreement. In these circumstances, USDOL will specify the Awardee's primary point of contact within OTLA. If the Awardee is unable to contact the primary point of contact, the Awardee is advised to communicate with the Chief of the Technical Assistance and Cooperation Division.

7.1 Formal Communication

Within 30 days of award, the Awardee must designate a person(s) who will serve as the point of contact at their headquarters. The name of a point person(s) in the field shall also be identified.

All formal communication will be in writing, by post, fax, or email, between USDOL and the Awardee's headquarters, if applicable. Any correspondence sent by mail or courier to USDOL should be accompanied by an email message alerting USDOL of its pending arrival. Any mail or courier delivery should be addressed to the GOR at:

U.S. Department of Labor,
Bureau of International Labor Affairs, Room S-5303
200 Constitution Avenue, NW
Washington D.C. 20210
United States

In addition, either party (the Awardee or USDOL) may request a telephone conference consultation at any time to discuss project related matters.

7.2 Press Communication

To the extent possible, the Awardee must inform the GOR and the US Embassy in advance of press releases, major press events, and/or interviews. The Awardee should make every effort to inform USDOL and the US Embassy with as much advance notice as practicable. The Awardee

should provide USDOL with copies of all press releases, as well as copies of press articles and notification of media or internet broadcasts.

7.3 Responding to Allegations about the Project

If problems or allegations about the project are reported, USDOL intends to consult with the Awardee to determine the proper and most efficient manner to respond to news stories and other issues affecting the project. USDOL expects to work together with the Awardee, where appropriate, to resolve such matters (see Section 6 “Reporting Problems Encountered”).

7.4 Guidelines for Acknowledgment of USDOL Funding and USDOL Disclaimer

The Awardee must acknowledge USDOL funding support in all publications, announcements, speeches and press releases relating to the projects. The acknowledgement must be as follows:

Funding for this project was provided by the United States Department of Labor.

In addition, the Awardee is required to include a disclaimer in publications and materials that have been directly funded by USDOL as follows:

This material does not necessarily reflect the views or policies of the United States Department of Labor, nor does the mention of trade names, commercial products, or organizations imply endorsement by the United States Government.

This acknowledgment and disclaimer must be included in documents (reports and other materials) produced, edited and published for distribution beyond the Awardee and USDOL (*i.e.*, to other donors, organizations, or the general public).

If there are any reasons preventing the Awardee from including the USDOL acknowledgment or disclaimer in the publications listed above, the Awardee must discuss the issue with USDOL prior to publication to obtain appropriate guidance on the matter.

Subject to prior USDOL approval, the Awardee may apply the USDOL seal to USDOL-funded material prepared for distribution, including posters, videos, pamphlets, research documents, national survey reports, impact evaluations, best practices reports, and other publications of global interest. The Awardee must consult with USDOL on whether the seal may be used on any such items prior to final draft or final presentation for distribution. The Awardee must obtain USDOL written permission before placing the USDOL seal on any item.

7.5 Social Media

Awardees utilizing social media to share information regarding USDOL-funded projects must provide USDOL with the appropriate URLs to access this information. This information is subject to the requirements of section 7.4 “Guidelines for Acknowledgment of USDOL Funding and USDOL Disclaimer” above.

7.6 Information Dissemination and Intellectual Property

The Awardee must make select USDOL-approved project materials and reports available to the public via the Awardee's website or other means within 45 days of availability of such project materials or completion of each output. The Awardee will inform the GOR of the dissemination via email prior to publication. This dissemination results in the Awardee sharing information about labor in the project country(ies) and promotes both best practices, as well as cooperation with other labor-related projects. Distributing project information and collected data allows awareness raising objectives to be met and also provides raw data to enable future research. However, if the Awardee believes that any such materials should not be made publicly available, the Awardee must inform and obtain the GOR's agreement in writing.

All published documents must comply with Section 508 of the Rehabilitation Act of 1973, as amended. Awardees must format these documents into a publication-ready document for the final draft submission to the GOR. Publication-ready means the report is formatted for Section 508 compliance, does not disclose personally identifying information about the researcher or the interview subjects, is well-written in English, and is free of typographical errors. For more information on compliance with Section 508 of the Rehabilitation Act, see <http://www.section508.gov> and <http://www.access-board.gov>.

The Awardee may copyright works created or for which ownership was purchased with USDOL funds; however, USDOL reserves a royalty-free non-exclusive and irrevocable right to obtain, copy, publish, or otherwise use such works for Federal purposes and to authorize others to do so.

USDOL reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal purposes: i) the copyright in all products developed under the award, including a subrecipient; and ii) any rights of copyright to which the recipient, subrecipient or a contractor purchases ownership under an award (including, but not limited to, curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The recipient may not use Federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with award funds, including intellectual property, these revenues are program income. Program income is added to the award and must be expended for allowable activities. Additionally, the Federal government has the right to require intellectual property developed under a competitive Federal award process to be licensed under a Creative Commons Attribution license. This license allows subsequent users to copy, distribute, transmit and adapt the copyrighted Work and requires such users to attribute the Work in the manner specified by the recipient.

7.7 Transparency

USDOL 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. USDOL will publish the Executive Summary for all applications on the Department's website or similar location. Additionally, we will publish a version of the Technical 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.

USDOL 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.⁴

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 USDOL 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. USDOL 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 USDOL to post that redacted version. If an applicant fails to provide a redacted version of the Technical Proposal, USDOL 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, USDOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR 70).

Redacted information in grant applications will be protected by USDOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and

⁴ 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>.

the Privacy Act (5 U.S.C. § 552a). If USDOL receives a FOIA request for your application, the procedures in USDOL’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.”

7.8 Coordination with Key Stakeholders, other USDOL Grantees, and other U.S. Government-funded projects

Establishing positive relationships is especially important in avoiding duplication of efforts and building synergies between organizations working in the same issue area. The Awardee is also expected to work with key stakeholders, including (as applicable): international organizations; non-governmental organizations (NGOs); national steering/advisory committees; faith and community-based organizations; trade unions; and employers’ organizations. To the greatest extent possible and practicable, the Awardee must coordinate with existing projects in the target country, particularly those funded by USDOL. The Awardee is expected, when applicable, to coordinate with projects funded by other U.S. Government agencies, such as the U.S. Agency for International Development (USAID), the Millennium Challenge Corporation, and the U.S. Department of State, including the U.S. Embassy in the target country(ies).

7.9 Communication with U.S. Embassies

The Awardee is expected to inform and invite the U.S. Embassy to all major events undertaken as part of the project and maintain communication with Embassy staff. The Awardee must initially discuss project implementation problems with USDOL rather than with the Embassy, including the need for Embassy assistance in instances such as customs and VAT exemptions. Depending on the nature of the problem, USDOL will then decide whether USDOL will communicate directly with the Embassy on the issue or have the Awardee to inform the Embassy.

8 Key Personnel

Individuals who have been designated as key personnel (e.g., Project Director), must be available to begin work on the project no later than 45 calendar days after Cooperative Agreement award. All key personnel must allocate the designated level of effort as stated in the Cooperative Agreement or respective FOA. Key personnel may not be combined.

