

HVRP Award Amendments Technical Assistance Guide

VPL 04-24 Attachment A



UNITED STATES DEPARTMENT OF LABOR
Veterans' Employment and Training Service
Office of National Programs

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Section I: General Amendments

Amendments Requiring Grant Officer Approval

Grant recipients must request and obtain prior written approval for certain changes¹ to their grant as outlined in VPL 04-24. Grant recipients cannot implement changes until an approved amendment is issued by the Grant Officer through VETS' grants management system, [GrantSolutions](#) (GS).

Grant recipients may be required to respond to Conditions of Award (COA) identified in a previously issued amendment. The amendment citing the COA assigns a condition number to each issue and includes condition-specific instructions on how to resolve the issue(s), which may require the submission of an amendment application. Grant recipients must respond to the conditions as instructed within the specified timeframe, or the Grant Officer may exercise the legal remedies under [2 C.F.R. § 200. 339](#).

A. Statement of Work Changes

1. Changes to Planned Goals due to Unanticipated Circumstances

Section V.A. of VPL 04-24 states that an amendment application is required if a grant recipient proposes a change to their planned goals due to unanticipated circumstances. HVRP grants are awarded through a competitive process; therefore, grant recipients may not change cumulative planned goals unless it meets the criteria of an unanticipated circumstance. In rare instances, a grant recipient may face unanticipated circumstances during the implementation of its award that prevent the grant from achieving its planned outcomes. A compelling circumstance beyond the reasonable management control of the grant recipient is defined as an unanticipated event jeopardizing the successful attainment of grant deliverables despite all reasonable efforts to meet planned outcomes. Examples of compelling circumstances that may be beyond the reasonable management control of the grant recipient are:

- A delay of 60 days or more in the receipt of federal funds;
- Acts or omissions of civil authorities resulting in the delay of 60 days or more in obtaining needed licensing or certifications to operate the program;
- Natural or man-made disasters;
- Terrorist attacks, wars, riots, and situations of extreme civil unrest;
- Economic crisis, severe downturn in the economy, and mass layoffs occurring in the current grant project service delivery area;
- Significant delays or interruptions affecting the availability of public services including transportation;
- A technical correction for when the planned goals chart was submitted with an error and was inadvertently approved during the application review process; or

¹ With the exception of Address Change & Organization/Institution Name Change as detailed in paragraph B.I.& I.I.

- Existing grant recipients whose service delivery area has been adversely affected by newly awarded HVRP grant recipients if they can directly correlate the reduced outcomes.

Grant recipients must submit written justification, as part of the amendment application, supporting a request to change cumulative planned goals due to unanticipated circumstances. Grant recipients requesting a reduction of planned goals throughout their period of performance may be subject to reduced funding on a case-by-case basis.

2. Changes to the Period of Performance (PoP)

A. Period of Performance Extension

Grant recipients may be considered for a one-time PoP extension under [2 C.F.R. § 200.308\(e\)\(2\)](#) only if their HVRP program was adversely affected by a major disaster or emergency that was declared by the President under a [Disaster Declaration](#). The request must be submitted to the Grant Officer, in writing, at least 30 days before the PoP is scheduled to expire. The request must fully justify the reason more time is needed. The requests usually are for a period of up to 12 months. The amendment must contain a Transmittal Memorandum (TM) that includes the following:

- The [Declared Disaster](#) that led to the circumstances, challenges, or problems that created the need to extend the PoP;
- Amount of funds remaining in the grant;
- Efforts to address the challenges and the corrective actions or changes that have or are being made to assure grant success moving forward;
- Activities that can be accomplished during the original grant PoP; and
- Activities that would be accomplished during the extended PoP.

