



**FMCS**

FEDERAL MEDIATION &  
CONCILIATION SERVICE

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**FY2016 APPLICATION SOLICITATION**

**LABOR-MANAGEMENT COOPERATION**

**GRANT PROGRAM**

**CLOSING DATE: MAY 31, 2016**

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**FEDERAL MEDIATION CONCILIATION SERVICE  
LABOR-MANAGEMENT COOPERATION GRANT PROGRAM  
APPLICATION SOLICITATION FOR LABOR-MANAGEMENT COMMITTEES  
FY2016**

**INTRODUCTION**

The following is the Fiscal Year (FY) 2016 solicitation of the Labor-Management Cooperation GRANT Program established to support labor-management committees. It represents the continuing efforts of the Federal Mediation and Conciliation Service to implement the provisions of the Labor-Management Cooperation Act of 1978. The Act authorizes FMCS to provide assistance in the establishment and operation of plant, area, and industry-wide (see definitions) labor-management committees that:

- (A) have been organized jointly by employers and labor organizations representing employees in that plant, area, or industry; and
- (B) are established for the purpose of improving labor-management relationships, job security, organizational effectiveness, enhancing economic development or involving workers in decisions affecting their working lives, including improving communication with respect to subjects of mutual interest and concern.

The sections that follow, as well as a separately published FMCS Financial and Administrative Grants Manual, make up the basic guidelines, criteria, and program elements potential grantees must know in order to develop an application for funding consideration. The Labor-Management Cooperation

Act of 1978 ( 29 U.S.C. 175a) should be reviewed in conjunction with this solicitation.

### **Program Description**

#### **Objectives**

The stated Congressional purpose of The Labor-Management Cooperation Act of 1978 identifies the following seven areas for which financial assistance would be appropriate:

- (1) to improve communication between representatives of labor and management;
- (2) to provide workers and employers with opportunities to study and explore new and innovative joint approaches to achieving organizational effectiveness;
- (3) to assist workers and employers in solving problems of mutual concern not susceptible to resolution within the collective bargaining process;
- (4) to study and explore ways of eliminating potential problems which reduce the competitiveness and inhibit the economic development of the company/plant, area, or industry;
- (5) to enhance the involvement of workers in making decisions that affect their working lives;
- (6) to expand and improve working relationships between workers and managers; and
- (7) to encourage free collective bargaining by establishing continuing mechanisms for communication between employers and their employees through federal assistance in the formation and operation of labor-

management committees.

### **Definitions**

The term "labor" refers to employees represented by a labor organization and covered by a formal collective bargaining agreement. These committees may be found at the plant, area, or industry (levels.

A plant or company/institutional) committee is generally characterized as restricted to one or more organizational or productive units operated by a single employer as well as one or more labor unions representing employees.

An area committee is generally composed of corresponding multiple employers of diverse industries, vocations or professions, as well as multiple labor unions operating within and focusing upon a particular city, county, contiguous multicounty, or statewide jurisdiction.

An industry committee generally consists of a collection of organizations or enterprises and related labor union(s) offering a common product or service on a local, state, regional, or nationwide level.

In deciding whether an application is for an area or industry committee, consideration should be given to the above definitions as well as to the focus of the committee.

In FY2016, competition will be open to committees at any of the three levels mentioned above, although FMCS especially encourages applications from area-wide, industry or sectoral joint labor-management committees confronting specific, definable problems for which they have developed clear, innovative and measurable long-term solutions. All application budget requests should focus directly on supporting the committee. Applicants should avoid

seeking funds for activities that are clearly available under other federal programs (e.g., facilitation, mediation of contract disputes, etc.)

### **Eligibility**

Eligible grantees include labor-management committees (or a labor union, management association, or company on behalf of a committee that will be created through the grant), and certain third-party private non-profit entities on behalf of one or more committees to be created through the grant. **Federal government agencies and their employees are not eligible.**

Third-party private, non-profit entities that can document that a major purpose or function of their organization is the improvement of labor relations are eligible to apply. However, all funding must be directed to the functioning of a labor-management committee, and all requirements under the Required Program Elements section must be followed. Applications from third-party entities must document particularly strong support and participation from all labor and management parties with whom the applicant will be working. Applications from third-parties which do not directly support the operation of a new or expanded committee will not be deemed eligible, nor will applications signed by entities such as law firms or other third-parties failing to meet the above criteria.