The Awardee must inform the GOR in the event that key personnel cannot continue to work on the project as designated. In such cases, the Awardee is expected to nominate new personnel, through the submission of a formal project revision (see section 10 “Project Revisions”). The Awardee must obtain prior approval from the Grant Officer before any change to key personnel is formalized. If the Awardee is unable to propose a replacement for a key personnel position that both meets the requirements of the position as outlined in the FOA and is acceptable to the Grant Officer, the Grant Officer reserves the right to terminate the Cooperative Agreement or disallow costs.

9 Payments

When a Cooperative Agreement is signed, the full amount of the project budget will be obligated and transferred to a project account in the Department of Health and Human Services' Payment Management System (HHS-PMS). The Grantee must inform the GOR immediately if there are difficulties with the HHS-PMS.

The Grantee may draw down from the account as needed, but the amount of advances (drawdowns) requested must be based on actual and immediate cash needs in order to minimize federal cash on hand in accordance with policies established in Treasury Department Circular 1075 and 2 CFR 200., Subpart D – Post Federal Award Requirements, Standards for Financial and Program Management. The timing and amount of advances (drawdowns) must be as close as administratively feasible to actual disbursements by the Grantee for all direct and allowable indirect program costs. See the Cooperative Agreement for more details on Payments.

10 Project Revisions and Use of Funds

Awardees may request a project revision to modify their Cooperative Agreement when technical or financial changes are necessary for the project to meet its objectives. Examples of changes requiring a modification to the Cooperative Agreement include, but are not limited to, a time extension to the Cooperative Agreement period, a change in key personnel, or changes to the budget above the annual threshold (see Section 10.3 “Budget Revisions”).

The GOR is expected to submit a written response electronically to the Awardee within 15 days after receipt of the revision request. However, the revision is not considered approved until the Awardee has received a Grant Modification signed by the Grants Officer, and no changes to project activities or spending under a revision may be implemented prior to the signed modification.

Formal revision requests may be submitted to USDOL no later than six months before the end of the Cooperative Agreement period. Only in exceptional cases will USDOL consider a revision request that is submitted less than six months before the end of the Cooperative Agreement period, as stipulated in the Cooperative Agreement. Very few cases are viewed by USDOL as “exceptional” and, therefore, very few project revisions will be approved under these circumstances.

10.1 Revision Request Process

To begin the process of requesting a project revision, the Awardee should first discuss the need for a revision informally with the GOR to ensure that the changes necessitate a modification and that they may be acceptable to USDOL. If a revision is necessary, the Awardee should submit the request to the GOR for review and the GOR will submit the request to the Grant Officer for approval.

Both programmatic and budget revisions must be done using the Project Revision Form (see

Annex H). The form must include a clear and concise narrative description of the purpose and need for the revision. The justification must include relevant details pertaining to the revision request, such as the status of project objectives, changes to the political or other implementing environment context, description of activities to be implemented and anticipated results given the additional funding or project direction.

If the revision modifies the project funding amount, duration, or other information specified in the most recent SF 424, then the project revision must include a revised SF 424 and SF 424A. The forms must be signed by an authorized official who can legally bind the Grantee to the terms and conditions of the proposed modification.

The Grantee should include supporting documentation to the revision request, as applicable. Examples of supporting documentation may include the resume of proposed key personnel, a revised work plan, revised logic model, detailed output-based budget, budget narrative, project indicators and revised targets, or other relevant documents.

10.2 Programmatic Revisions

USDOL prior approval is required for modifications to the project that include changes to strategy, geographical areas, project deliverables, target beneficiaries, indicators at the purpose level, key personnel, or project duration. When a modification to the Cooperative Agreement is necessary, the Awardee must receive a signed modification from the Grant Officer before implementing changes to the project.

10.3 Budget Revisions

Modifications to the Cooperative Agreement, with Grant Officer approval, are required for proposed changes to the overall budget amount and shifts between certain budget lines (as specified below).

Budget revisions must be explained in the Revision Form and include the current and proposed revised budget in an output-based format, as included with the project proposal. In addition, revisions must include a brief summary sheet outlining the proposed budget line-item changes (see Annex I).

The following revisions to the budget require prior USDOL approval through a revision request:

- Any revisions exceeding USD 50,000 that would move funds 1) from Subawards or Training, or 2) to Equipment;
- Detailed budget line item revisions that, in the aggregate in any calendar year, exceed USD 200,000 or 10 percent of the overall budget of the project, whichever is less;⁵
- Any revision that would utilize the allowance for unforeseen costs;
- Any revision that would utilize unused funds budgeted for evaluations;

⁵ Once any of the aforementioned thresholds has been reached, and USDOL approval has been granted, budgetary revisions shall be reset to USD 0 and 0 percent.

- Or any other changes as listed in 2 CFR part 200.

10.4 Use of Allowance for Unforeseen Costs

Each project budget must include an Allowance for Unforeseen Costs equivalent to five percent of the project's total direct costs to address unforeseen circumstances beyond the Awardee's control that affect specific budget lines. The Awardee must receive prior approval from the Grant Officer to use its Allowance for Unforeseen Costs line item.

The use of Allowance for Unforeseen Costs is intended to address circumstances affecting specific project budget lines that relate to one or more of the following: 1) inflation, 2) UN System or government-mandated salary scale or benefits revisions, and 3) exchange rate fluctuations.

USDOL also recognizes that certain other unforeseen circumstances may arise and result in a need for an exception to the use of Allowance for Unforeseen Costs funds. These include but are not limited to the following: 1) changes in a country's security environment, 2) natural disasters, 3) civil or political unrest/upheavals or government transitions, or 4) delays related to loss of or damage to project property.

In addition, after calculating the amounts needed for cost increases in the remaining life of the project, forecasted remaining funds in the Allowance for Unforeseen Costs line item may be used, with Grant Officer approval, to augment the number of beneficiaries or to increase the provision of services to existing beneficiaries. Increased services shall be provided if they relate directly to retention and completion of an educational or vocational training program, to an improvement in the academic performance, the job placement of individual beneficiaries of legal employment age who are involved in vocational or skills training, or improvement of family livelihoods. If Awardees seek a time extension to the Cooperative Agreement period, a request for extension must be approved by the Grant Officer in the signed modification.

To request use of the Allowance for Unforeseen Costs, Awardees must submit a Revision Request to the GOR, following the guidance and templates for a Budget Revision.

10.5 Participant Support Costs

Award recipients may use project funds to cover participant support costs associated with a conference, seminar, symposium, workshop or other event whose primary purpose is the dissemination of technical information and is necessary and reasonable for the successful performance under the Federal award and is in compliance with the recipient's internal operating procedures. Participant support costs means direct costs for items such as daily subsistence allowances and travel allowances paid to or on behalf of participants or trainees (not including employees of the recipient or subrecipient institution) in connection with the events noted in the preceding sentence. Participant support costs are allowable with the prior approval of USDOL. Costs must be reasonable, taking into account where and when the project activity will take place, and are subject to review by USDOL or its auditors. Where possible, participant support costs should be paid for directly by the recipient or subrecipients

to the service provider. If costs are paid directly to participants, recipients should make clear that participant support costs are covering cost incurred and are not compensation for participation at events.

