

APPENDIX 1

GLOSSARY OF TERMS

Categorical Grant. *A grant, which is competitive in nature and for which limited funds are available. All FMCS grants are categorical.*

Contract. *A legal instrument reflecting a relationship between the Federal government and a State or local unit of government or other recipient; or between any two parties. The Federal government advocates the use of a contractual instrument whenever the relationship's principal purpose is the acquisition by purchase, lease, or barter of property or services for the direct benefit or use of the Federal government or a grantee; or whenever the Federal government or its grantee determines in a specific instance that the use of a contractual agreement is more appropriate to mutual purposes than is a grant or a cooperative agreement. Unless otherwise stated or enlarged, the policies and requirements applied in this manual to grants, grantors, and grantees also apply to contracts and the parties to a contractual agreement.*

Contractor. *A party to a contractual agreement.*

Cooperative Agreement. *A legal instrument reflecting a relationship between the Federal government and a unit of State or local government or other recipient, for purposes similar to those of a grant but in which substantial Federal involvement beyond the funding aspect is anticipated. Unless otherwise stated or enlarged, the policies and requirements applied in this manual to grants, grantors, and grantees also apply to cooperative agreements and their parties.*

Date of Completion. *The calendar date on which all programmatic work under a grant is completed; or the date shown on the grant's Notice of Award or a subsequent Grant Adjustment Notice as the final day in the grant's project period.*

Disallowed Cost. *Those charges to a grant, either anticipated or effected, that FMCS determines to be unacceptable or which are unallowable in accordance with Federal cost principles.*

Disbursements. *Payments made in accordance with the Debt Collection Improvement Act of 1996, all FMCS grantees receive funds via Electronic Funds Transfer (EFT).*

Grant. *A legal instrument reflecting a relationship the principal purpose of which is the transfer of money or property in lieu of money paid by the Federal government to a State or local unit of government or to another recognized recipient, in order to accomplish a public purpose of support or stimulation authorized by Federal statute. During performance of the contemplated activity no substantial involvement other than financial is anticipated between the executive agency acting for the Federal government and the grant recipient.*

Grantee. *The State, local government or other unit designated by FMCS as the prime recipient of grant funds.*

Grantor. *The Federal agency authorized by Congress to enter into agreements with units of State or local government or with other entities for the purpose of a grant.*

Indirect Costs. *Those costs incurred for a common or joint purpose benefiting more than one program or cost objective which are not readily assignable to the cost objectives or programs specifically benefited, without effort disproportionate to the results achieved. It is the policy of this program to reject all requests for indirect or overhead costs as well as "in-kind" match contributions.*

Local Government. *A local unit of government including a county, municipality, city, town, township, local public authority, school district, council of governments, sponsor group representative organization and other regional or interstate government entity, or any agency or instrumentality of a local government exclusive of institutions of higher education and hospitals.*

Match. *That portion so project or program costs not borne by the Federal Government. FMCS recipients must provide 10% cash match.*

Obligations. *The amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that requires payment by the recipient during the same of a future period.*

Prior Approval. *Prior written permission by FMCS. Any requests for such approval must be signed by an authorized official of the applicant or grantee organization.*

Program. *An overall grant activity specifically authorized by Congress.*

Project. A specifically identified individual activity within a grant program, which is supported in whole or in part by a grant, contract, or cooperative agreement.

Project Director. The individual designated by the grantee as the person responsible for the overall conduct, direction and supervision of the project.

Project Income. Net income generated by grant-supported activity or personnel. Under a FMCS grant you may not use for matching purposes.

Secondary Recipient. A unit of State or local government or another entity serving a grantee as either a subgrantee or a contractor or a subcontractor.

State. Any of the several States of the United States, the District of Columbia, the Commonwealth of Puerto Rico, any territory or possession of the United States, or any agency or instrumentality of a State exclusive of institutions of higher education and hospitals.

Subcontractor. A party to a contractual agreement, which is a part of another, usually larger, contract.

Subgrantee. A unit of State or local government or another entity to which the grantee, after receiving a grant award, grants in turn all or a portion of the funds.

Unacceptable Costs. Charges to a grant, either anticipated or effected, which FMCS determines to be disallowed because of agency funding policy.

Unliquidated Obligations. Financial reports prepared on a cash basis, means the amount of obligations incurred by the recipient that have not been paid. For reports prepared on an **accrued expenditure basis**, they represent the amount of obligations incurred by the recipient for which an outlay has not been recorded.

APPENDIX 2

CONTRACT PROVISIONS UNDER FMCS GRANTS

In addition to provisions defining a sound and complete procurement contract, any recipient of FMCS grant funds shall include the following contract provisions or conditions in all procurement contracts and subcontracts as required by the provision, Federal law, or the grantor agency.

