



# OSHA NOTICE

U.S. DEPARTMENT OF LABOR

Occupational Safety and Health Administration

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**DIRECTIVE NUMBER:** 04-01 (CSP 02)

**EFFECTIVE DATE:** 03/24/04

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**SUBJECT:** Federal Consultation Cooperative Agreement Application for FY 2005

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## ABSTRACT

- Purpose:** This Notice contains instructions and forms to assist Consultation Project Managers in Federal states and OSHA Regional staff in preparing the Federal Consultation Cooperative Agreement Application.
- Scope:** This Notice applies to all states operating Cooperative Agreements under Section 21 (d) of the OSH Act.
- References:** OSHA Instruction CSP 02-00-001 [TED 3.6], Consultation Policies and Procedures Manual and 29 Code of Federal Regulations (CFR) 1908, Cooperative Agreements.
- Expiration Date:** This Notice expires on December 31, 2004.
- State Impact:** States operating Cooperative Agreements under Section 21 (d) of the OSH Act are required to follow the instructions outlined in this Notice.
- Action Offices:** National, Regional and State Offices.
- Originating Office:** Directorate of Cooperative and State Programs.
- Contact:** Office of Small Business Assistance  
Frances Perkins Building, Room N3700  
200 Constitution Ave., NW  
Washington, DC 20210

By and Under the Authority of

John L. Henshaw  
Assistant Secretary

Abstract-1

## Executive Summary

This Notice contains instructions and forms to assist Consultation Project Managers in federal states and Regional staff in preparing the Federal Consultation Cooperative Agreement Application.

## Significant Changes

Outlined within this Notice are significant changes, including:

- A. States will not expend any Federal or matching state funds under this agreement towards programmatic efforts under the jurisdiction of and/ or funded by other Federal agencies, including those efforts related to safety and health, *See* Cooperative Agreement §34(p)-18.
- B. States receiving funding to provide training or to purchase equipment for safety and health under the jurisdiction of and/ or funded by another federal agency will ensure that Consultation Activity and related FTE's under this Agreement will continue to take priority, *See* Cooperative Agreement §35(p)-18.
- C. Agreements must include a Dun and Bradstreet Data Universal Numbering System (DUNS) number in order to be considered complete, without exception. There is no charge to obtain a DUNS number. The revised application for federal assistance (Form SF-424) includes space to enter DUNS number. A guide with instructions on obtaining a DUNS number and policy can be found at the Office of Management and Budget's (OMB) website: [http://www.whitehouse.gov/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/omb/grants/duns_num_guide.pdf).
- D. Initial 21(d) Consultation Program funding levels have been revised to reflect award levels for FY 2004 consistent with the congressional appropriation, *See* Appendix K. Funding level amounts entered in the Cooperative Agreement (Form OSHA 110), the Application for Federal Assistance (SF 424) and related worksheet(s) must be based on the final FY 2004 award levels.
- E. States are required to provide information on the number of sites that participate in Safety and Health Achievement Recognition Program (SHARP) and Pre-SHARP. Data for these cooperative programs will be collected, tracked and monitored by OSHA as part of the OSHA Strategic Management Plan. Consultation Project Managers are to discuss and/negotiate with the Regional Administrator's representative, anticipated increases in SHARP and Pre-SHARP participation rates, *See* Appendix E.
- F. Consultation Project Managers are to account separately, the proposed number of new and renewal SHARP sites; SHARP and Pre-SHARP data must be included in the Consultation Annual Project Plan (CAPP), *See* Appendix F.

- G. States agree to pay OSHA for mainframe processing services provided through the Integrated Management System (IMIS) based on quarterly bills. The fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year as necessary, *See* Cooperative Agreement §31 (p)-18.
- H. States who participate in OSHANet agree to adhere to all requirements for such participation, including hardware and software specifications, and pay OSHA for certain services provided, including telecommunication charges, an annual service fee for operation and maintenance costs, and annual user fees for remote access. For items billed quarterly, the fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year, as necessary. States participating in the OSHANet must have a signed Memorandum of Agreement on file, *See* Cooperative Agreement §§30, 32 (p)-18.
- I. States must obtain approval from the Directorate of Information Technology prior to expending federal or state matching funds for the purchase of any data processing/ computer equipment or software that will be used to connect, locally or remotely, to or provide information to OSHA, including internal peripherals in conjunction with the NCR equipment, servers, desktop or laptop computers and software linked to the OSHANet, desktop or laptop computers and software that will be used to access OSHA systems, *See* Cooperative Agreement §29 (p)-18.

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## Federal Consultation Cooperative Agreement Application for FY 2005

- I. Purpose. This Notice contains instructions and forms to assist Consultation Project Managers and Regional staff in preparing the Consultation Cooperative Agreement Application. See Appendix B for a checklist of the required documents of the Agreement application package.
- II. Scope. This Notice applies to all states operating Cooperative Agreements under Section 21(d) of the OSH Act.
- III. References. OSHA Instruction CSP 02-00-001 [TED 3.6], Consultation Policies and Procedures Manual and 29 Code of Federal Regulations (CFR) 1908, Cooperative Agreements.
- IV. Expiration Date. This Notice expires on December 31, 2004.
- V. Action Information
  - A. Responsible Office. Directorate of Cooperative and State Programs (DCSP), Office of Small Business Assistance (OSBA).
  - B. Action Offices.
    1. National Office.
      - a. The OSBA is responsible for the administration, review and discussion of all components and any deficiencies of the Cooperative Agreement application as outlined in this Notice.
      - b. The Directorate of Administrative Programs' Division of Grants Management is responsible for reviewing financial documents, allocating the appropriate awards in the Payment Management System and administering the financial aspects of the Cooperative Agreement.
    2. Regional Offices. Regional Administrator's are required to provide technical assistance and to negotiate the proposed activity levels with the Consultation Project Manager. Each Regional Consultation Officer should develop a timetable to discuss the Consultation Annual Project Plan (CAPP) with National Office personnel assigned to review the CAPP.
    3. States. Consultation Project Managers are responsible for the facilitation of discussions with the Regional Office regarding the content of the CAPP. Project Managers are also responsible for the completion and submission of the Consultation Agreement Application.

- VI. State Impact. Federal States operating Cooperative Agreements under Section 21 (d) of the OSH Act are required to follow the instructions outlined in this Notice.
- VII. Significant Changes.
- A. States will not expend any Federal or matching state funds under this agreement towards programmatic efforts under the jurisdiction of and/ or funded by other Federal agencies, including those efforts related to safety and health, *See* Cooperative Agreement §34(p)-18.
  - B. States receiving funding to provide training or purchase equipment for safety and health under the jurisdiction of and/ or funded by another federal agency will ensure that Consultation Activity and related FTE's under this Agreement will continue to take priority, *See* Cooperative Agreement §35(p)-18.
  - C. Agreements must include a Dun and Bradstreet Data Universal Numbering System (DUNS) number to be considered complete, without exception. There is no charge to obtain a DUNS number. The revised application for federal assistance (Form SF-424) will include space to enter DUNS number. Instructions on obtaining a DUNS number and policy can be found at the Office of Management and Budget's (OMB) website:  
[http://www.whitehouse.gov/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/omb/grants/duns_num_guide.pdf).
  - D. Initial 21(d) Consultation Program funding levels have been revised to reflect award levels for FY 2004 consistent with the Congressional appropriation, *See* Appendix K. Funding level amounts entered in the Cooperative Agreement (Form OSHA 110), the Application for Federal Assistance (SF 424) and related worksheet(s) must be based on the final FY 2004 award levels.
  - E. States are required to provide information on the number of sites that participate in Safety and Health Achievement Recognition Program (SHARP) and Pre-SHARP. Data for these cooperative programs will be collected, tracked and monitored by OSHA as part of the OSHA Strategic Management Plan. Consultation Project Managers are to discuss and/negotiate with the Regional Administrator's representative, anticipated increases in SHARP and Pre-SHARP participation rates, *See* Appendix E.
  - F. Consultation Project Managers are to account separately, the proposed number of new and renewal SHARP sites; SHARP and Pre-SHARP data must be included in the Consultation Annual Project Plan (CAPP), *See* Appendix F.
  - G. States agree to pay OSHA for mainframe processing services provided through the Integrated Management System (IMIS) based on quarterly bills. The fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year as necessary, *See* Cooperative Agreement §31 (p)-18.