11 Third Party Project Evaluations and Audits

11.1 Single Audits

Organization-wide or program-specific audits shall be performed in accordance with 2 CFR 200 Subpart F – Audit Requirements, which codifies the Single Audit Act Amendments of 1996.

- Recipients that expend \$750,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the requirements contained in 2 CFR part 200.
- Recipients that expend \$750,000 or more in a year in Federal awards under only one Federal program may elect to have a program-specific audit conducted in accordance with 2 CFR 200.507 Program-specific audits.
- Recipients that expend less than \$750,000 in a year in Federal awards are exempt from Federal audit requirements for that year (except as noted in 2 CFR 200.503 Relation to other audit requirements), but records must be available for review or audit by the Federal agency, pass-through entity and the Government Accountability Office (GAO) upon request.

Recipients must comply with the timeframes established in those regulations for the submission of their audits to the Federal Audit Clearinghouse. Recipients must notify their assigned GOR of each audit conducted within the timeframe of the DOL-funded project at the time it is submitted to the Federal Audit Clearinghouse. Awardees may be asked by the GOR to submit a copy of a single audit based on the GOR's review of the audit summary in the clearinghouse.

See 2 CFR part 200, subpart F for more details about audit requirements.

11.2 Attestation Engagements

USDOL has contracted with independent external auditors to conduct project-specific attestation engagements at USDOL's expense to supplement the coverage provided by the annual audits that Awardees are required to arrange, which are referenced in the preceding section. All Awardees, including non-U.S.-based and private for-profit Awardees, are subject to attestation engagements at USDOL's expense during the Cooperative Agreement period and must cooperate with the USDOL contract auditor if selected for examination. The attestation engagements are conducted in accordance with U.S. *Generally Accepted Government Auditing Standards*, and include the auditor's opinions on 1) compliance with USDOL regulations and the provisions of the Cooperative Agreement and 2) the reliability of the Awardee's financial and performance reports. For those Awardees that are subject to the requirements of the Single Audit Act, the attestation engagements will supplement and not duplicate the coverage provided by the Single Audits. Awardees scheduled for examination by the USDOL contract auditor will be notified approximately four weeks prior to the start of the engagement.

11.3 Implementation Evaluations

As part of the overall monitoring and evaluation process, USDOL requires projects to undergo independent implementation evaluations, usually one at an interim point in the project and a second no later than three months before the project's end, to assess project implementation and progress in meeting the project's expected outcome and objectives. Sustainability shall also be addressed in all evaluation exercises, in order to assess what corrective measures may be required (such as infrastructure and institutional inputs, as well as adjustments in the project strategy).

The type and timing of evaluation instruments used will be outlined in the PMP and through communications from USDOL. Evaluations are generally conducted by an external contractor retained by USDOL. Any exceptions to this rule are to be approved on a case-by-case basis by USDOL after consultation with the Awardee.

The following are the general guidelines for conducting implementation evaluations:

- USDOL and the Awardee shall review the *curriculum vitae* or résumé of the evaluation contractor's proposed evaluator. USDOL shall have final approval authority over the selection of the project evaluator.
- USDOL shall, in consultation with the Awardee, draft the evaluation Terms of Reference (TOR) for the evaluator.
- USDOL and the Awardee shall provide suggestions for research questions and/or provide comments on research questions and data collection tools developed by the evaluator.
- The evaluator shall conduct the field interviews and research for the evaluation.
- The evaluator shall do a stakeholder debrief at the end of their field research where the evaluator will present the preliminary findings, and solicit initial feedback from stakeholders on preliminary conclusions and recommendations. The evaluator may use this feedback from stakeholders in finalizing a first draft of the evaluation report.
- The evaluator shall send the first draft of the evaluation report to USDOL, the Awardee, and key stakeholders for review and feedback prior to finalizing the report.
- After the final report is submitted, USDOL will consult with the Awardee regarding plans for dissemination and timetables for follow-up actions that the Awardee plans to take in response to evaluation findings, conclusions, and recommendations. Awardees must report on the progress of these recommendations in each subsequent TPR.

Awardees are required to include funding to support monitoring and evaluation functions in their budgets in the amounts specified in the respective FOA. In general, this would include costs other than those for the independent evaluator, such as in-country transportation and logistical needs of the evaluation team, the cost of a venue for the stakeholder meeting, interpretation services, stakeholder travel costs related to this meeting, or the translation and printing of evaluation reports in local languages. Obligation/allocation of funds set aside within project budgets for evaluations must be made by the Awardee in consultation with USDOL.

12 Project Closeout Procedures

12.1 Financial Settlement of USDOL Funds

The Awardee is responsible for the orderly and timely phase out of any projects under the USDOL Cooperative Agreement and for the financial settlement of claims on behalf of subgrantees and subcontractors.

Funds obligated by USDOL to the Awardee remain available for obligation by the Awardee during the period of performance of the Cooperative Agreement.

All valid obligations should be liquidated by the Awardee no later than 90 days after the Cooperative Agreement period of performance ends, unless the Awardee receives written approval from the Grant Officer to extend the period for liquidation of outstanding Grantee obligations.

For projects funded from two separate fiscal year appropriations and managed as one single project, the Awardee must ensure that funds from each fiscal year are obligated during the period of performance, and before their respective Funding Expiration Dates.

Any funds drawn down by the Awardee, but not used to liquidate a valid obligation within the time allowed, must be returned to USDOL at the earliest date practicable.

Final closeout of the Cooperative Agreement will not prevent USDOL from disallowing costs or recovering funds from the Awardee on the basis of a later audit or review, in accordance with the provisions of 2 CFR 200.344.

12.2 Government Property Inventory Disposition Request

No later than 120 days before completion of the project, the Awardee must submit the following information to the GOR, consistent with the regulations applicable to “Property Standards” at 2 CFR 200.310-316:

- Government Property Inventory Disposition Request for all real property, equipment, and intangible property (see Annex K);
- Inventory list of supplies, if unused supplies exceed USD 5,000 in total aggregate value at the time of closeout.

The Grant Officer will provide instructions regarding the final disposition of property.

12.3 Project Closeout Documents

Approximately 120 days before completion of the project, USDOL will provide the Awardee closeout instructions.

Within 90 days of completion of the project, unless otherwise specified below, the Awardee must provide the Grant Officer and GOR with the following project closeout reports:

- Final Technical Progress Report.
- Final Evaluation Report.
- Government Property Closeout Inventory Certification.
- Government Property Inventory List.
- Final Quarterly Financial Status report (SF-425).
- Final Closeout Financial Status Report.
- Recipient's Release Form.
- Recipient's Assignment of Refunds, Rebates and Credits.

If more than 90 days is needed the Awardee must submit a request to the project GOR.