- 1. Contracts other than small purchases shall contain provisions or conditions, which will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate.*
- 2. All contracts in excess of \$10,000 shall contain suitable provisions for termination by the grantee including the manner by which it will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.*
- 3. All contracts, including small purchases shall contain a provision requiring compliance with Executive Order 11246, entitled "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR Part 60).*
- 4. Where applicable, all contracts awarded by grantees and subgrantees in excess of \$2000 for construction contracts and in excess of \$2500 for other contracts which involve the employment of mechanics or laborers shall include a provision for compliance with Sections 102 and 107 of the Contract Work Hours and Safety Standards Act (40 USC 327-333) as supplemented by Department of Labor regulations (29 CFR Part 5).*
- 5. The contract shall include notice of grantor agency requirements and regulations pertaining to reporting and patent rights under any contract involving research, developmental, experimental, or demonstration work with respect to any discovery or invention which arises or is developed in the course of or under such contract, and of grantor agency regulations pertaining to copyrights and rights in data.*

6. *All negotiated contracts awarded by grantees shall include a provision to the effect that the grantee, the Federal grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the contractor which are directly pertinent to that specific contract, for the purpose of making audit, examination, excerpts, and transcriptions.*
7. *Grantees shall require contractors to maintain all required records for three years after grantees make final payments and all other pending matters are closed.*
8. *Contracts shall recognize mandatory standards and policies relating to energy efficiency, which are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (P.L. 94-163).*
9. *Purchases of paper and paper products in excess of \$10,000 must meet recovered materials purchasing requirements, which mandate the purchase of such items containing the highest percentage of recovered materials practicable. See Sections 2002(a) and 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976.*
10. *No contracts, including small purchases, shall be made with parties listed on the General Services Administration's list of Parties Excluded from Federal Procurement or non-Procurement Programs in accordance with Executive Order 12549.*

APPENDIX 3

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approved No. 3076-0006

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. DATE SUBMITTED April 1, XXXX	Applicant Identifier
			3. DATE RECEIVED BY STATE	State Application Identifier
			4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION				
Legal Name: Smith & King Construction Industry		Organizational Unit: Department: Education and Training		
Organizational DUNS: 98-765-4321		Division: Grants		
Address: Street: 123 Smith Street NW		Name and telephone number of person to be contacted on matters involving this application (give area code) Prefix: _____ First Name: Brandy		
City: King		Middle Name Alicia		
County: King County		Last Name Smith		
State: MD		Suffix:		
Zip Code 00123		Email: Bsmith@msn.com		
Country: USA		Phone Number (give area code) (101) 555-1212		Fax Number (give area code) (101) 555-1211
6. EMPLOYER IDENTIFICATION NUMBER (EIN): 1 2 - 3 4 5 6 7 8 9		7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify) Non-Profit		
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify)		9. NAME OF FEDERAL AGENCY: Federal Mediation and Conciliation Service		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): Labor Management Cooperation Program 3 4 - 0 0 2		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Improve Labor Relations and Training Skills of Employees and Employer through the new Labor Management Partnership Program		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.): King County		14. CONGRESSIONAL DISTRICTS OF: a. Applicant _____ b. Project 1st - 3rd		
13. PROPOSED PROJECT Start Date: 6/1/XXXX Ending Date: 11/30/XXXX		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. Yes <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E. O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
15. ESTIMATED FUNDING: a. Federal \$ 105,695. ⁰⁰ b. Applicant \$ 11,743. ⁰⁰ c. State \$. ⁰⁰ d. Local \$. ⁰⁰ e. Other \$. ⁰⁰ f. Program Income \$ 0. ⁰⁰ g. TOTAL \$ 117,438. ⁰⁰		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes" attach an explanation. <input checked="" type="checkbox"/> No		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.				
a. Authorized Representative Prefix _____ First Name Brandy/Carlos Middle Name _____ Last Name Smith/King Suffix _____				
b. Title Co-Chair/Co-Chair		c. Telephone Number (give area code) (101) 555-1212		
d. Signature of Authorized Representative <i>Brandy H. Smith / Carlos King</i>		e. Date Signed April 1, XXXX		

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(APPENDIX 3)

Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		Total (g)
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.		\$	\$	\$ 105,695	\$ 11,743	\$ 117,438
2.						
3.						
4.						
5.	Totals	\$	\$	\$ 105,695	\$ 11,743	\$ 117,438
SECTION B - BUDGET CATEGORIES						
Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY					
	(1)	(2)	(3)	(4)	(5)	Total (5)
a. Personnel	\$	\$	\$	\$	\$	\$ 67,632
b. Fringe Benefits						17,348
c. Travel						11,137
d. Equipment						4,170
e. Supplies						990
f. Contractual						10,000
g. Construction						0
h. Other						6,161
i. Total Direct Charges (sum of 6a-6h)						117,438
j. Indirect Charges						0
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	\$ 117,438
7. Program Income	\$	\$	\$	\$	\$	\$ 0

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APPENDIX 3

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL <i>Brandy Smith</i>	TITLE Co-Chair
APPLICANT ORGANIZATION Smith & King Construction Industry	DATE SUBMITTED April 1, XXXX

Standard Form 424B (Rev. 7-97) Back

APPENDIX 4

Labor - Management Grant Budget

a. **Personnel** (includes cost of living increase after 12 months; estimated in accordance with established policy @ 4% for coming year)

Executive Director	12 months @\$2,500/mo.	100%	30,000
	6 months @ 2,600/mo.	100%	15,600
Secretary	12 months @\$1,208/mo.	100%	14,496
	6 months @1,256/mo.	100%	<u>7,536</u>
			\$67,632

b. **Fringe Benefits**

Social Security @ 7.65%	5,174
Health Insurance @ 10%	6,763
Established applicant pension plan contribution @ 8%	<u>5,411</u>
	\$17,348

c. **Travel**

1 1 ½ -day round trip, Washington, DC, for progress review (Project Director and Accountant)	
Airfare @ \$500 RT x 1 trip x 2 travelers	\$1,000
Hotel @ \$200/day x 1 ½ days x 1 trip x 2 travelers	600
Per diem @ 50/day x 1 ½ days x 1 trip x 2 travelers	<u>150</u>
	\$1,750

1 3-day round trip to attend the National Labor-Management Conference
(Grantees may charge no more than 3 people to the grant)

Airfare @\$500 RT x 1 trip x 3 travelers	\$1,500
Hotel @ \$200/day x 3 days x 1 trip x 3 travelers	1,800
Per diem @ 50/day x 3 days x 1 trip x 3 travelers	450
Registration @\$450/person x 3 travelers	<u>1,350</u>
	\$6,675

Daily Office Travel

100 miles/week x 73 x \$.405/mile	2,957
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Off-Site Committee Retreat (LMC Committee)

Per diem @ \$50 day x 2 days x 10 members	1,000
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Mileage - 10 members (rides shared)

	<u>330</u>
	\$10,693

d. **Supplies**

Consumables (paper, pens, paper clips, etc.) @ \$25/person/month x 18 months	\$450
Postage @ \$30/month for 18 months	<u>\$540</u>
	\$990

e. **Equipment**

1 Executive desk	@ \$300	\$300
1 Secretarial desk	295	295
1 Executive chair	75	75
1 Secretarial chair	100	100
4 Side chairs	50	200
1 File cabinet	100	100
1 Desktop Computer	3,100	<u>3,100</u>
		\$4,170

f. **Contractual**

Consultant to assist with special training programs (950 day for 5 days) as discussed in text		\$4,750
Consultant (project evaluation) (\$300/day for 10 days)		\$3,000
Website Development @ \$150hr x 15		<u>2,250</u>
		\$ 10,000

g. **Other**

Space rental 400 sq. feet @ \$4 per square foot for 1.5 years		\$2,400
Phones, 1 line		
Installation @ \$50		50
Local use @ \$20/month, 18 months		360
Long distance @ \$25/month, 18 months		
Reproduction/printing--machine rental, paper, etc., for 18 months		450
Janitorial @ \$17/week, 73 weeks		1,500
Equipment maintenance 18 months		1,241
		<u>160</u>
		\$6,161

TOTAL PROJECT COST \$117,438

Total project cost \$117,438 x 10% match = 11,743; 117,438 - 11,743 = 105,695(federal)

Federal	105,695
Match (10 %)	<u>11,743</u>
Total	\$117,438

APPENDIX 5

CERTIFICATION REGARDING DRUG-FREE
WORKPLACE REQUIREMENTS

A. The grantee certifies that it will provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing a drug-free awareness program to inform employees about:
 - 1. The dangers of drug abuse in the workplace;
 - 2. The grantee's policy of maintaining a drug-free workplace;
 - 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - 1. Abide by the terms of the statement; and
 - 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (e) Notifying the agency within ten days after receiving notice under subparagraph (d) 2., from an employee or otherwise receiving actual notice of such conviction;
- (f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) w., with respect to any employee who is so convicted:
 - 1. Taking appropriate personnel action against such an employee, up to an including termination; or
 - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a) through (f).

B. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (street address, city, county, state and zip code):

Signature

Date

FEDERAL MEDIATION AND CONCILIATION SERVICE ACCOUNTING SYSTEM AND FINANCIAL CAPABILITY QUESTIONNAIRE

Application Identifier Number/Grant Award # _____

OMB APPROVED
No. 3076-0006
Exp: 04/30/2010

(Est. Burden: 60 Min., Address Appeals to FMCS 2100 K Street, NW, Wash, DC 20427)

SECTION A: PURPOSE

The financial responsibility of grantees must be such that the grantee can properly discharge the public trust which accompanies the authority to expend public funds. Adequate accounting systems should meet the following criteria as outlined in the FMCS guidelines manual entitled "Financial and Administrative Grants".

1. Accounting records should provide information needed to adequately identify the receipt of funds under each grant awarded and the expenditure of funds for each grant.
2. Entries in accounting records should refer to subsidiary records and/or documentation which support the entry and which can be readily located.
3. The accounting system should provide accurate and current financial reporting information.
4. The accounting system should be integrated with an adequate system of internal controls to safeguard the funds and assets covered, check the accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed management policies.

SECTION B: GENERAL

If your firm publishes a general information pamphlet setting forth the history, purpose and organizational structure of your business, please provide this office with a copy; otherwise, complete the following items:

When was the organization Founded/Incorporated? (mm/dd/yyyy) _____	Principal Officers _____	Titles _____
Employer Identification Number: _____	_____	_____
Number of Employees _____	_____	_____
Full Time: _____ Part Time: _____		
Is the firm affiliated with any other firm? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", provide details:	Total Sales/Revenue from most recent accounting period. (12 months) \$ _____	

SECTION C: ACCOUNTING SYSTEM

Has any Government Agency rendered an official written opinion concerning the adequacy of the accounting system for the collection, identification and allocation of costs under Federal contracts/grants? Yes No

If "Yes", provide name and address of Agency performing the review:

Attach a copy of the latest review and any subsequent correspondence, clearance documents, etc.

NOTE: If review occurred within the past three years, omit questions 2-9 of this Section and Section D.

Which of the following best describes the accounting system? Manual Automated Combination
Name of Automated System: _____

Does the organization use a double-entry system in accounting for program funds? Yes No Not Sure

Does the accounting system identify the receipt and expenditures of program funds separately for each contract/grant? Yes No Not Sure

Does the accounting system provide for the recording of expenditures for each grant/contract by the component project and budget cost categories shown in the approved budget? Yes No Not Sure

Are time distribution records maintained for an employee when his/her effort can be specifically identified to a particular cost objective? Yes No Not Sure

If the organization proposes an overhead rate, does the accounting system provide for the separation of direct and indirect expenses? Yes No Not Sure

Does the accounting/financial system include budgetary controls to preclude incurring obligations in excess of:
Total funds available for a grant? Yes No Not Sure

Total funds available for a budget cost category (e.g. Personnel, Travel)? Yes No Not Sure

Is the firm generally familiar with the existing regulations and guidelines containing the cost principles and procedures for the determination and allowance of costs in connection with Federal grants/contracts? Yes No Not Sure

SECTION D: FUND CONTROL

Is a separate bank account maintained for grant/contract funds? Yes No Not Sure
If Federal grant/contract funds are commingled with organization funds, can the Federal grant funds and related costs and expenses be readily identified? Yes No Not Sure
Are the officials of the firm bonded? Yes No Not Sure

SECTION E: FINANCIAL STATEMENTS

Did an independent certified public accountant (CPA) ever examine the financial statements? Yes No
If an independent CPA review was performed, please provide this office with a copy of their latest report and any management letters issued. Enclosed N/A
If an independent CPA was engaged to perform a review and no report was issued, please provide details and an explanation below:

If an independent CPA has never examined your financial statements, please develop and provide this office with a copy of the following financial statements:
A detailed "Balance Sheet" for the most current and previous year; and
A detailed "Income Statement" for the most current and previous year.

SECTION F: ADDITIONAL INFORMATION

Use this space for any additional information *(indicate section and item numbers if a continuation)*

SECTION G: APPLICANT CERTIFICATION

I certify that the above information is complete and correct to the best of my knowledge.

Signature	Firm Name, Address and Telephone Number
Title	

SECTION H: CPA CERTIFICATION

The purpose of the CPA Certification is to assure the Federal Agency that the recipient can establish fiscal controls and accounting procedures which assure that Federal and State/Local funds are available for the conduct of the grant programs and project funds are disbursed and accounted for properly.