- H. States who participate in OSHANet agree to adhere to all requirements for such participation, including hardware and software specifications, and pay OSHA for certain services provided, including telecommunication charges, an annual service fee for operation and maintenance costs, and annual user fees for remote access. For items billed quarterly, the fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year, as necessary. States participating in the OSHANet must have a signed Memorandum of Agreement on file, *See* Cooperative Agreement §§30, 32 (p)-18.
- I. States must obtain approval from the Directorate of Information Technology prior to expending federal or state matching funds for the purchase of any data processing/ computer equipment or software that will be used to connect, locally or remotely, to or provide information to OSHA, including internal peripherals in conjunction with the NCR equipment, servers, desktop or laptop computers and software linked to the OSHANet, desktop or laptop computers and software that will be used to access OSHA systems, *See* Cooperative Agreement §29 (p)-18.
- J. Areas of emphasis for FY 2005 are communicated in the OSHA Strategic Management Plan for 2003-2008 and are as follows:

Total Reduction in Fatalities	Total Reduction of Injury and Illness
1. Construction Reduction	1. Construction
2. General Industry Reduction	2. General Industry
	3. High incident/ high severity industries
	4. Amputation in Manufacturing and Construction
	5. Ergonomics
	6. Blood Lead Levels
	7. Silica-Related Disease

- K. Each Project is required to provide a narrative discussion on what activities they will undertake during the FY 2005, to market the Consultation Program. At a minimum the following areas should be discussed:
- Conference participation;
  - Speaking engagements;
  - Mailings;
  - Public service announcements;
  - Publications and/ or pamphlets for dissemination and;
  - Press releases.
- VIII. Deadlines for Submission and Approval. Office of Management and Budget (OMB) Circulars A-102 and A-110 require that Cooperative Agreement awards be made at least 10 days prior to the beginning of the Cooperative Agreement period. It is the



responsibility of the Regional Administrator to establish deadlines for CAPP submission, to facilitate National Office receipt of the Consultation Agreement on or before August 13, 2004. Final Cooperative Agreement approval letters are to be anticipated by September 17, 2004.

- IX. Funding Levels. All amounts entered in the Cooperative Agreement (Form OSHA 110), the Application for Federal Assistance (SF 424) and the related worksheet(s) must be based on the FY 2004 final base awards.
- X. Consultation Project Manager's Responsibilities. The Consultation Project Manager is responsible for the completion of the Consultation Agreement Application package and submission of two copies to the Regional Administrator and two copies with original signatures to the National Office on or before August 13, 2004. The copies to the National Office with original signatures should be forwarded to the attention of:

Arlene Williams  
U.S. Department of Labor  
Occupational Safety and Health Administration  
200 Constitution Avenue NW  
Room N-3419  
Washington, DC 20210

The Consultation Cooperative Agreement Application package consists of the following:

- A. Consultation Annual Project Plan (CAPP). The CAPP describes in detail how a Consultation Project's activities will support the OSHA Strategic Management Plan (S.M.P) during the forthcoming year.
1. The CAPP must address each area of emphasis in the S.M.P that the Project Manager in consultation with the Regional representative(s) will undertake, outlining both strategies and expected results.
  2. The CAPP must include: a) an organizational chart, b) staffing chart, c) a description of any changes in the Consultation Project's status, d) a detailed operational description identifying the year's strategies, activities and their intended outcome, e) a projected program activities chart, f) a description of strategy and targets for promoting Consultation and SHARP and g) a detailed description of any changes to a Project's Internal Quality Assurance program. *See Appendix B* for a checklist of required documents.
  3. The Consultation Project Manager should send a draft CAPP to the Region to facilitate a preliminary discussion, which should take place in the third quarter of this year. Further discussions or negotiations regarding the content of the CAPP must be managed to ensure consensus and submission of the CAPP on or before the designated deadline.

- B. Financial Documents. The Cooperative Agreement (Form OSHA-110) and the Application for Federal Assistance (SF-424 and SF-424A) must be prepared using the FY 2004 final base award level. Any change in FY 2005 funding for Consultation will be processed through a Cooperative Agreement amendment. Additionally, form SF-424 must include a Dun and Bradstreet Data Universal Numbering System (DUNS) number for the Agreement application to be considered complete.

The Application for Federal Financial Assistance is available at:

[http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)

Each Project Manager must submit two copies of the Cooperative Agreement application package with original signatures on both copies of: 1) the Cooperative Agreement, 2) Assurances and Certifications; Lobbying Certification and OSHA Restrictions and Conditions, and 3) the Application for Federal Financial Assistance. Accuracy of the financial documents is critical to the timely approval of the Cooperative Agreement. Applications containing significant deficiencies will not be approved. Any application, which is not in substantial accord with this Notice, will be returned for corrections.

1. Administrative Cap. OSHA will continue the current 25 percent ceiling restriction on administrative costs. This requires that no more than 25 percent of the total funding amount may be budgeted toward administrative costs. Any deviation from this restriction must receive prior approval from the Director of OSBA.
2. Salary Target. Each project must devote a minimum of 50 percent of the total funding amount toward consultant salaries and fringe benefits. Project Managers unable to meet this target must provide a written explanation of why they cannot meet this goal.
3. Computer Purchases. Projects must obtain approval from the Directorate Information Technology (DIT) prior to purchasing computers using 21(d) funds. Computers must conform to certain OSHA hardware and software specifications. It is the responsibility of the Consultation Project Manager to contact the Directorate of Information Technology (DIT) sixty or more days in advance of the purchase of new computer equipment for the latest specifications or search the consultation Limited Access Page for up-to-date specifications.
4. Minimum Staffing. At least four professional, full time equivalents (FTEs)—two full-time safety specialists and two full-time industrial hygienists or their equivalents—must be included in each Project's personnel plan. All of the Project's consultants must be employed at least 50% of their time in the Consultation Program and must spend at least

50% of their time engaged in consultation activity. Any deviation from this minimum must receive prior approval from the Director of OSBA.

5. OSHA Restrictions and Conditions. The State official with signature authority must sign the assurances and certifications, lobbying restrictions, and OSHA specific restrictions and conditions.

XI. Regional Administrator's Responsibilities. The Regional Administrator (RA) is responsible for conducting a joint review of the CAPP with the National Office. After the review is complete, the RA must transmit a memorandum containing an assessment of the Cooperative Agreement application to Paula O. White, Attn: E. Tyna Coles with a courtesy copy furnished to Arlene Williams.

In reviewing the application, the RA should pay particular attention to the following components:

A. Consultation Annual Project Plan (CAPP)

1. The RA should review the CAPP to ensure that the plan submitted by the Project Manager conforms to the previously agreed upon plan elements. The RA should be particularly sensitive to issues that have been discussed during the quarterly meetings and ensure that they are addressed satisfactorily.
2. The RA should encourage and support the Project Manager in the marketing of the Consultation Program by combining resources, where possible, to ensure that employers in the state are familiar with services provided by the Consultation Program.
3. The RA should include a statement of concurrence with the CAPP in the Region's cover memorandum.