Where an audit has been conducted, all audit findings must be closed before a project's Cooperative Agreement can be closed out. USDOL and the Awardee are each to maintain copies of all closeout documents for three years after the Cooperative Agreement expires.

13 Restrictions, Unallowable Activities, and Specific Prohibitions

The following is a list of restrictions, unallowable activities, and specific prohibitions, as identified in 2 CFR part 200, Subpart E – Cost Principles, and USDOL policy for all USDOL-funded projects. If the Awardee has questions regarding these or other restrictions, consultation with USDOL is recommended.

13.1 Pre-Award Costs

USDOL funds may not be encumbered or obligated by an Awardee before the period of performance. Pre-award costs, including costs associated with the preparation of an application submitted in response to this FOA, are not reimbursable under the Cooperative Agreement.

13.2 Subgrants and Subcontracts

Subgrants and subcontracts awarded after receipt of the notice of award, and not proposed in the Awardee's application, must be awarded according to 2 CFR part 200. Subcontracts must be awarded in accordance with 2 CFR 200.317-326. Subgrants require prior approval by USDOL in accordance with 2 CFR 200.308(c)6 if not approved as part of the original award. Any subawards to host country governments require prior review by the GOR. Subgrants and subcontracts are subject to audit, in accordance with the requirements of 2 CFR 200, Subpart F – Audit Requirements.

The debarment and suspension rule, as outlined in 29 CFR part 98, applies to all subawards issued under the Cooperative Agreement. The Awardee is responsible for ensuring that all subrecipients and subcontractors are eligible for participation in Federal assistance programs. The Awardee must check the following Web site to assess available information on parties that are excluded from receiving Federal financial and nonfinancial assistance and benefits, pursuant to the provisions of 31 U.S.C. 6101, note, E.O. 12549, E.O. 12689, 48 CFR 9.404:

<http://www.sam.gov/>.

Awardees are responsible for subrecipients' expenditure of funds, financial management, and compliance with USDOL and Federal regulations. This includes ensuring subrecipient compliance with all audit requirements established in 2 CFR part 200, Subpart F – Audit Requirements.

13.3 Funds to Host Country Governments

USDOL funds are not intended to duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments.

Awardees may not provide any of the funds obligated under a Cooperative Agreement to a foreign government or entities that are agencies of, or operated by or for, a foreign state or government, ministries, officials, or political parties.

Exceptions may be made in cases where: (1) the Awardee has conducted a competitive procurement process to select the awardee and has determined that no other entity in the country is able to provide services or undertake project activities, (2) funding of such activities would not duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments, and (3) the Awardee has received prior USDOL approval.

This provision must be included in all subawards issued under the Cooperative Agreement.

The Awardee must submit information on the requested subawards to the GOR for approval, see Annex A (Subaward Matrix).

13.4 Direct Cash Transfers

USDOL does not allow for direct cash transfers to target beneficiaries. Purchase of incidental items is allowable if necessary for direct beneficiaries' participation in project activities and as a means of promoting sustainable results in the target group. Such beneficiary support costs could include direct costs such as tool kits for livelihood interventions, inspection tools, or transportation. If approved by USDOL, these items shall be purchased or paid for directly by the Awardee, subrecipients, or subcontractors in the form of vouchers, or payment to the service provider, as opposed to transferring cash directly to project beneficiaries or other individuals. This ensures that the money goes for its intended purpose and is not diverted or lost.

If the Awardee proposes the provision of additional beneficiary support costs other than those that were outlined and approved in its original application, the Awardee must first contact the GOR for approval, and specify: a) why these activities and interventions are necessary, and how they will contribute to the overall project goals; and b) how the disbursement of funds will be administered in order to maximize efficiency and minimize the risk of misuse. The Awardee must also address how beneficiary support costs will be made sustainable once the project is completed.

13.5 Indirect Costs

According to Federal regulations, indirect costs are those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective. Indirect cost charges should be based on allowable, allocable, and reasonable costs based on the applicable cost principles.⁶ Indirect cost support for allocated charges to the grant and the closeout process is validated using a Federally approved Negotiated Indirect Cost Rate Agreement (NICRA). The NICRA is issued by the Federal Cognizant Agency (FCA) based on annual indirect cost proposal submissions from awardees. Typically, the agency providing the preponderance of direct Federal funds to the organization is the FCA.

Those entities with no approved or current indirect cost rates must submit indirect cost proposals within 90 days of the grant award to the FCA.

Indirect cost rate proposals must be submitted to the appropriate FCA on an annual basis no later than six (6) months after the close of the organization's fiscal year. These annual submissions must be submitted to FCA for the life of the grant. Awardees must submit the approved indirect cost rate agreements to USDOL as updated.⁷

The proposed/approved NICRA rate, or indirect rate proposed in response to the FOA for those organizations with no rates approved, will be used to set a ceiling for indirect costs in the Cooperative Agreement. Total indirect costs charged to a project may not exceed the indirect cost ceiling as noted in the Awardee's Cooperative Agreement. The ceiling indirect cost rate(s) or the rate(s) negotiated with the FCA, **whichever is lower**, will be used to determine the maximum allowable indirect costs on the grant.

A ceiling rate or dollar amount does not exclude the organization from the responsibility of submitting an indirect cost rate for approval. Final rates or CAP-allocated amounts will be used for proper adjustments related to the closeout of the Cooperative Agreement.

13.6 Personnel Housing and Personal Living Expenses

In accordance with federal cost principles, Awardee or subrecipient personnel housing and personal living expenses may not be counted as fringe benefits or indirect costs in the project budget. USDOL funds may only be used to pay for housing costs, housing allowances, and personal living expenses (e.g., dependents' allowance) of project staff if they (1) are separately accounted for as direct costs of the project necessary for the performance of the project and (2) receive prior approval from USDOL.

Awardees must provide a brief explanation as to why such costs are considered necessary for the performance of the project, consistent with the organization's established policies, and reasonable given costs in the country where the staff person will reside.

⁶ See 2 CFR part 200, Subpart E – Cost Principles.

⁷ For more information, visit <http://www.dol.gov/oasam/boc/dcd/>.

13.7 Construction

Construction with funds under the Cooperative Agreement is subject to USDOL approval and ordinarily should not exceed 10 percent of the project budget's direct costs. Funds for construction must be clearly specified in the budget. Any activities that lead to the creation of real property that is of a permanent nature must be classified under construction expenses. In addition, expenses in support of construction cannot be classified as supplies, and should be regarded as construction activities.

In general, USDOL expects construction to be limited to improving existing infrastructure and facilities utilized by direct beneficiaries. In order to promote sustainability, USDOL encourages Awardees to secure matching funds, in-kind contributions, or other forms of cost sharing from the government, communities and local organizations when proposing construction activities. All modifications to the project's budget to address construction related changes must receive prior approval from USDOL. Modifications under the 10 percent budget revision threshold require an informal request to and approval by the GOR. Modifications above the 10 percent threshold require a formal project revision request to be approved by the Grant Officer.