B. Self-Termination

Grant recipients may choose to terminate their award under [2 C.F.R. 200.340\(a\)\(4\)](#). Termination requests must be submitted in GS as an amendment application through the Grant Officer's Technical Representative (GOTR). Grant recipients choosing to terminate their award must still comply with VPL 03-24, HVRP Performance, Management, and Reporting requirements, until the grant is closed out. The amendment must contain a TM that includes the following:

- Signature by the Authorized Representative;
- Description of the basis for the termination;
- Effective date of the termination;
- Number of veterans actively enrolled in HVRP and the plan of action for referring participants to other service providers;
- Total Federal expenditures distributed to date of the TM and estimated amount remaining through the proposed effective date of the termination;
- Statement attesting that the organization will follow VETS' policies, directives, and Terms and Conditions of the grant agreement until the grant is officially closed out; and
- Disposition of any equipment with a unit cost of \$5,000 or more.

3. Changes to the Outcomes or Deliverables and/or Service Delivery Areas

Grant recipients must submit an amendment application if there are changes to the activities funded by the grant, intended beneficiaries of the project, or subrecipients (adding or removing) or other changes that change the statement of work (project narrative) and/or cumulative performance measures listed on the VETS-700 Planned Goals. This includes any changes to the Service Delivery Area(s) listed in the VETS-704 Abstract, which includes the primary state/territory, counties, tribal lands, congressional districts, and the Housing and Urban Development (HUD) Continuum of Care (CoC) served by your HVRP. VETS maintains a [map](#) that represents every HUD CoC served by an HVRP grant recipient and its planned enrollments.

B. Administrative Changes

An amendment application is required for administrative changes following Section V.B. of VPL 04-24. These changes require a TM describing the requested changes.

1. Changes to Key Personnel

In accordance with [2 C.F.R. § 200.308](#), changes to key personnel require prior approval. Key personnel for HVRP recipients include the authorized representative and Point of Contact (POC) who are named on the most recent Notice of Award (NoA).

The request must consist of a TM in the amendment application that:

- Is on organizational letterhead;
- Is signed by the current authorized representative or an individual in a higher position or ranking within the organization;
- Includes the name, title, phone number, and email address of the incoming authorized representative or POC; and
- Identifies the name and title of the individual who is being replaced.

A request to change the authorized representative should **not** be signed by the new/incoming authorized representative unless there is no higher authority within the organization or unless it is accompanied by a delegation of authority letter by the highest official within the organization. Exceptional circumstances like these should be discussed and cleared in advance with the GOTR and explained in the TM.

An SF-424 is not required as part of this type of amendment application. Requests for administrative changes may be included with other requested changes requiring an amendment application. Please refer to the Section II. of this Technical Assistance Guide (TAG) for the required documents and forms for all HVRP amendment applications.

2. Address Change & Organization/Institution Name Change

Any administrative changes requested, such as an address change or a change to the organization/institution name, must **be in effect within the System for Award Management (SAM) prior to the submission of an amendment in GS.**

The request must consist of a TM in the amendment that:

- Is on organizational letterhead;
- Is signed by the current authorized representative or an individual in a higher position or ranking within the organization; and
- Includes the former address and/or organization/institution name and identifies the new address and/or organization/institution name. **Note: This must match SAM.**

C. Budget Realignment

In accordance with [2 C.F.R. § 200.308\(f\)](#) and the grant Terms and Conditions, if the federal share of the project is over the Simplified Acquisition Threshold (SAT), the transfer of funds among direct cost categories or programs, functions, and activities is restricted such that if the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget, as last approved by the federal awarding agency, the award recipient must receive prior approval from the Grant Officer. VETS considers the *total budget period* for HVRP to be a program year (PY) within the PoP, which contains three PYs. VETS considers the *federal share of the project* to be the total amount of funding requested for the entire three-year PoP. Grant recipients with a total amount for their three-year PoP listed below the SAT (\$250,000 at the time this guidance was written, but the grant recipient is responsible for reviewing the Federal Acquisition Regulations (FAR) for changes) are not required to seek prior written approval for the movement of funds among cost categories, unless the change results in meeting one of the items listed in Section V of VPL 04-24 that requires an amendment.