B. Financial Documents

1. The RA should ensure that the Project has budgeted for the personnel requirements of two safety specialists and two industrial hygienists or four full-time professional positions and that all safety and health staff spend a minimum of 50 percent of their time working on consultation activities. A transmittal memorandum with detailed explanation(s) must be provided if the Project budget does not meet personnel and staffing requirements.
2. The RA should ensure that the appropriate State official has signed the Form OSHA 110, SF 424, assurances and certifications, lobbying restrictions, and OSHA specific restrictions and conditions.
3. The RA should include a statement of concurrence with financial documents in the Regions cover memorandum.

XII. National Office Responsibilities

- A. Directorate of Cooperative and State Programs. OSBA staff will review and discuss any deficiencies in each CAPP with the Regional Consultation Officer.
- B. Directorate of Administrative Programs (DAP). Financial Management staff will review and discuss any financial deficiencies, with Regional financial staff. Additionally, DAP will post funding award levels in the Payment Management System and administer the financial aspects of the Cooperative Agreement.

**APPENDIX A**  
**Cooperative Agreement for OSHA Consultation under Sections 21(c) and 21(d) of the**  
**Occupational Safety and Health Act of 1970**

Between the State/Commonwealth/Jurisdiction of \_\_\_\_\_ and  
the Occupational Safety and Health Administration (OSHA), United States Department of Labor.

**I. AUTHORITY AND PARTIES TO AGREEMENT.**

A. Pursuant to Sections 21(c) and 21(d) of the Occupational Safety and Health Act of 1970 (the Act), it is hereby agreed that the Assistant Secretary of Labor for Occupational Safety and Health (Assistant Secretary) and the \_\_\_\_\_ (the State)—which affirms that it has been authorized by the Governor to enter into this agreement with full power to perform the obligations hereunder and to receive and expend Federal funds as well as state funds as required herein—will execute all provisions of this agreement.

B. Nothing herein shall preclude the Assistant Secretary from exercising Federal responsibility and authority under the Act or preclude the State from exercising its responsibility and authority under state law when not in conflict with the Federal Act and the terms of this agreement.

**II. AGREEMENT TERMS.**

A. Either party may terminate this agreement upon 30 days notice to the other party.

B. It is agreed by both parties that substantive work and costs incurred under this agreement will be managed and scheduled in a manner to assure adequate program coverage and activity throughout the entire 12 month performance period, without the necessity of requesting a budget modification to increase the amount of Federal funds authorized.

C. This Agreement incorporates the following documents, which the State has agreed to submit.

1. Application for Federal Assistance (SF-424)
2. Budget Information--Non-Construction Programs (SF-424A)
3. Cooperative Agreement (Form OSHA-110)
4. Assurances and Certifications, Lobbying Restrictions, and OSHA Restrictions and Conditions
5. Approved Consultation Equipment Procurement Listing
6. Performance Projections
7. Annual Training Plan
8. Accompanied Visit Plan
9. Supporting Details of Anticipated Costs

D. Any and all substantive modifications to the conditions and terms stated in this agreement shall be reduced to writing as amendments, numbered and signed by both principal parties to this agreement.

### **III. PURPOSE AND SCOPE.**

A. The State shall provide consultation services, including training and education, whereby employers, particularly those with smaller businesses and with high hazard work places (as defined or approved by OSHA), receive assistance in:

- (1) Identifying any safety and health hazards in their workplaces,
- (2) Controlling or eliminating these hazards successfully,
- (3) Establishing or improving a workplace safety and health program,
- (4) Understanding all requirements of applicable Federal (or State) law and implementing regulations.

B. The statewide project operated under this agreement shall conform fully to the requirements in the Code of Federal Regulations (29 CFR 1908), all related formal directives issued by the Assistant Secretary and the appendices attached to this agreement.

### **IV. REIMBURSEMENT.**

The Assistant Secretary will reimburse the State one hundred percent (100%) of the allowable costs of all OSHA required or approved training and out-of-state travel. All other allowable training costs, and related travel and per diem, will be reimbursed at ninety percent (90%). All such training, travel and per diem must be directly related to the activity performed under this agreement.

### **V. ALLOCATION OF COSTS.**

The **Supporting Details of Anticipated Costs** that itemizes the costs by category (Consultation and Administration) and object class shall be submitted with the application (a sample outline is provided at Appendixes N and O of this Notice). The Supporting Details of Anticipated Costs should correspond to the information on the SF424-A. In order to ensure uniformity and comparability among agreement submissions, Consultation and Administration costs shall be determined and set forth as follows:

A. **Consultation.** Consultation costs consist of all direct costs associated with the immediate delivery of consultative services to employers and employees. Costs include but are not limited to: the salaries and fringe benefits of consultation staff engaged in the promotion, scheduling, visit preparation, hazard identification, program assistance, training and education, offsite assistance, report preparation, correction verification and similar authorized consultative activities; and related materials, supplies, equipment and

staff training. They also include the consultation portion of total computer costs (computer costs should be distributed between consultation and administration in the proportion to which computer services support each function). Consultation staff include safety consultants, health consultants, consultant trainees and consultant trainers who meet the minimum qualifications defined in 29 CFR 1908.8(b). Also included are costs of immediate first-level consultant supervisors, except those costs associated with accompanied visit activity.

Additionally, costs of direct clerical support to consultants and first-level consultant supervisors are charged to Consultation.

(1) **Personnel** costs shall include the salaries of positions identified in **Part A: Consultation** as safety consultant (S), safety consultant trainee (TS), safety supervisor (S/S), industrial hygiene consultant (H), industrial hygiene consultant trainee (TH), industrial hygiene supervisor (H/S) and direct clerical support (SEC) to these positions. For consultants and first-level consultant supervisors who also serve in a managerial capacity for the project, salary costs shall be distributed between Administration and Consultation in proportion to the percent of time spent in performing (1) program management and (2) consultant and/or (3) consultant supervisory activities. Salaries reflecting (a) consultant time should be listed separately from salaries reflecting (b) time providing first-level supervision to consultants and salaries of clerical staff that provide direct support to consultants and consultant supervisors.

(2) **Fringe Benefits** shall include the costs of benefits for personnel identified in **Part A: Consultation** as safety consultant (S), safety consultant trainee (TS), safety supervisor (S/S), industrial hygiene consultant (H), industrial hygiene consultant trainee (TH), industrial hygiene supervisor (H/S) and direct clerical support (SEC) to these positions. Costs include payments for retirement, social security, workers' compensation, life insurance, medical insurance, etc. Include the cost formula for each fringe benefit. For consultants and first-level consultant supervisors who also serve in a managerial capacity for the project, fringe benefit costs shall be distributed between Administration and Consultation in proportion to the percent of time spent in performing (1) program management and (2) consultant and/or (3) consultant supervisory activities. Fringe benefits reflecting (a) consultant time should be listed separately from fringe benefits reflecting (b) time providing first-level supervision to consultants and fringe benefits of clerical staff that provide direct support to consultants and consultant supervisors.

(3) **Certification Costs** For Consultants seeking professional certification in safety or health, a Project Manager may use Cooperative Agreement funds to pay for the costs associated with a professional certification examination preparation course including travel and per diem. Additionally, if needed, a Project Manager may use Cooperative Agreement funds to pay for the costs associated with applying for and taking a professional certification examination, including travel and per diem.