13.8 Value Added Tax (VAT)

VAT Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. The recipients and subrecipients shall make every effort to apply for and receive VAT exemption in the country or countries in which the project operates. 2 CFR 200.470

The recipient will report on the progress of its application for VAT exemption in its Technical Progress Reports.

13.9 Miscellaneous Prohibitions

USDOL funds may not be used to provide for:

- The purchase of land;
- The procurement of goods or services for personal use by the Awardee's employees;
- Entertainment, including amusement, diversion, and social activities and any costs directly associated with entertainment (such as tickets, meals, lodging, rentals, transportation, and gratuities). Costs of training or meetings and conferences, when the primary purpose is the dissemination of technical information, are allowable. This includes reasonable costs of meals and refreshments, transportation, rental of facilities and other items incidental to such meetings and conferences. Costs related to educational activities, such as street plays and theater, are allowable; and
- Alcoholic beverages.

13.10 Inherently Religious Activities

The U.S. Government is generally prohibited from providing direct financial assistance for inherently religious activities. The Awardee and subrecipients may work with and make subawards to religious institutions; however, Federal funds provided under a USDOL-awarded Cooperative Agreement may not be used for religious instruction, worship, prayer, proselytizing, other inherently religious activities, or the purchase of religious materials. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of awardees and must be employed by the Awardee in the selection of subgrantees or subcontractors. This provision must be included in all subawards issued under the Cooperative Agreement.

Any inherently religious activities conducted by the Awardee must be clearly separated in time or physical space from activities funded by USDOL. Awardees must segregate from Federal and matching funds (neither of which can be used to fund inherently religious activities), and account for separately, any non-federal and non-matching funds (or allocable portion of those funds) used for inherently religious activities.

Additionally, direct beneficiaries of the project must have a clear understanding that their enrollment in a USDOL-funded project is not conditioned on their participation in any religious activities. Direct beneficiaries must have a clear understanding that a decision to not participate in any inherently religious activity will in no way impact, or result in any negative consequences to their standing, participation in or receipt of benefits from a USDOL-funded project.

If the Awardee is unclear whether a given project activity may involve an inherently religious activity, the Awardee should consult with the GOR prior to implementing the activity.

This provision must be included in all subawards issued with USDOL funds.

13.11 Program Income

Program income, as defined by 2 CFR 200.80, generated from Awardee activities, must be added to the award and must be expended for allowable activities.

13.12 Lobbying and Fundraising

Funds provided by USDOL for project expenditures under the Cooperative Agreement may not be used with the intent to influence a member of the U.S. Congress, a member of any U.S. Congressional staff, or any official of any Federal, State, or Local Government in the United States (hereinafter “government official(s)”), to favor, adopt, or oppose, by vote or otherwise, any U.S. legislation, law, ratification, policy, or appropriation, or to influence in any way the outcome of a political election in the United States, or to contribute to any political party or campaign in the United States, or for activities carried on for the purpose of supporting or knowingly preparing for such efforts. This includes awareness raising and advocacy activities that include fund-raising or lobbying of U.S. Federal, State, or Local Governments (see 2 CFR 200.442 and 450). This does not include communications for the purpose of providing information about the Awardee or its subrecipients and their programs or activities in response to

a request by any government official or for consideration or action on the merits of a federally-sponsored agreement or relevant regulatory matter by a government official.

A Cooperative Agreement recipient classified under revenue code as a 501(c)(4) entity (see 26 U.S.C. 501(c)(4)), may not engage in lobbying activities. According to the Lobbying Disclosure Act of 1995, as codified at 2 U.S.C. 1611, an organization, as described in Section 501(c)(4) of the Internal Revenue Code of 1986, that engages in lobbying activities directed toward the U.S. Government is not eligible for the receipt of federal funds constituting an award, grant, Cooperative Agreement, or loan.

This provision must be included in all subawards issued under the Cooperative Agreement.

13.13 Fly America Act

Awardees and their subrecipients must adhere to the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118) (Fly America Act).⁸

13.14 Trafficking in Persons, Commercial Sex Acts, and Forced Labor⁹

A. The following provisions are applicable to the Grantee, if it is a private entity:

1. The Awardee, its employees, subgrantees, or subcontractors and their employees may not
a) engage in severe forms of trafficking in persons during the period of time that the award is in effect, b) procure a commercial sex act during the period of time that the award is in effect; or c) use forced labor in the performance of the award or subaward under the award.

2. USDOL may unilaterally terminate this award, without penalty, if the Grantee or a

⁸ For full text of the International Air Transportation Fair Competitive Practices Act of 1974 (49 U.S.C. 40118), see <http://www.gpo.gov/fdsys/granule/USCODE-2011-title49/USCODE-2011-title49-subtitleVII-partA-subparti-chap401-sec40118/content-detail.html>.

⁹ For purposes of this section:

“**Employee**” means either a) an individual employed by you or a subgrantee or subcontractor who is engaged in the performance of the project or program under this award; or b) another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

“**Forced labor**” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

“**Private entity**” a) means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25 and b) includes a) a nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25 (b) a for-profit organization.

“**Severe forms of trafficking in persons,**” “**commercial sex act,**” and “**coercion**” have the meanings given at section 103 of the TVPA, as amended (22 USC 7102).

subrecipient that is a private entity a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the Awardee or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR 180, "Governmentwide Debarment and Suspension (Nonprocurement)."

B. The following provision is applicable to the Awardee if it is other than a private entity:

USDOL may unilaterally terminate the Cooperative Agreement, without penalty, if a subrecipient that is a private entity a) is determined to have violated a prohibition in paragraph A.1 of this section; or b) has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph A.1 of this section through conduct that is either associated with performance under this award; or imputed to the Awardee or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "Governmentwide Debarment and Suspension (Nonprocurement)."

C. The following provisions are applicable to the Awardee regardless of whether it is or is not a private entity:

1. The Awardee must inform USDOL immediately of any information the Awardee receives from any source alleging a violation of a prohibition in paragraph A.1 of this section.
2. USDOL's right to terminate unilaterally that is described in paragraph A.2 or B.1 of this section i) implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and ii) is in addition to all other remedies for noncompliance that are available to USDOL under this Cooperative Agreement.
3. The Grantee must include the requirements of paragraph A.1 of this section in any subaward it makes to a private entity using USDOL funds.

13.15 Prostitution

The U.S. Government is opposed to prostitution and related activities which are inherently harmful and dehumanizing and contribute to trafficking in persons. U.S. NGOs, corporations, and their subrecipients cannot use funds provided by USDOL to lobby for, promote, or advocate the legalization or regulation of prostitution as a legitimate form of work. Foreign-based NGOs, corporations, and their subgrantees or subcontractors that receive USDOL funds cannot lobby for, promote or advocate the legalization or regulation of prostitution as a legitimate form of work while acting as a funded entity on a USDOL-funded project. It is the responsibility of the Awardee to ensure that all subrecipients meet these criteria.

This provision must be included in any applicable subaward agreement that is awarded using

USDOL funds, and the Awardee must obtain a written declaration to such an effect from the subrecipients concerned.