Because grant recipients must provide GOTR notification when there is a movement of funds less than 10 percent for tracking purposes, it is recommended that the GOTR review any proposed changes to the grant recipient's budget prior to implementation to ensure they do not require an amendment. GOTRs may also keep their Regional Office leadership informed of any budget realignments of less than 10 percent and may add grant notes to GS for continual tracking. **Note:** Multiple incremental amendments can easily exceed 10 percent if not internally tracked; therefore, the grant recipient must provide notification in writing to ensure the 10 percent is not exceeded without proper Grant Officer approval.

Because VETS uses a three-year PoP that encompasses multiple budget periods, grant recipients may move money between cost categories to fully spend as much of the earlier PY's money as possible before moving on to the next year's funding. For example, if a grant recipient is fully expended on salaries and benefits but has unused funds in travel and supplies and most likely will not spend all those funds by the completion of the PoP, they may move those excess funds to salaries and/or benefits to use the funds on a first-in, first-out basis, in accordance with the terms and conditions of the grant. If the movement of funds among cost categories does not exceed 10 percent of the total amount of funds for the budget period, or the transfer of funds budgeted for participant support costs does not result in a transfer to other categories of expense, the grant recipient can work with the GOTR, and no amendment is needed. If the movement of funds among cost categories exceeds 10 percent for that budget period, an amendment application must be submitted in GS for Grant Officer approval.

D. Purchase of Equipment with a Unit Cost of \$5,000 or more

Being awarded an HVRP grant does not automatically mean that the equipment specified in the approved budget or statement of work is approved by the Grant Officer, see [2 C.F.R. § 2900.9](#). The grant recipient must submit an amendment application that includes a detailed list describing the planned purchases to the GOTR for review within 90 days from the beginning of the PoP for items with a unit cost of \$5,000 or more. Grant recipients are strongly encouraged to submit requests to purchase equipment as early as possible in the grant's PoP with as many planned pieces of equipment as possible. Approval by the Grant Officer via an amendment application must be obtained prior to purchase.

The request to purchase equipment must consist of a TM in the amendment that:

- Is on organizational letterhead;
- Is signed by the current authorized representative or an individual in a higher position or ranking within the organization;
- Contains a statement that the grant recipient will comply with the provisions of [2 C.F.R. § 200.313](#) regarding use, management requirements, and disposition; and
- Includes a list of the item(s) to be purchased, quantity, and the per unit costs.

VETS grant recipients may not purchase equipment during the last year of the PoP.

Section II: Amendment Forms and Documents

Please see the tables below outlining the required documents and forms for HVRP amendment applications and the proper GS Amendment Type Selection for HVRP amendment applications. Grant recipients may have several actions requiring the submission of an amendment application and should consult with their GOTR on the GrantSolutions amendment application type choice when multiple actions are requested in a single amendment application submission.

Amendment Type

Required Documents and Forms	Condition of Award (COA)	Budget Revision	Statement of Work Changes	Change in Key Personnel	Incremental Funding	Admin. Changes	Purchase of Equipment of \$5,000 or more	PoP Extension	Self-Termination
GrantSolutions Amendment Type Selection	DOL-Budget Realignment	DOL-Budget Realignment	DOL - Statement of Work Change	DOL - Change in Authorized Signature or POC	DOL - Incremental Funding	DOL - Statement of Work Change	DOL - Equipment Approval (Non-Monetary)	DOL - No Cost PoP Extension	DOL - Decrease PoP (Non-Monetary)
Transmittal Memo	√	√	√	√	√	√	√	√	√
SF-424	√*				√				
SF-424A Form	√*	√**	√**		√				
Budget Narrative	√*	√	√**		√				
Project Narrative	√*		√*		√*				
HVRP Award Amendments Change Request Form	√**	√**	√**		√**			√**	

*If affected

**If Information changed

A. The Transmittal Memorandum

- Grant recipients must complete a TM describing the requested changes within the amendment application (see Section I.). If addressing a COA, the TM must describe the condition(s) being addressed.
- The TM must be signed by the Authorized Representative, who is authorized to enter into this grant agreement with the Department of Labor (DOL).
- Grant recipients must address the TM to the Grant Officer through their GOTR.