Project Managers may not use Cooperative Agreement funds to pay for costs associated with a second preparation course for Consultants who fail on their first attempt at a professional certification examination. However, a Project Manager may use Cooperative Agreement funds to pay for the travel and/or per diem related to taking the professional certification examination a second time, and **if needed**, costs associated with taking of the professional certification examination a second time.

For those Consultants who fail to pass a professional certification examination on their second attempt, **a Project Manager may not use Cooperative Agreement funds to pay for any additional costs related to that employee seeking that specific professional certification.**

**A Project Manager may not use Cooperative Agreement funds to pay for any costs associated with seeking professional certification for any certifying organization that is not accredited by a nationally recognized accrediting organization.** Additionally, Project Administrator's are **not authorized** to pay annual maintenance fees for maintaining professional certifications from Cooperative Agreement funds.

Project Managers must use 90/10 funds for employee preparation or certification, the Cooperative Agreement cannot pay for certification costs that exceed the percent of time for which that employee is dedicated to the Cooperative Agreement. For example, if a safety professional is dedicated at 0.5 FTE, then no more than 50% of the cost of the examination preparation or examination fees may be charged to the Cooperative Agreement.

**Contact Henry Payne at [payne.henry@dol.gov](mailto:payne.henry@dol.gov) with questions regarding certification.**

(4) *Travel* shall include the costs of authorized travel for personnel identified in **Part A: Consultation** as safety consultant (S), safety consultant trainee (TS), safety supervisor (S/S), industrial hygiene consultant (H), industrial hygiene consultant trainee (TH) and industrial hygiene supervisor (H/S). Costs shall include travel required to conduct promotional visits, onsite consultation visits and offsite assistance. Travel to attend professional development/training courses (e.g., OTI), regional and national consultation meetings must be charged to administration, except the costs of travel for participants to the Annual Consultation Conference. Intra-agency travel, such as that related to flexi-place programs, must have prior approval from the Regional Administrator. Appropriate supporting details for out- of -state travel (per Diem, airfare, registration fees, miscellaneous, etc.) must be reported in the Annual Training Plan. Deviations from this plan involving out- of -state travel to courses and/or locations other than those proposed must be approved in writing by the Regional Administrator prior to the actual travel. Travel for the purpose of performing accompanied visits shall be charged to Administration.



Attendance at professional development conferences such as American Industrial Hygiene Association (AIHA), Voluntary Protection Program Participants Association (VPPPA), American Society of Safety Engineers (ASSE), and National Safety Council (NSC) are not considered OSHA-required training and therefore may not be funded with 100% federal funds. A Project Manager may use Cooperative Agreement funds to provide an opportunity for each professional safety or health employee to attend a professional development conference of three to five days' duration generally once every two years. However, the percentage of Cooperative Agreement funds used to pay for the individual's attendance at such a conference may not exceed the percentage of time for which that employee is dedicated to the cooperative agreement. For example, if a safety professional is dedicated at 0.5 FTE, then no more than 50% of the cost of attending the conference may be charged to the Cooperative Agreement.

Costs associated with attendance and travel to professional development conferences of individuals in positions that are not funded by the Cooperative Agreement may not be allocated to the Cooperative Agreement.

Finally, attendance at the Annual Consultation Conference is required for all Project Managers, and to the extent funds are available for safety or health supervisors and senior consultants. The conference is considered required federal travel and therefore may be funded 100% with federal funds. State officials, designees or other individual's dedicated to the cooperative agreement may attend the Annual Consultation Conference. However, the percentage of Cooperative Agreement funds used to pay for the individual's attendance at such a conference may not exceed the percentage of time for which that employee is dedicated to the cooperative agreement. For example, if a safety professional is dedicated at 0.5 FTE, then no more than 50% of the cost of attending the conference may be charged to the Cooperative Agreement.

(5) **Equipment** shall include the costs of consultation technical equipment having a useful life of more than one year and a unit acquisition cost of \$5,000 or more, except as defined in Special Provisions VI. B. All equipment so defined shall be listed in the Approved Consultation Equipment Procurement Listing.

(6) **Supplies** shall include the costs of all tangible consultation technical property and materials other than equipment as defined above. Please itemize and describe all supply costs.

(7) **Contracts** shall include the costs of contracts with all sources, whether non-state government, state government or private sources, for the provision of services associated with consultant field activities (e.g., occupational health consultation, laboratory sample analysis in states having a Plan approved under Section 18 of the Act, and consultant health monitoring and medical examinations). The detail for laboratory sample analysis costs shall include the number of samples projected for the fiscal year.

(8) **Other** shall include the costs of equipment calibration and repair services for equipment which cannot be serviced by the OSHA Cincinnati Laboratory (list all equipment), non-travel costs of required or approved training for consultants (limited to tuition fees, registration fees, textbooks, course materials, etc.) and costs of all other miscellaneous consultative items which are not allocated above. Miscellaneous costs include but are not limited to: the proportion of rent, utilities, communications, data processing, postage, freight, etc. associated with the delivery of consultative services by consultation staff; subscriptions to safety and health journals; and training aids, instructional programs and promotional materials which are used by consultants to perform consultation activities.

(9) **Total Direct Charges** shall consist of the total of the above costs (Items 1 through 8) for Consultation.

B. **Administration.** Administrative costs consist of all direct costs associated with the management and support of the consultation program and all indirect costs. These costs include but are not limited to: the salaries and fringe benefits of personnel engaged in executive, fiscal, data collection, personnel, legal, audit, procurement, data processing, communications, maintenance and similar functions; and related materials, supplies, equipment and staff training. They also include the administration portion of total computer costs. (Computer costs should be distributed between consultation and administration in the proportion to which computer services support each function.) Additional administrative costs extend to the salaries and fringe benefits of direct program management positions such as project directors, program monitors and program review officers; and costs of direct clerical support to these positions.

(1) **Personnel** shall include the salaries of positions identified in **Part B: Administration** as management (MGT) and direct clerical support (SEC) to these positions. For management personnel who also serve as consultants and/or consultant supervisors, salary costs must be distributed between Administration and Consultation in proportion to the percentage of time spent in performing (1) program management, (2) consultant duties, and/or (3) supervision of consultants.

(2) **Fringe Benefits** shall include the costs of benefits for personnel identified in **Part B: Administration** as management (MGT) and direct clerical support (SEC) to these positions. Costs include payments for retirement, social security, workers' compensation, life insurance, medical insurance, etc. Include the cost formula for each fringe benefit. For management personnel who also serve as consultants and/or first-level consultant supervisors, fringe benefit costs shall be distributed between Administration and Consultation in proportion to the percentage of time spent in performing (1) program management, (2) consultant duties, and/or (3) supervision of consultants.

(3) **Certification Costs** For Project Managers seeking professional certification in safety or health, Cooperative Agreement funds may be used to pay for the costs associated with a professional certification examination preparation course approved by the employee's supervisor, including travel and per diem.

Additionally, if needed, Cooperative Agreement funds may be used to pay for the costs associated with applying for and taking a professional certification examination, including travel and per diem.

Cooperative Agreement funds may not be used to pay for costs associated with a second preparation course for those Managers who fail on their first attempt at a professional certification examination. However, Cooperative Agreement funds may be used to pay for the travel and/ or per diem related to taking the professional certification a second time, and **if needed**, costs associated with taking of the professional certification examination a second time.