13.16 Terrorism

The Awardee is reminded that U.S. law, including Executive Orders, prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Awardee to ensure compliance with these Executive Orders and laws. It is the policy of USDOL to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. The Awardee must check the applicable website to assess available information on parties that are excluded from receiving federal financial and nonfinancial assistance and benefits. See <http://www.treas.gov/offices/enforcement/ofac/sdn/t11sdn.pdf>.

This provision must be included in all subawards issued under the Cooperative Agreement.

14 Suspension and Termination Procedures

If the Awardee fails to comply with the terms, conditions or standards of a Cooperative Agreement, USDOL may, on reasonable notice to the Awardee, suspend the Cooperative Agreement or a specific project or projects under the Cooperative Agreement, and withhold further payments, or prohibit the Awardee from incurring additional obligations of Cooperative Agreement funds, pending corrective action by the Awardee or a decision to terminate in accordance with section 14.1 or section 14.2 described below. The USDOL Grant Officer will allow all necessary and proper costs that the Awardee could not reasonably avoid during the period of suspension provided that they meet the provisions outlined in the Cooperative Agreement.

A Cooperative Agreement may be terminated in accordance with 2 CFR 200.338-342 and the guidelines below.

14.1 Termination by the Grant Officer

The Grant Officer may terminate a grant in whole, or in part, or a specific project or projects under a Cooperative Agreement, at any time before the date of completion, whenever it is determined that the Awardee has failed to comply with any term of the award (including project revisions requiring such approval), whether stated in a federal statute or regulation, an assurance, an application, a notice of award, or elsewhere. The Grant Officer is expected to promptly notify the Awardee in writing of the determination and the reasons for the termination, and the effective date of termination. Payments made to the Awardee or recoveries by USDOL must be in accord with the legal rights and liabilities of the parties.

14.2 Termination by the Grant Officer with Consent of the Awardee

The Grant Officer may terminate a grant in whole, or in part, or a specific project or projects under a Cooperative Agreement, at any time before the date of completion. In this case, the two

parties shall agree upon the termination conditions, including the effective date and, in the case of partial terminations, the portion to be terminated. The Awardee must not incur new obligations for the terminated portion after the effective date and must cancel as many outstanding obligations as possible. The Grant Officer is expected to allow full credit to the Awardee for the federal share of the obligations that cannot be cancelled properly but are incurred by the Awardee prior to termination. Payments made to the Awardee of recoveries by USDOL must be in accord with the legal rights and liabilities of the parties.

14.3 Termination by the Awardee

The Awardee may terminate the agreement upon sending written notification to USDOL, setting forth the reasons for such termination, the effective date, and in the case of partial termination, the portion to be terminated. However, in the case of a partial termination, if USDOL determines that the remaining portion of the award would not accomplish the purposes for which the award was made; USDOL may terminate the award in its entirety.

14.4 Definitions

Suspension: Depending on the contract, suspension means either, 1) an action by the Grant Officer that temporarily suspends federal assistance under the Cooperative Agreement, pending corrective action by the Awardee or pending a decision to terminate the Cooperative Agreement by the Grant Officer; or 2) an action taken by a suspension official implementing Executive Order 12549 to immediately exclude a person from participating in Cooperative Agreement transactions for a period, pending completion of an investigation and such legal or debarment proceedings as may ensue.

Termination: Termination means the permanent withdrawal of the authority to obligate previously awarded Cooperative Agreement funds before that authority would otherwise expire. It also means the voluntary relinquishment of that authority by the Awardee or its subrecipient.

Annexes

ANNEX A: Subaward Matrix

Awardees must submit this table to the GOR within four months of award for approval, if applicable. Awardees must also submit this table, at any point during the project implementation period, prior to any subaward to a Government Agency. The status of approved subawards to Government Agencies must be reported on in the semi-annual TPRs.

USDOL Awardee Subawards					
Name of Project:					
Organization	Goal	Output	Activities	Budget in USD	Sole Source Justification

ANNEX B: Project Document Format

Cover Page

Executive Summary

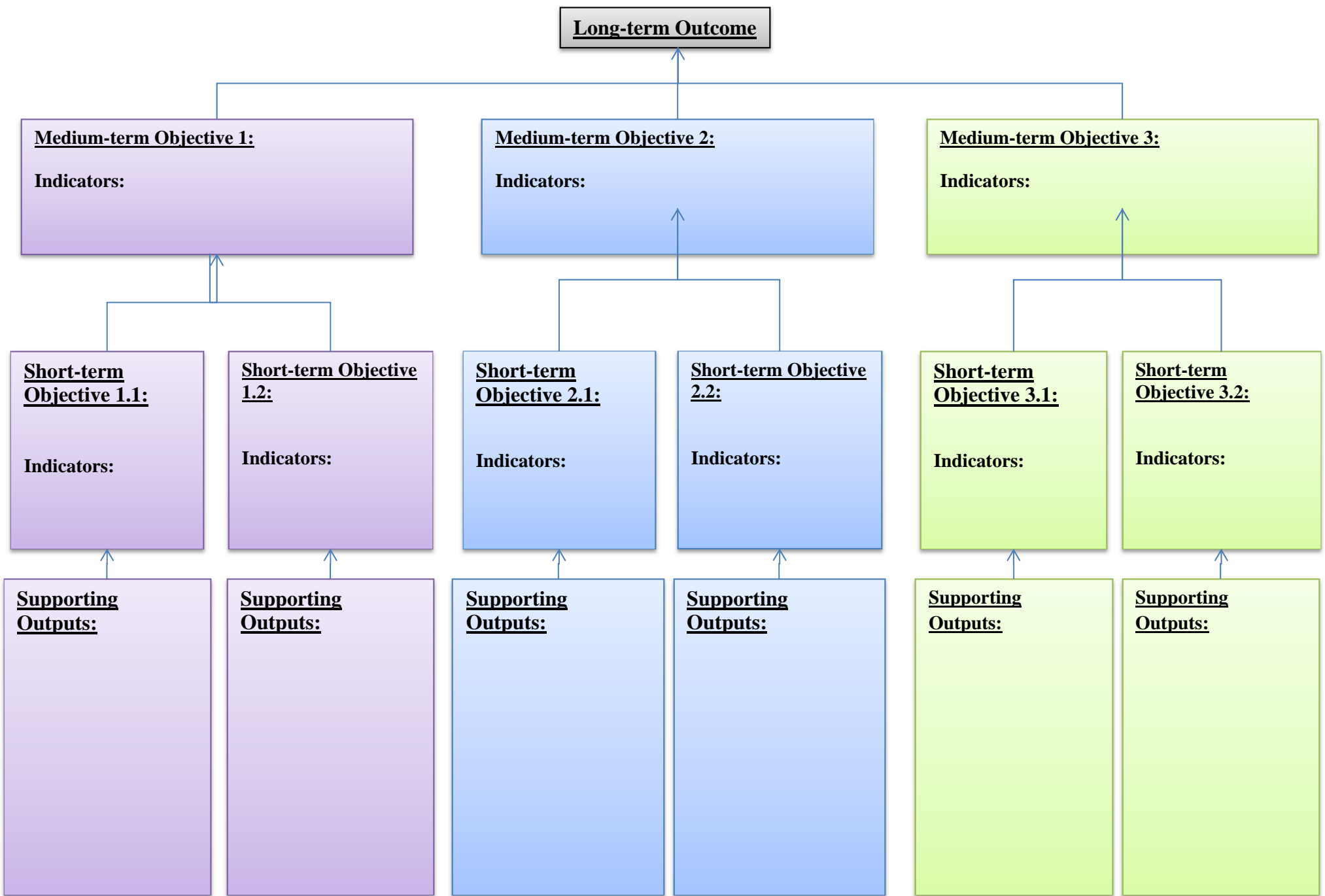
- 1. Background and Justification**
- 2. Target Groups** - A detailed listing of targets by demographic or other categories, as appropriate (*e.g.*, gender, age, geographic region, work sector).
- 3. Program Approach and Strategy**
 - 3.1. Results Framework (graphical presentation)
 - 3.2. Narrative description of logic that explains causal linkages between elements of the Results Framework, Indicators, Critical Assumptions, and the project's investments in terms of inputs, activities, participation and outputs.
 - 3.3 Work Plan
- 4. Approach to Project Monitoring, Tracking and Evaluation**
 - 4.1 Performance Monitoring Plan (PMP)
 - 4.2 Baseline data collection plan
 - 4.3 Evaluation Plan – Description of any evaluations that will be carried out over the life of the project, including type of evaluation (*e.g.*, implementation, impact) and when they will take place (*e.g.*, mid-term, final, post-project close).
 - 4.4 Procedures for Reviewing Performance Information – How the Awardee will review performance with USDOL on an on-going basis, how often the PMP will be reviewed to determine whether updates are necessary.
 - 4.5 Procedures for Assessing Data Quality – Procedures that the Awardee will use to assess data quality, making note of any data quality checklists/tools.
 - 4.6 Performance Management Task Schedule – Summary schedule/calendar that summarizes all performance management tasks that the Awardee will undertake.
- 5. Institutional and Management Framework**
 - 5.1 Institutional Arrangement (implementing level)
 - 5.2 Collaborating and Implementing Institutions and Responsibilities (including Subaward Matrix where applicable)
 - 5.3 Other Donor or International Organization Activity and Coordination
 - 5.4 Project Management Organizational Chart
- 6. Contributions to Project**
 - 6.1 Contributions provided by USDOL
 - 6.2 Contributions/Inputs provided by the Awardee (and Associates, if applicable)
 - 6.3 National and/or Other Contribution¹⁰