Successful grantees will be bound by 2 CFR 200, including the provision that “contractors that develop or draft specifications, requirements, statements of work, and invitations for bids and/or requests for proposals shall be excluded (emphasis added) from competing for such procurements.

Applicants who received funding under this program in the last six (6) years for committee operations are not eligible to re-apply. The only exception

will be made for grantees that seek funds on behalf of an entirely different committee whose efforts are totally outside of the scope of the original grant.

### **Required Program Elements**

1. **Problem Statement** - The application should have numbered pages and discuss in detail what **specific problem(s)** face the plant, area, or industry and its workforce that will be addressed by the committee. Applicants must document the problem(s) using as much relevant data as possible and discuss the full range of impacts these problem(s) could have or are having on the company/plant, area, or industry. An industrial or economic profile of the area and workforce might prove useful in explaining the problem(s). This problem statement explains **WHY** the effort is needed.
2. **Results or Benefits Expected** - By using specific goals and objectives, the application must discuss in detail **WHAT** the labor-management committee will accomplish during the life of the grant. Applications that promise to provide objectives **after** a grant is awarded will receive little or no credit in this area. While a goal of "improving communication between employers and employees" may suffice as one overall goal of a project, the objectives must, whenever possible, be expressed in **specific and measurable** terms. Applicants should focus on the **outcome, impacts or changes** that the committee's efforts will have. Existing committees should focus on **expansion** efforts/results expected from FMCS funding. The goals, objectives, and projected impacts will become the foundation for future monitoring and evaluation efforts of the grantee, as well as the FMCS grants program.
3. **Approach** - This section of the application specifies **HOW** the goals and

objectives will be accomplished. At a minimum, the following elements must be included in all grant applications:

- (a) a discussion of the strategy the committee will employ to accomplish its goals and objectives;
  - (b) a listing, by name and title, of all existing or proposed members of the labor-management committee. The application should also offer a rationale for the selection of the committee members;
  - (c) a discussion of the number, type and role of all committee staff persons including proposed position descriptions for all staff that will have to be hired as well as resumes for staff already on board; an assurance that grant funds will not be used to pay for existing employees is also required;
  - (d) in addressing the proposed approach, applicants must also present their justification as to why **federal funds** are needed to implement the proposed approach;
  - (e) a statement of how often the committee will meet (we require meetings at least every other month) as well as any plans to form subordinate committees for particular purposes; and
  - (f) for applications from existing committees, a discussion of past efforts and accomplishments and how they would be integrated into the proposed expanded effort.
4. **Major Milestones** - This section must include an implementation plan that indicates what major steps, operating activities, and objectives will be accomplished as well as a timetable for **WHEN** they will be finished. A milestone chart must be included that indicates what specific accomplishments (process

and impact) will be completed by month over the life of the grant using “month one” as the start date. The accomplishment of these tasks and objectives, as well as problems and delays therein, will serve as the basis for quarterly progress reports to FMCS.

Applicants must prepare their budget narrative and milestone chart using a start date of “month one” and an end date of “month twelve” or “month eighteen”, as appropriate. Thus, if an applicant is seeking a twelve month grant, use figures reflecting month one through twelve. If applicant is seeking an eighteen month grant, use figures reflecting month one through eighteen. If the grant application is funded, FMCS will identify the start and end date of the grant on the Application for Federal Assistance (SF-424) form.

5. Evaluation - Applicants must provide for either an external evaluation or an internal assessment of the project's success in meeting its goals and objectives. An evaluation plan must be developed which briefly discusses what basic questions or issues the assessment will examine and what baseline data the committee staff already has or will gather for the assessment. This section should be written with the applicant's own goals and objectives clearly in mind and the impacts or changes expected as a result of the effort.
6. Letters of Commitment - Applications must include current letters of commitment from ALL proposed or existing committee participants and chairpersons. These letters should indicate that the participants support the application and will attend scheduled committee meetings. A blanket letter signed by a committee chairperson or other official on behalf of all members is not acceptable. We encourage the use of individual letters submitted on letterhead of the company or

union represented by the individual. The letters should match the names provided under Section 3(b).