For those Managers who fail to pass a professional certification examination on their second attempt, **Cooperative Agreement funds may not be used to pay for any additional costs related to that employee seeking that specific professional certification.**

**Cooperative Agreement funds may not be used to pay for any costs associated with seeking professional certification for any certifying organization that is not accredited by a nationally recognized accrediting organization.** Additionally, Project Administrator's are **not authorized** to pay annual maintenance fees for maintaining professional certifications.

Projects must use 90/10 funds for Managerial preparation or certification, the Cooperative Agreement cannot pay for certification costs that exceed the percent of time for which that Manager is dedicated to the Cooperative Agreement. For example, if a Manager is dedicated at 0.5 FTE, then no more than 50% of the cost of the examination preparation or examination fees may be charged to the Cooperative Agreement.

**Contact Henry Payne at [payne.henry@dol.gov](mailto:payne.henry@dol.gov) with questions regarding certification.**

(4) **Travel** shall include the costs of authorized travel for personnel identified in **Part B: Administration** as management (MGT) personnel and for all personnel conducting accompanied visits. Costs shall include travel required to attend safety and health conferences (subject to the restrictions in **V.A.4**, above), regional and national consultation meetings and professional development/training courses. Appropriate supporting details for out- of -state travel (per diem, airfare, registration fees, miscellaneous, etc.) shall be reported in the Annual Training Plan. Deviations from this plan involving out- of -state travel to courses and/or locations other than those proposed must be approved in writing by the Regional Administrator prior to the actual travel.

(5) **Equipment** shall include the costs of office equipment and machinery having a useful life of more than one year and a unit acquisition cost of \$5,000 or more, except as defined in the Special Provisions VI.B. All equipment so defined shall be listed in the Approved Consultation Equipment Procurement Listing.

(6) **Supplies** shall include the costs of all tangible office property and desk-top materials other than equipment as defined in this section. List supply costs by major category.

(7) **Contracts** shall include the costs of contracts with all sources, whether non-state government, state government or private, for the provision of administrative support services (e.g., service contracts for maintenance of office equipment, leasing of photocopiers, fiscal services, etc.).

(8) **Other** shall include non-travel costs of required or approved training for management personnel (limited to tuition fees, registration fees, textbooks, course materials, etc.) and costs of all other miscellaneous administrative items that are not allocated above. These costs include but are not limited to: the proportion of rent, utilities, communications, data processing, postage, freight, etc. associated with the management of the consultation program by administrative staff.

(9) **Total Direct Charges** shall consist of the total of the above costs (Items 1. through 8.) for Administration.

## VI. **SPECIAL PROVISIONS.**

A. A listing of approved positions is contained in **Appendix D: Staffing Chart** for this Agreement. Key personnel include the project manager, supervisors, and consultants. Any changes in these positions must be approved by the Regional Administrator.

B. Microcomputer equipment (hardware and software), regardless of unit cost, requires prior written approval of OSBA and must be listed in the **Approved Consultation Equipment Procurement Listing in Appendix H.**

C. Unless a State has made special provisions for such, substantive programmatic work may not be transferred to another agency (sub-recipient) under this agreement.

D. The laboratory designated by OSHA to provide analysis of samples for all projects shall be:

WISCONSIN OCCUPATIONAL HEALTH LABORATORY  
2601 Agriculture Drive  
Madison, Wisconsin 53718  
Telephone: (608) 224-6210  
Fax: 608) 224-6213  
Contact: Mr. Terry Burk

E. The federal cost principles applicable to this project are:

1. *Cost Principles for State and Local Governments*  
(OMB Circular A-87)

2. *Cost Principles for Educational Institutions*  
(OMB Circular A-21)

F. Financial reporting forms required of all projects and their frequencies of submission are:

1. **Department of Health and Human Services - Payment Management System Federal Cash Transactions Report (PSC 272, PSC 272A through E)** is due in the Regional Office 30 days after the end of each federal fiscal quarter. Recipients are to submit two signed copies of the report.

2. **Financial Status Report (SF-269)** is due in the Regional Office 30 days after the end of each federal fiscal quarter. Recipients are to submit two signed originals of the report.

- (a) **Quarterly Reporting.** Recipients which have accounting systems that prohibit them from meeting the Office of Management and Budget (OMB) requirements on the submission of financial reports, as outlined in this section, must have written approval from the Regional Administrator to establish an alternative schedule for submission of financial reports. The approved state specific schedule must also be submitted to the National Office for inclusion in the official file.

- (b) **Close-out Reporting.** All agreements must be closed 90 days after the end of the performance period (generally December 31). A copy of the Financial Status Report must accompany the recipient's close-out documents.

- (c) **Close-out Extensions.** Recipients unable to close out by December 31 are required to request a close-out extension in writing by December 1, providing an explanation of why they cannot close-out in a timely manner. An interim (preliminary) Financial Status Report (covering October - December) is due in the Regional Office on January 31, even when a close-out extension has been approved. All requests for close-out extensions must be transmitted to the National Office for inclusion in the official file, and any extensions beyond February 28 must be approved by the National Office.

3. **Cooperative Agreement (Form OSHA-110)** must accompany the Application for Federal Assistance (SF-424). This is the only time this form is completed.

4. **Cooperative Agreement Amendment (Form OSHA-113)** may be required to amend the Cooperative Agreement, as a result of congressional action.

5. *Other* performance reports and copies of forms that may be required for program management purposes will be distributed as necessary.

G. Unless different instructions are provided by the Director of DCSP or through the OSHA Directives system, all reports required under this agreement and all requests for agreement modification, shall be delivered (or mailed) to the Regional Administrator.

H. It is agreed that OSHA may unilaterally modify this agreement whenever necessary to conform to new regulations, new applications, or official interpretations of Department of Labor or Office of Management and Budget regulations.

## VII. ADDITIONAL SPECIAL PROVISIONS.

The following special provisions are added to this agreement:

A. Approval of this agreement is contingent upon Congressional action on the Department of Labor's appropriation for FY 2005.

B. It is hereby certified by the State that matching state funds are or will be available during the tenure of this agreement.

C. In no case shall the State be liable for more than ten (10) percent of actual expenditures (exclusive of one hundred percent [100%] Federal funds) under this agreement.

D. Where appropriate, restrictions to the agreement may be added by the Assistant Secretary to ensure that the recipient fully complies with specific terms and conditions of the Cooperative Agreement, Department of Labor administrative requirements set forth at 29 CFR Parts 95 and 97 (Institutions of Higher Education), or provisions set forth in 29 CFR 1908. When an Agreement is approved subject to the inclusion of one or more restrictions, it is hereby understood by the recipient that such approval is granted contingent upon meeting the conditions specified within the prescribed timeframe.

E. Recipients shall prepare their agreement packages for the maximum amount they can match within the authorized amount. If a recipient is unable to match the authorized award, the award amount will be reduced to reflect the amount the recipient is able to match. **These reductions will carry-over into subsequent years.** Additionally, cost-of-living increases will be based on executed award amounts not proposed funding levels.

### **OPTIONAL INSERT (S) TO THE COOPERATIVE AGREEMENT**

Below are formats for "Additional Special Provisions" which, if appropriate, would be inserted in the Agreement following §VII.E.

I. Provisions below pertain to Items VI.C -D of the Agreement:

Substantive programmatic work is being transferred to another agency (sub-recipient) under this Agreement, as follows:

1. Scope of transfer:
2. Agency name:
3. Address:
4. Telephone number: ( )
5. Contact person:

II. Provisions below pertain to §V.A(4), B(4) of the Agreement:

Allowable travel costs and per Diem expenses related to travel, but not salaries or other costs, for \_\_\_\_\_ will be reimbursed to the State under the terms of this Agreement when the following conditions are met:

1. The travel is intended for the purposes of properly administering the agreement or furthering consultation operations.
2. The travel was approved in the initial agreement or received the prior *written* approval of the Regional Administrator.