¹⁰ Clearly indicate how the resources being dedicated to the project reflect new investments being made in

7. **Project Budget** – Outputs-based project.
8. **Sustainability and Exit Strategy**

support of the project, as opposed to ongoing programs or previous obligations of resources.

ANNEX C:
Results Framework Template



Critical Assumptions

ANNEX E: Performance Monitoring Plan Template

Indicator	Indicator Definition/ Unit of Measurement	Data Source	Reporting Frequency	Responsible Person	Data Analysis/Use
Project's Long-Term Outcome:					
Indicator:					
Medium-Term Objective 1:					
Indicator:					
Indicator:					
Short-Term Objective 1.1:					
Indicator:					
Indicator:					
Short-Term Objective 1.2:					
Indicator:					
Indicator:					
Indicator:					

Data Tracking Table Template

Performance Indicator	Baseline	Target/ Actual	Period 1 Sept-Nov	Period 2 Dec-Feb	Period 3 March-May	Period 4 June-August	Total (where applicable)
		Target					
		Actual					
		Target					
		Actual					
		Target					
		Actual					
		Target					
		Actual					
		Target					
		Actual					
		Target					
		Actual					

ANNEX F: Federal Financial Report/SF-425

The image below is for informational purposes only.

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)		Page	1	of	
pages							
3. Recipient Organization (Name and complete address including Zip code)							
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period From: (Month, Day, Year)			To: (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)		
10. Transactions						Cumulative	
<i>(Use lines a-c for single or multiple grant reporting)</i>							
Federal Cash (To report multiple grants, also use FFR Attachment):							
a. Cash Receipts							
b. Cash Disbursements							
c. Cash on Hand (line a minus b)							
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized							
e. Federal share of expenditures							
f. Federal share of unliquidated obligations							
g. Total Federal share (sum of lines e and f)							
h. Unobligated balance of Federal funds (line d minus g)							
Recipient Share:							
i. Total recipient share required							
j. Recipient share of expenditures							
k. Remaining recipient share to be provided (line i minus j)							
Program Income:							
l. Total Federal program income earned							
m. Program income expended in accordance with the deduction alternative							
n. Program income expended in accordance with the addition alternative							
o. Unexpended program income (line l minus line m or line n)							
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
	g. Totals:						
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:							
13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official					c. Telephone (Area code, number and extension)		
					d. Email address		
b. Signature of Authorized Certifying Official					e. Date Report Submitted (Month, Day, Year)		
					14. Agency use only:		

Standard Form 425 - Revised 6/28/2010
OMB Approval Number: 0348-0061
Expiration Date: 10/31/2011

Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0061), Washington, DC 20503.

ANNEX G:
Technical Progress Report Format

I. Synopsis of Accomplishments (required for all TPRs)

Provide a brief narrative that summarizes the major accomplishments during the period.

II. Country information and developments (required for all TPRs)

*Summarize the country context and events **during the reporting period** that are directly linked to project activities. This section should also include relevant information on new or proposed changes to national legislation, policies, or plans of action. If relevant, please include links to relevant laws and policies or submit as attachments.*

III. Project Highlight (required for all TPRs)

Highlight one achievement, revelation, or experience of the project during the reporting period. To facilitate information sharing, these highlights may be included in an email to all OTLA Grantees, used on USDOL's website, or included in USDOL publicity materials or reports. Examples of highlights could include: engaging in a new partnership; success of a new and innovative training; or a case study of a beneficiary. Please also include photographs or video clips if available.

IV. Review of Work Plan (required for all TPRs)

The project is on track with all Work Plan elements due to be implemented by the end of this reporting period.

The project needs to update the Work Plan as follows:

If the Work Plan needs updating, start this section with a brief narrative comparing the actual accomplishments with activities and outputs that were specified in the approved project Work Plan. Provide a qualitative assessment of how well these activities worked or did not work towards achieving the outputs and outcomes and the success of or issue with any particular product or process. End this section with the following chart summarizing the updates required and attach a revised Work Plan as an Annex to this report.

Current Work Plan Element	Proposed Change	Reason for Proposed Change

V. Review of Outputs-based Budget (required for all TPRs)

Please attach a copy of the current outputs-based budget and indicate 1) Planned total expenditures, 2) actual total expenditures, 3) planned expenditures for the reporting period, and 4) actual expenditures for the reporting period. If adjustments need to be made, please indicate changes in the attached budget chart (example provided). If a formal budget revision is needed, please indicate when it will be submitted.