B. Grant Amendment Forms and Documents

Grant recipients must revise and submit the following forms if the amendment application results in a change to the currently approved form or document:

- **SF-424 Application for Federal Assistance** with signature, reflecting the original start and end date (block 17a and b) of the PoP for the grant and indicating this is a “revision” if modifying the existing grant.
- **SF-424A Budget Information** showing four quarters of funding. The funding on the SF-424A must crosswalk and equal the funds requested on the SF-424, budget narrative, and must be entered in **whole dollar amounts**.
- **Budget Narrative** providing a description of costs associated with each line item on the SF-424A. The Budget Narrative total must equal the totals referenced on the SF-424 and SF-424A.

Grant recipients may optionally complete and submit in GS the Microsoft Excel-based HVRP Budget Narrative Template. The HVRP Budget Narrative Template is a user-friendly, fillable, Microsoft Excel-based document designed to calculate totals by PY. It provides fields for the grant recipient to input details for each object class category in accordance with the development of the Budget Narrative. HVRP grant recipients may use the HVRP Budget Narrative Template, located on the [HVRP Website](#) under Program Documents, or create and submit their own Budget Narrative in GS.

- **HVRP Award Amendments Change Request Form** only if the amendment requests to change the cumulative performance measure(s) and/or their Service Delivery Area (SDA) and meets the criteria in Section I. of this TAG.
- **Approved Negotiated Indirect Cost Rate Agreement (NICRA) or Cost Allocation Plan (CAP)**, if applicable. A NICRA or CAP is required when grant recipients are charging costs on the indirect cost line of the SF-424A, unless they declare to use the de minimis rate. **Note:** To use de minimis rate, the award recipient must not have a current negotiated (including provisional) rate.
 - An amendment application with a revised SF-424A, budget narrative, and the NICRA/CAP (approved by your Cognizant Federal Agency) is required when:
 - the updated, approved indirect cost rate is expected to result in moving more than 10 percent of the total grant award between cost categories; or

- the grant recipient incorporates a NICRA/CAP for the first time during the PoP.
- Updated NICRAs and CAPs (approved by a grant recipient's Cognizant Federal Agency) throughout the PoP must be uploaded in GS as a grant note; no amendment is required.
- **Project Narrative**, if applicable, for purposes of supporting a change to the statement of work.

Note: Please see the HVRP Award Amendment Forms and Documents Desk Guide located on the [HVRP Website](#) under Program Resources that contains detailed instructions for completing the required grant forms and documents.

Section III: Additional Considerations

The GOTR, VETS Regional Office leadership, VETS National Office staff, or the Grant Officer may request additional information or documentation from the grant recipient to assist in their review and meet the requirement in the Uniform Guidance, [2 C.F.R. § 200.308](#). **The grant recipient must not implement requested changes until they have received an approved amendment executed by the Grant Officer through the issuance of the Notice of Award (NOA) in GrantSolutions.**

It is the responsibility of the grant recipient to ensure they have an active SAM registration.

Following execution of the grant amendment, a copy of the NOA is issued in GrantSolutions to the **Authorized Representative** of the grant award and the GOTR. It is the Authorized Representative's responsibility to ensure all HVRP program and finance staff are aware that the amendment application has been approved and the approved changes can now be implemented.

Grant recipients are to contact their GOTR for technical assistance on this TAG.

Grant recipients and GOTRs having technical GS issues should contact the GS Helpdesk: help@grantsolutions.gov at (866) 577-0771 Monday – Friday, 8:00 a.m. to 6:00 p.m. ET.