III. For some States, the following provision applies (insert "Safety" or "Health" as appropriate):

This Agreement covers consultation for \_\_\_\_\_ only; a separate agreement between OSHA and the state will cover \_\_\_\_\_.

## **Assurances and Certifications Non-Construction Programs**

Note: Certain of these assurances may not be applicable to your project. If you have questions, please contact the awarding agency. Some Federal awarding agencies may require applicants to certify to additional assurances. If this is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of the Office Personnel Management's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352), which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L.92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C § 3601 et seq.), as amended, relating to



nondiscrimination in the sale, rental or financing of housing; (i) Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) and section 188 of the Workforce Investment Act of 1998 (P.L. 105-220), as it relates to the prohibition against national origin discrimination for persons with limited English proficiency (pursuant to Executive Order 13166 issued August 11, 2000); (j) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (k) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply with Executive orders 12876, 12900, 12928, and 13021 by strongly encouraging contractors to provide subcontracting opportunities to Historically Black Colleges and Universities, Hispanic Serving Institutions, and Tribal Colleges and Universities.

8. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646), which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

9. Will comply with the provisions of the Hatch Act (5 U.S.C. §§ 1501-1508 and 7324-7328), which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

10. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§ 276a to 276a7), 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 sub-agreements.

11. 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.

12. 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 flood plains 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 (Clear Air) Implementation Plans under Section 176(c) of the Clear 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).

13. 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.
14. 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.).
15. 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.
16. 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.
17. Will comply with the Lead-Base 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.
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, P.L. 98-502, and the Single Audit Act Amendments of 1996, P.L. 104-156.
19. Will comply with all applicable requirements of all other Federal laws, executive accordance, regulations and policies governing this program.
20. In accordance with Section 516 of the 1989 Department of Labor Appropriation Act, the grantee agrees that when issuing statements, press releases, requests for proposals, bid solicitations or other documents describing the grant project or program the grantee shall clearly state (1) the percentage of the total costs of the program or project which will be or is being financed with Federal money; and (2) the dollar amount of Federal funds for the project or program.
21. In accordance with the Drug-Free Workplace Act of 1988, 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)(2), with respect to any employee who is so convicted--
- (1) Taking appropriate personnel action against such an employee, up to and 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), (b), (c), (d), (e) and (f).

### **Lobbying Certification**

22. The undersigned certifies, to the best of his or her knowledge and belief, that:
- (a) 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 an employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal award, 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 award, grant, loan, or cooperative agreement.
  - (b) 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 Congress, or an employee of a Member of Congress in connection with this Federal grant, the undersigned shall

complete and submit Standard Form-LLL, "Disclosure of Lobbying Activity," in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants) and that all sub-recipients 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 this transaction imposed by section 1352, title 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 failure.

Section 18. Of the "Lobbying Disclosure Act of 1995", signed by the President on December 19, 1995, requires that any organization described in section 501(c)(4) of the Internal Revenue Code of 1986 which engages in lobbying activities shall not be eligible for the receipt of Federal funds constituting an award, grant or loan.

- 1) This is to certify that we are\_\_\_\_\_/are not\_\_\_\_\_ an IRS 501(c)(4) entity.
- 2) As an IRS (501(c)(4) entity, we have\_\_\_\_\_/have not\_\_\_\_\_ engaged in lobbying activities.

## OSHA Restrictions and Conditions

As the duly authorized representative of the applicant I certify that the applicant:

1. Takes responsibility for encouraging employers to request consultative assistance and shall publicize the availability of its consultative service and the scope of the service that will be provided.
2. Explains to employers that the employer receiving consultation services remains under statutory obligation to provide safe and healthful working conditions to their employees.
3. Explains to employers that no referrals will be made to enforcement unless the employer fails to eliminate a serious hazard identified by a consultant.
4. Explains to the employer the requirements for participation in the Safety and Health Achievement Recognition Program (SHARP).
5. Explains to employers requirements for attainment of Pre-SHARP status.
6. Assigns priority in scheduling to requests from businesses with the most hazardous operations, with primary attention to smaller businesses. Preference is given to the smaller businesses that are in higher hazard industries or that have the most hazardous conditions at issue in the request.
7. Prepares appropriately for visits including making the appropriate provisions for the personal safety and health of the consultant(s) conducting the visit or activity.
8. Conducts a hazard survey consisting of an opening conference, an examination of those aspects of the employer's safety and health program that relate to the scope of the visit, a walk through the workplace, and a closing conference.
9. Retains the right to confer with employees during an onsite visit.
10. During the opening conference, explains the relationship between consultation and enforcement and also explains the employer's obligation to protect employees if certain hazardous conditions are identified.
11. Focuses onsite activity primarily on those areas, conditions, or hazards within the requested scope of the visit.
12. During onsite activity, advises the employer of the employer's obligations and responsibilities under applicable Federal or State law and implementing regulations.
13. When identifying hazards, indicates to the employer, using the consultant's best judgment, whether the situation would be classified as a "serious" or "other-than-serious" hazard.

14. Informs the employer that the employer is obligated to take immediate action to eliminate employee exposure to a hazard that, in the best judgment of the consultant, poses an imminent danger.
15. Establishes a time frame for the correction of each hazard identified during onsite activity, and provides the employer with a "List of Hazards", and advises the employer to post the "List" until the hazard is corrected or three days, whichever is longer.
16. Informs the employer that the employer's failure to correct or eliminate an identified hazard within the established time frame (or extension of the timeframe) results in immediate notification of the appropriate OSHA enforcement authority.
17. Prepares and sends to the employer a written report containing substantive findings or recommendations.
18. Preserves the confidentiality of information pertaining to trade secrets that may have been obtained during an onsite visit.
19. Conducts consultative activity independently of any OSHA enforcement activity.
20. Does not provide to OSHA the identity of, or files pertaining to, employers requesting consultation services for any compliance inspection or scheduling activity, except in cases where the employer has failed to eliminate an imminent danger, failed to correct or eliminate a serious hazard, or the employer has elected to participate in SHARP or a cooperative program that permits a deferral from enforcement inspections.
21. Assures that onsite consultation visits already in progress have priority over OSHA compliance inspections except in the case of imminent dangers, fatality/catastrophe investigations, complaint investigations, or other investigations deemed critical by the Assistant Secretary.
22. Terminates onsite visits for imminent dangers, fatality/catastrophe investigations, complaint investigations, or other investigations deemed critical by the Assistant Secretary.
23. Does not conduct onsite consultation visits while OSHA enforcement inspections are in progress. Onsite consultation shall only take place with regard to those citation items, which have become final orders.
24. Explains to the employer that requirements pertaining to "serious" hazards apply equally to "other-than-serious" hazards for participation in the SHARP.
25. Uses consultants who are employees of the State and are qualified under State requirements for employment in the field of occupational safety and health.
26. Applies minimum requirements for consultants that include the ability to recognize hazards and assess employee exposure and risk, knowledge of OSHA standards,