7. Other Requirements - Applicants must also provide the following:

- (a) data indicating approximately how many employees will be covered or represented through the labor-management committee;
- (b) from existing committees, a copy of the existing staffing levels, a copy of the by-laws (if any), a breakout of annual operating costs and identification of all sources and levels of current financial support;
- (c) a detailed budget narrative that clearly identifies each line item and the estimated cost (a complete breakdown of each line item) based on policies and procedures contained in the FMCS Financial and Administrative Grants Manual;
- (d) an assurance that the activities of the labor-management committee will not conflict with the terms of any collective bargaining agreements (Appendix B, attached);
- (e) an assurance that committee meetings will be held at least every other month and that written minutes of all committee meetings will be prepared and made available to FMCS (Appendix D, attached); and
- (f) an assurance that the maximum rate for an individual consultant paid from grant project can be no more than \$950 for an eight-hour-day (Appendix C, attached). The day includes preparation, evaluation and travel time. Also, time and effort records must be maintained.

**Selection Criteria**

The following criteria will be used in the scoring and selection of

applications for award:

- (1) The extent to which the application has clearly identified the problems and justified the needs that the proposed project will address.
- (2) The degree to which appropriate and measurable goals and objectives have been developed to address the problems/needs of the applicant.
- (3) The feasibility of the approach proposed to attain the goals and objectives of the project and the perceived likelihood of accomplishing the intended project results.
- (4) The appropriateness of committee membership and their degree of commitment to the goals of the application as indicated in the letters of support.
- (5) The feasibility and thoroughness of the implementation plan in specifying major milestones and target dates.
- (6) The cost effectiveness and fiscal soundness of the application's budget request, as well as the application's feasibility in relation to its goals and approach.
- (7) The overall feasibility of the proposed project in light of all of the information presented for consideration; and
- (8) The value to the government of the application in light of the overall objectives of the Labor-Management Cooperation Act of 1978. This includes such factors as relevance of project to definable problems created by 21<sup>st</sup> century-economy and labor-market trends, innovation, breadth, impact, and sustainability.

## **Allocations**

The FY2016 appropriation for the Labor-Management Cooperation Grants Program will be **\$400,000**. The Grant Review Board will review submissions and make recommendations for awards based on merit.

## **Dollar Range and Length of Grants**

The solicitation for fiscal year 2016 will not specify range of awards based on type of committee. Grants will be awarded in amounts of up to \$400,000. The amount of the grant request should be based on the reasonable needs of your committee.

Awards will be for a period of up to 18 months. If successful progress is made during this initial budget period and all grant funds are not obligated within the specified period, these grants may, at the discretion of FMCS, be extended for up to six months.

Additionally, under special conditions FMCS may award supplemental (continuation) grants subject to funds availability. If awarded, the additional amount is added to the current grant amount.

Applicants are reminded that these figures **represent maximum federal funds only**. If total costs to accomplish the objectives of the application exceed the maximum allowable federal funding level and its required grantee match, applicants may supplement these funds through voluntary contributions from other sources. Applicants must consult with their local or regional FMCS field office to determine what kinds of training may be available at no cost before budgeting for such training in their applications. A list of Agency field leadership

and their phone numbers may be obtained from the FMCS web site ([www.fmcs.gov](http://www.fmcs.gov)) under Useful Links.

### **Cash Match Requirements and Cost Allowability**

All applicants must provide at **least 10 percent of the total allowable project costs in cash**. Matching funds may come from state or local government sources or private sector contributions, but may not include other federal funds. Funds generated by grant-supported efforts are considered "project income," and may not be used for matching purposes. "In-kind" match contributions are not counted.

It is the policy of this program to reject all requests for indirect or overhead costs. In addition, grant funds must not be used to replace private or local/state government funds currently spent for committee purposes. Funding requests from existing committees should focus entirely on the costs associated with the expansion efforts. Also, under no circumstances may business or labor officials participating on a labor-management committee be compensated out of grant funds for time spent at committee meetings or time spent in committee training sessions. Applicants will not be allowed to claim all or a portion of existing full-time staff as an expense or match contribution. For a more complete discussion of cost allowability, applicants are encouraged to consult the FY2016 FMCS Financial and Administrative Grants Manual, that can be obtained on the FMCS website ([www.FMCS.gov](http://www.FMCS.gov)) under Resources.

## **Application Submission and Review Process**

The Application for Federal Assistance (SF-424) form must be signed by both a labor and management representative. In lieu of signing the SF-424 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. The individual listed as contact person in block 6 on the application form will generally be the only person with whom FMCS will communicate during the application review process. Please be sure that person is available once the application has been submitted. Additionally, it is the applicant's responsibility to notify FMCS in writing of any changes (e.g. if the address or contact person has changed).