VI. Assessment of Project Performance (required for full TPRs and Final Reports)

This section utilizes the data collected under the Performance Management Plan, which is the heart of the Technical Progress Report (TPR) and is an opportunity to analyze actual results versus expected results based on data collected for project indicators. Include the PMP Data Tracking Table as an attachment to this report.

A. Introduction

Begin the section with a short narrative summary of overall performance based on the detailed, evidence-based analysis of the PMP Data Tracking Table, and any other performance information available. Provide an overall assessment about the degree to which expected results are achieved and summarize reasons for under achievement.

Summary Assessment Table of Project Performance

Rating Scale

EE: Exceeding/exceeded expected target
 AE: Achieving/achieved expected target
 MP: Experienced manageable problems

OP: Experienced other Problems
 UR: Unable to Rate

Expected Result	Rating	Explanation of Rating	Proposed Solution/Action Taken (for ratings of MP/OP)
Indicator 1			
Indicator 2			

B. Analysis of Performance

Elaborate on the performance rating, including descriptions of the implementation process, changes to the planned strategy or approach, progress made, activities implemented, results accomplished, and explanations for delays or problems encountered.

C. Problems/Issues Materially Impairing Project Performance

Identify major problems/issues encountered or foreseen in the near to medium term that will materially affect successful implementation of this project with respect to:

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)
Implementation (include technical as well as management issues; including administrative, financial and budgetary issues)	
Stakeholders, partners and implementing agencies	
External factors (include particularly those external factors identified as being critical assumptions in the Project Document and/or other emerging critical external factors)	
Other major issues/problems	

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)

D. Monitoring and Evaluation

Please provide an update on the project’s monitoring efforts. For projects with impact evaluation components, please report on any major activities or issues.

Update on Project Activities in Response to Evaluation and Audit Recommendations

This table provides suggestions for follow-up and status of recommendations made during an evaluation or audit. It contains only recommendations relevant to this project. It should not contain recommendations addressed to other stakeholders. Follow-up outlines the way that the Grantee is addressing the recommendation.

No.	Review/ Evaluation (including date)	Recommendation	Follow-up Action(s) taken or to be taken by project based on Recommendations (Status of follow-up actions already taken, including by whom, when and how; follow-up actions that project plans to undertake, including by whom, when and how; if no follow-up is proposed or has been taken, project should provide a clear explanation of why this is, with a focus on demonstrating that the recommendation has been considered)
	Implementation Evaluation Month, 20xx		
	Implementation Evaluation Month, 20xx		
	Implementation Evaluation Month, 20xx		
	Audit Month, 20xx		

VII. Sustainability (required for full TPRs and Final Reports)

Describe the key activities which the project hopes to make sustainable and steps which have been taken to facilitate sustainability.

VIII. Other (required for full TPRs and Final Reports)

Describe any other project activities, accomplishments, or issues not addressed above.

Status of VAT exemption

Name of Project:	
Project Pursued VAT Exemption <input type="checkbox"/> Yes <input type="checkbox"/> No	Project Obtained VAT Exemption <input type="checkbox"/> Yes <input type="checkbox"/> No
Please provide a status update of actions being taken by the project to receive VAT exemption during the reporting period.	

ANNEX H:
Project Revision Form

PROJECT REVISION FORM

Project Title:

Grantee:

Cooperative Agreement Number:

USDOL Appropriation Number:

Submission and Resubmission Dates: *(Include both, as applicable)*

See MPG Section IX. [Project Revisions](#) for more detailed information regarding the submission requirements for revision requests.

BACKGROUND AND JUSTIFICATION FOR PROJECT REVISION

Please provide a concise description of the purpose for the revision, followed by a detailed narrative justifying the request.

EFFECTS OF REVISION ON THE PROJECT

In the table below, include all changes to the project associated with the proposed request. Describe the current status for each category in the middle column and the proposed changes in the right-hand column. If no changes are anticipated in a category, type "no change."

Project Elements	Current Project Status	Proposed Changes
Geographical areas		
Target group – direct beneficiaries		
Indicators - project purpose level		
Program strategies leading to significant change in project outputs		
Project purpose		
Key personnel		
Budget		
Project duration/ end date		
Other (please specify)		

SUPPORTING DOCUMENTS

Include additional documents to justify this revision request, such as SF424 and SF424A, resume of proposed key personnel, current status of results against project indicators, or updated work plan. In addition, budget revision requests must include a revised detailed output-based budget showing current and proposed line item allocations, and the Budget Revision Summary Sheet (see below). Include a budget narrative, as applicable.

ANNEX I: Budget Revision Summary Sheet

Project Title:
Grantee:
Cooperative Agreement Number:
USDOL Appropriation Number:

COMPARISON OF BUDGETS

Include a table below which includes the current budget allocation, proposed budget allocation, and the difference between the two, for major budget categories or line items which will be changed by the proposed revision. See sample below.

Sample Budget Summary Table

Budget Lines	Current Approved Allocation Level	Proposed New Allocation Level	Difference
Salary and Fringe	\$180,000	\$180,000	0
<i>Subcontracts</i>			
Technical Consultant for Panama	\$25,000	\$15,000	-\$10,000
Technical Consultant for Peru	\$25,000	\$15,000	-\$10,000
Children Now	\$100,000	\$20,000	-\$80,000
Citizens Helping Children	\$50,000	\$130,000	\$80,000
Travel and Per Diem	\$80,000	\$50,000	-\$30,000
Evaluations	\$35,000	\$25,000	-\$10,000
Activities	\$500,000	\$560,000	\$60,000
Printing	\$30,000	\$30,000	0
Other Direct Costs	\$50,000	\$50,000	0
Total	\$1,075,000	\$1,075,000	0

EXPLANATION OF CHANGES

Include a narrative of proposed budget line changes. See sample below.

Salary and Fringe: No change

Subcontracts and Consultants: The project had planned to hire two consultants to carry out rapid assessment research of child labor in the urban informal sector in Panama and Peru. The project had cost savings through these activities as the studies required less time than anticipated so consultant costs were lower (funds reallocated to Activities in this request).

The project has terminated a subgrant with Children Now. Children Now was scheduled to provide after school educational assistance to children withdrawn and prevented from the worst forms of child labor. However, the subrecipient decided to suspend operations in the province and leave the project. As a replacement, the organization Citizens Helping Children has been selected through a competitive process to carry on these activities (for more detailed information please see project revision justification).

Travel and Per Diem: The project experienced cost savings within travel and per diem funds due to creating additional cost-efficiencies by combining travel with other activities and experiencing unanticipated reductions of in-country travel costs (funds reallocated to Activities in this request).

Evaluations: The project had budgeted for evaluations, however these costs were primarily covered by USDOL. The project paid the costs of the stakeholders meeting and project staffs participating while costs related to the external consultant, travel to project sites, etc. were paid by USDOL (funds reallocated to Activities in this request).

Activities: The cost savings in the categories listed above will be allocated to the Activities budget line to allow the project to serve an additional 200 children in the project's non-formal educational programs (for more detailed information please see project revision justification). These services are carried out directly by the project.

Printing: No change

Other Direct Costs: No change