- knowledge of hazard correction techniques and practices, knowledge of workplace safety and health program requirements, skill in effective written and oral communication, and any additional degrees or experience required by the Assistant Secretary.
27. Maintains an organized system for monitoring the performance of consultants.
  28. Submits narrative reports and compiles and submits data such as IMIS that is needed for monitoring and evaluation purposes, as required, to the Regional Administrator.
  29. Agrees to obtain approval from the Directorate of Information Technology prior to expending federal or state matching funds for the purchase of any data processing/ computer equipment or software that will be used to connect locally or remotely to or provide information to OSHA, including internal peripherals in conjunction with the NCR equipment, servers, desktop or laptop computers and software linked to the OSHANet, desktop or laptop computers and software used to access OSHA systems.
  30. Agrees to have a signed Memorandum of Agreement on file and adhere to all requirements, including hardware and software specifications, for participation in OSHANet.
  31. Agrees to pay OSHA for mainframe processing services provided through the Integrated Management Information System (IMIS) based on quarterly bills. The fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year, as necessary.
  32. Agrees to pay OSHA for certain services provided, including telecommunication charges, an annual service fee for operation and maintenance costs, and annual user fees for remote access. For items billed quarterly, the fourth quarter payment will be based on an estimated bill. All bills must be paid upon receipt but no later than September 15<sup>th</sup>. Any adjustments between actuals and estimates will be made in the first quarter of the following fiscal year, as necessary.
  33. Will not expend any 21(d) or matching state funds from this agreement to fund activities or provide services to farms with ten or fewer employees where there has been no temporary labor camp in the previous twelve months. (Only state plan states may conduct visits on these farms, provided that 100% state funds are used, and the state has an accounting system in place to assure that no section 21(d) or matching funds are expended on these activities.
  34. Will not expend any 21(d) or matching state funds from this agreement to fund the purchase of equipment and/ or to support programmatic efforts under the jurisdiction of and/ or funded by another federal agency.
  35. Will ensure that any funding provided by another federal agency related to safety and health training and/ or equipment will not undermine 21(d) consultation activity.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED



## APPENDIX B

### Checklist of Required Documents for the Federal Consultation Cooperative Agreement

#### The Consultation Annual Project Plan (CAPP):

- Overview of the Consultation Project
  - Organizational Chart
  - Staffing Chart
  - Changes in Project's Status (if any)
- Operational Description by Annual Performance Goal
- Projected Program Activities
- Strategy and Targets for SHARP
- Changes to the Internal Quality Assurance Program

#### The Cooperative Agreement for OSHA Consultation:

Cooperative Agreement for OSHA Consultation under Sections 21(c) and 21(d) of the Occupational Safety and Health Act of 1970, including:

- Assurances and Certifications Non-Construction Programs
- Lobbying Certifications
- OSHA Restrictions and Conditions
- Equipment Inventory
- Approved Consultation Equipment Procurement Listing
- Training Plan
- Accompanied Visit Plan

#### Financial Forms:

- Cooperative Agreement, (OSHA-110)
- Application for Federal Assistance, (SF-424)
- Budget Information - Non-Construction Programs, (SF-424 A)
- Supporting Details of Anticipated Costs

**APPENDIX C**  
**Checklist of Required Components of the CAPP**

<input type="checkbox"/>	Organizational chart								
<input type="checkbox"/>	<b>Staffing chart</b> (See Appendix D) The chart must contain the number of full and part-time staff employed by the Consultation Project, expressed in full-time equivalents (FTEs), for each category of staff. All projects must have the equivalent of two safety and two health professionals, in addition to managerial and support personnel. The numbers in the chart in Appendix D are examples only.								
<input type="checkbox"/>	<b>Description of any changes in the Consultation Project's status.</b> <u>Change(s) in Project's Status.</u> Any changes in the status of the Project, such as the organizational unit within which the Consultation Project is located or the structure of the unit or organization must be provided.								
<input type="checkbox"/>	<p><b>Detailed operational description identifying the year's strategies, activities, and their intended outcomes.</b> List and discuss <i>each</i> of the applicable S.M.P area of emphasis to be supported by the Project, local emphasis programs and special initiatives, including a description of each of the following elements:</p> <ol style="list-style-type: none"> <li>1. <u>Strategies.</u> Describe the specific strategies that will be used to target results for that performance goal (for example, developing and promoting a Web-based chat room for discussion of safety and health program issues, or partnering with other State agencies to promote training around the State).</li> <li>2. <u>Activities.</u> List the type and projected number of activities. These should correspond to the activities listed in the Projected Activity Chart.</li> <li>3. <u>Impact.</u> Describe the anticipated impact of performing the activities described.</li> </ol> <p>The tabular format in Appendix E contains the categories of all required information.</p>								
<input type="checkbox"/>	<p><b>Projected Program Activities chart.</b> Estimate the total number of consultation activities to be performed during the year covered by the project plan, broken out by annual performance goal. Include the following information:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">1. Initial hazard visits</td> <td style="width: 50%;">5. SHARP</td> </tr> <tr> <td>2. Training assistance visits</td> <td>6. Pre-SHARPs</td> </tr> <tr> <td>3. Follow-up visits</td> <td>7. Other Non-Visit Related Activities</td> </tr> <tr> <td>4. Combined Total visits</td> <td></td> </tr> </table> <p>The tabular format in Appendix F contains the categories of all required information.</p>	1. Initial hazard visits	5. SHARP	2. Training assistance visits	6. Pre-SHARPs	3. Follow-up visits	7. Other Non-Visit Related Activities	4. Combined Total visits	
1. Initial hazard visits	5. SHARP								
2. Training assistance visits	6. Pre-SHARPs								
3. Follow-up visits	7. Other Non-Visit Related Activities								
4. Combined Total visits									
<input type="checkbox"/>	Description of the Consultation Project's strategy and targeted industries for marketing consultation services and SHARP.								
<input type="checkbox"/>	Detailed description of changes to its Internal Quality Assurance program.								

**APPENDIX D**  
**Staffing Chart (Sample)**

<b>Consultation Project Staff Category</b>	<b>Number of FTEs</b>
<b>1. Managerial Staff</b>	<b>0.75</b>
<b>2. Consultants–Safety</b>	<b>3.50</b>
<b>3. Consultants–Health</b>	<b>2.00</b>
<b>4. 100% State-Funded Consultants –Safety</b>	<b>0.50</b>
<b>5. 100% State-Funded Consultants–Health</b>	<b>0.50</b>
<b>6. Clerical/data systems support</b>	<b>2.00</b>
<b>7. Marketing staff</b>	<b>0.25</b>
<b>8. Trainers</b>	<b>1.00</b>
<b>9. Other (identify)</b>	<b>.25</b>
<b>Total Number of FTEs</b>	<b>10.75</b>

### APPENDIX E Operational Description by Strategy, Activities and Outcomes

Federal Area of Emphasis Statement	Consultation Strategy	Description of Planned Consultation Activities	Anticipated Impact of Consultation Activities
<b>Area of Emphasis</b>  <b>EXAMPLE:</b>  Reduce occupational hazards through direct interventions.	<b>EXAMPLE:</b>  1-1 <b>Improve targeting to maximize the impact of direct interventions.</b> a. Annually analyze data to identify best targets for direct interventions. b. Annually communicate priorities and effective intervention approaches.  1-2 <b>Reduce hazards by intervening at targeted worksites.</b> a. Provide consultation services to high hazard worksites  1-3 <b>Improve effectiveness of direct interventions.</b> a. Analyze results and effectiveness of direct interventions to determine their impact on fatality, injury and illness rates. b. Identify and implement adjustments, including targeting new areas that will increase the impact of direct intervention activities.	Activity 1 ....  <b>EXAMPLE:</b>  Provide Info here on # visits; will eventually be looking for # of hazards abate, if available.  Activity 2 ....	Result 1  <b>EXAMPLE:</b>  Reduction of occupational hazards through direct interventions  Result 2
<b>Area of Emphasis</b>		Activity 1..... Activity 2.....	Result 1 Result 2
<b>Area of Emphasis</b>			
<b>Local Emphasis Program</b>			
<b>Special Initiative</b>			

## APPENDIX F Projected Program Activities

Area of Emphasis	Projected Visits											
	Initial Visits		Training and Assistance		Follow-Up		Combined Totals by Goal	SHARP <sup>1</sup>		Pre-SHARP	Other Non-Visit Related Activities <sup>2</sup>	
	Safety	Health	Safety	Health	Safety	Health		New	Renewal			
Area of Emphasis												
Area of Emphasis												
Area of Emphasis												
Area of Emphasis												
Area of Emphasis												
Local Emphasis Program												
Other Visits												
Total by Safety or Health												
Combined Safety and Health Activities												

<sup>1</sup>Enter the number of projected new and renewal SHARP sites separately in this column.