Signature	Firm Name, Address and Telephone Number
Title	



Federal Mediation & Conciliation Service

Financial Status Report (LM-7)
(FMCS Online Version)

OMB Approval No. 3076-0006 Exp:

Grantee Area
[Help](#)

[Main](#) > Financial Status Report

Financial Status Report Form (LM-7)

5)	Final Report:	*	<input checked="" type="radio"/> Yes	<input checked="" type="radio"/> No
6)	Basis:	*	<input checked="" type="radio"/> Cash	<input checked="" type="radio"/> Accrual
8)	Period Covered:	*	10/1/2009	12/31/2009
9)	Transactions:		Cumulative	
9.a)	Total Outlays:	*	15000	
9.b)	Recipient Share of outlays:	*	1500	
9.c)	Federal Share of outlays:		13500	
9.d)	Total unliquidated obligations:	*	0	
9.e)	Recipient share of unliquidated obligations: (Grantee Match)	*	0	
9.f)	Federal Share of unliquidated obligations:		0	
9.g)	Total Federal Share:		13500	
9.h)	Total Federal funds authorized for this funding period:		0	
9.i)	Unobligated balance of Federal funds:		-13500	
Comments / Notes:				
Save and Preview Form		Clear Data		

• Required Fields

Grantee Area

[Help](#)

[Main](#) > Funds Request

Request for Advance or Reimbursement Form (LM-6)

1.a)	Request Type:	*	<input checked="" type="checkbox"/> Advance	<input checked="" type="checkbox"/> Reimbursement
1.b)			<input type="checkbox"/> Final	<input type="checkbox"/> Partial
7)	Period Covered:	*	11/1/2009	11/30/2009
9.a)	As of Date:	*	12/29/2009	
9.a)	Total Outlays to Date:	*	15000	
9.b)	Cumulative Income:	*	0	
9.c)	Net Outlays		15000	
9.d)	Est. Net Cash Outlays for This Period:	*	0	
9.e)	Total:		15000	
9.f)	Non-Federal Share:	*	1500	Match %: 10
9.g)	Federal Share:		13500	
9.h)	Previous Federal Payments Requested:		0	Available: 0
9.i)	Federal Share Now Requested:		13500	Total: 13500
Comments / Notes:				
Save and Preview Form		Clear Data		

* Required Fields

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APPENDIX 9

CERTIFICATION REGARDING LOBBYING REQUIREMENT

The undersigned (grantee) certifies that to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards exceeding \$100,000 at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Signature: _____ Date: _____

Grantee Organization: _____

Address: _____

City: _____ State: _____ Zip Code: _____

APPENDIX 10

APPENDIX 10 (Use in lieu of signing the SF424 form)

The Application for Federal Assistance (SF-424) form submitted by the labor-management committees must be signed by the committee chairperson(s) and must be signed by **authorized representatives of both labor and management**. In lieu of signing the SF424 form, representatives may type their name, title, and organization on plain bond paper with a signature line signed and dated in accordance with block 18 of the SF-424 form.

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/ PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVENING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSUARNCES IF THE ASSISTANCE IS AWARDED.

Name

Name

Title

Title

Signature of Authorized Representative

Signature of Authorized Representative

Dated Signed

Dated Signed

Telephone Number

Telephone Number

Grantee Area

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Quarter	Milestone	Due Date	Status	Comments
4Q 2009	<u>Select consultant , service champions, A-V equipment & HR RN data.</u>	10/30/2009	Incomplete	Yes
	<u>Determine baseline service scores for patients, employees & physicians.</u>	12/31/2009	Complete	
	<u>Consultants - inspire, motivate & layout program for champions.</u>	12/31/2009	Complete	
1Q 2010	<u>Champions - become a team with goals, objectives, and mission.</u>	3/29/2010	Complete	
	<u>Consultants provide champions with training, motivational exercises.</u>	3/29/2010	Complete	
2Q 2010	<u>Team champions train assigned departments.</u>	6/30/2010	Complete	
	<u>Provide reward and recognition.</u>	6/30/2010	Complete	
	<u>Evaluate L/M opinions for improvement.</u>	6/30/2010	Complete	
3Q 2010	<u>Training reinforced through ongoing team meetings and recognition programs.</u>	9/30/2010	Complete	
	<u>Refresher training and evaluation for champions. Evaluate L/M opinions for improvements.</u>	9/30/2010	Complete	
4Q 2010	<u>Evaluate program changes, deficiencies, suggest changes, additions & modifications.</u>	12/31/2010	Incomplete	
	<u>Survey employees, physicians and compare to baseline . Update RN HR data.</u>	12/31/2010	Incomplete	