FMCS will accept applications beginning March 1, 2016, and continue to do so until May 31, 2016. Awards will be made no later than September 30, 2016. Once your application has been received and acknowledged by FMCS, no applications or supplementary materials will be accepted thereafter.

FMCS now requires applicants to apply through **Grants.gov**. The official solicitation can be found under funding opportunity number FMCS-2016 or CFDA number 34.002. If you are unable to complete your application on-line, FMCS will accept mailed applications. If mailing an application please provide a single-sided, original application which includes an SF-424 form and all the required program elements, addressed to the Federal Mediation and Conciliation Service, Labor-Management Grants Program, 2100 K Street, NW, Washington, DC 20427. Mailed applications must be post-marked on or before May 31, 2016. FMCS will not consider videotaped submissions or video attachments to

submissions. FMCS will confirm receipt of applications within 10 days thereof.

All eligible applications will be reviewed and scored by a Grant Review Board. The Board(s) will recommend selected applications for rejection or further funding consideration. The Director or his/her designee will finalize the scoring and selection process. All FY2016 grant applicants will be notified of results and all grant awards will be made by September 30, 2016. Applications that fail to adhere to eligibility or other major requirements will be administratively rejected.

## Contact

Individuals wishing to apply for funding under this program should review the Federal Mediation and Conciliation Service solicitation that can be obtained from the FMCS website ([www.FMCS.gov](http://www.FMCS.gov)) under Resources. Submissions of applications should first be attempted through **Grants.gov**. Information or clarification can be obtained by contacting the Federal Mediation and Conciliation Service, Labor-Management Grants Program, 2100 K Street, NW, Washington, D.C. 20427, Linda Gray-Broughton at (202) 606-8181 or ([lgbroughton@fmcs.gov](mailto:lgbroughton@fmcs.gov)).



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*Agency Use Only  
Applicant Number:*

**Appendix A**

**Labor-Management Cooperation Grant Program  
Applicant Checklist  
FY2016**

APPLICANT NAME

PROPOSAL TITLE, if applicable

AMOUNT REQUESTED

	YES	NO	
Are you eligible? See section on Eligibility (page 5)			
Category Identified (Area, Industry or Plant) – <b>Enter Type under – “Yes”</b>			
Application for Federal Assistance (SF-424)			
Registered: DUNS, SAM.GOV, GRANTS.GOV			
Project Start and End Dates			
Project Director/Primary Contact/Auth Rep			
Problem Statement, Proposed Project/Objectives, Expected Results and Benefits, Approach			
Milestones, Evaluation Plan Identified			
Detailed Budget			
Signed Certifications (Drug-Free & Lobbying)			
Resumes for principal participants			
Letters of Commitment from ALL L-M participants			
<i>Signed Assurances: See attached appendices</i>			
Collective Bargaining Assurance			
Consultant Fee Cap @ \$950/per day (Federal funds)			
Committee Meeting Minutes Assurance			
Listed: Members of Labor-Mgmt Committee			



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**Appendix B**

**COLLECTIVE BARGAINING AGREEMENT ASSURANCE  
FOR LABOR-MANAGEMENT COMMITTEE**

This Labor-Management Committee provides assurance that the committee will not engage in or interfere with any collective bargaining issues and/or activities as it pertains to this grant.

\_\_\_\_\_  
Name of Labor-Management Committee

**Management:**

**Labor:**

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



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**Appendix C**

**CONSULTANT FEE CAP ASSURANCE**

The Labor-Management Committee provides that the committee will pay a maximum rate for an individual consultant from FMCS grant project funds, of no more than \$950 for an eight-hour day. The day includes preparation, evaluation and travel time. Also time and effort records will be maintained. Any consultant fees above \$950 per eight-hour day will NOT be paid from FMCS grant funds.

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date



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## Appendix D

### COMMITTEE MEETING ASSURANCE

The Labor-Management Committee assures that committee meetings will be held at least every other month and that written or electronic minutes of all committee meetings will be prepared and forwarded to FMCS. The committee will submit to FMCS copies of all Labor-Management Committee meeting minutes along with a list of members present and members absent.

\_\_\_\_\_  
Name (Please print)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date