<sup>2</sup>Activities reflected in this column must be entered on the Intervention Form (Form 66), so that they can be captured in the IMIS. States working with Small Business Development Centers should record activities on this worksheet and on the Intervention Form in order to get credit when the funding formula is calculated.

## **APPENDIX G EQUIPMENT INVENTORY**

A complete and current equipment inventory is required of each Consultation Project. The inventory should include information regarding the description, manufacturer, model number, serial number (if applicable), location, condition, acquisition date and acquisition cost of each item of equipment.

Only a list of changes (deletions and additions) to the initial equipment inventory submitted in FY 2004 is required in the FY 2005 Agreement package.


**APPENDIX H  
 CONSULTATION  
 EQUIPMENT PROCUREMENT LISTING  
 FY 2005**

Federal Catalog # 17.504

List all non-expendable, personal property having a useful life of more than one year and a unit acquisition cost of \$5,000 or more, and all computer-related equipment. Ref: CFR 97.32(g) & OMB Circular A-87, Attachment B, C.1.

Item Description (include brand and model)	Number		Cost per Unit	Total Cost	National Office Use Only					
	On Hand	For Purchase			Date:		Approved	Title Transfer		Remarks
					Yes	No		Yes	Initials	
EXAMPLE: Laptop: Toshiba Satellite Pro	4	2	2,300	4,600						

**NOTE:** List equipment by category: technical, office/administrative. Equipment which was requested and approved-but not procured—in the previous award year *should be clearly identified*.

**APPENDIX I  
 ANNUAL TRAINING PLAN  
 FY 2005**

State: \_\_\_\_\_

Date: \_\_\_\_\_

List Personnel by ID Number and Type (Mgt/S/IH/etc.)	Training Activity & Location. List Per Diem/ Airfare/Reg. Fee/Misc/etc. for Out- of-state training.	Indicate by Number the Competency Area that Training will Address*

- |                                    |                             |  |
|------------------------------------|-----------------------------|--|
| * 1. Hazard Identification         | 6. Effective Communications | Safety and Health Program Requirements |
| 2. Assessment of Risk and Exposure | 7. Other (specify)          |  |
| 3. Knowledge of Standards          |                             |  |
| 4. Hazard Correction Techniques    |                             |  |

**NOTE:** Funds sufficient to cover travel requirements to conduct proposed training should be budgeted in **Part A: Consultation** and **Part B: Administration**. These costs must be specific to the activities identified as determined by the location and duration of the training. All training included in the plan is eligible for 100% Federal funding, subject to the approval by the Director of the Office of Small Business Assistance.

5.



## APPENDIX J

### Accompanied Visit Plan FY 2005

The plan for accompanied visits should state the policies which will govern activity for the fiscal year, rather than who will be accompanied by whom on specific visits.

Funds sufficient to cover travel for these activities should be budgeted in **Part B: Administration**, under Item c.2, Travel, unless the project indicates that travel is local and the costs are nominal in amount.

### APPENDIX K Initial Base Award Levels of 21(d) Consultation FY 2005

Recipient	Region	FY 2005 Base Award	Recipient	Region	FY 2005 Base Award
Maine	1	\$450,000	Arkansas	6	\$960,000
Massachusetts	1	\$1,363,000	Louisiana	6	\$763,000
New Hampshire	1	\$415,000	Oklahoma	6	\$1,164,000
Rhode Island	1	\$442,000	Texas	6	\$2,516,000
Delaware	3	\$422,000	Kansas	7	\$565,000
District of Columbia	3	\$450,000	Missouri	7	\$854,000
Pennsylvania, IU	3	\$1,609,000	Nebraska	7	\$543,000
West Virginia	3	\$452,000	Colorado State Univ.	8	\$945,000
Alabama University	4	\$1,017,000	Montana	8	\$417,000
Florida	4	\$1,888,000	North Dakota	8	\$279,000
Georgia Tech	4	\$1,213,000	South Dakota	8	\$409,000
Mississippi State U	4	\$560,000	Guam	9	\$273,000
Univ. of Alabama Training	4	\$136,000	Northern Mariana Islands	9	\$199,000
Illinois	5	\$1,837,000	Idaho, Boise State Univ.	10	\$458,000
Michigan	5	\$1,591,000			
Minnesota	5	\$922,000			
Ohio	5	\$1,570,000	<b>TOTAL</b>		\$52,211,000
Wisconsin Health	5	\$964,000			
Wisconsin Commerce	5	\$711,000			
Wisconsin Laboratory	5	\$1,824,000			

## Appendix L Cooperative Agreement Form OSHA-110

<p style="text-align: center;"><b>U.S. DEPARTMENT OF LABOR</b>                  Occupational Safety and Health Administration</p> <p style="text-align: center;"><b>COOPERATIVE AGREEMENT</b></p> <p style="text-align: center;"><b>OSHA 21(d) CONSULTATION PROGRAM</b></p>	<p style="text-align: right;">(1) <span style="float: right;">Page 1 of 1</span></p> <p><b>Region:</b> _____</p> <p><b>State:</b> _____</p> <p><b>Grantee:</b> _____</p> <p><b>Grant Number:</b> _____</p> <p><b>Starting Date:</b> October 1, 2004  <b>Ending Date:</b> September 30, 2005</p>										
<p>(2) Recipient</p> <p>Name: _____</p> <p>Address: _____</p> <p>_____                  Recipient Liaison Representative</p> <p>_____                  Area Code and Telephone Number</p>	<p>(3) U.S. Department of Labor</p> <p>_____                  OSHA Liaison Representative</p> <p>_____                  Area Code and Telephone Number</p>										
<p>(4) Authorized under P.L. 105-197, under Section 21(d)</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"></td> <td style="text-align: right; vertical-align: bottom;">Percent Total Funds (Nearest 0.1%)</td> </tr> <tr> <td><b>1. Federal Base Award Amount:</b> _____</td> <td style="text-align: right;">____.____%</td> </tr> <tr> <td><b>2. 100% Federal Funds for Travel and Training:</b>                  (Please include in line 1) _____</td> <td style="text-align: right;">_____</td> </tr> <tr> <td><b>3. Total Recipient Share:</b> _____</td> <td style="text-align: right;">____.____%</td> </tr> <tr> <td><b>4. Recipient 100% Funding:</b>                  (Please include in line 3) _____</td> <td style="text-align: right;">_____</td> </tr> </table> <p>Terms and Conditions of the Cooperative Agreement                  This <b>COOPERATIVE AGREEMENT</b> consists of the entire application,                  Including all attachments, exhibits, enclosures, etc.</p>			Percent Total Funds (Nearest 0.1%)	<b>1. Federal Base Award Amount:</b> _____	____.____%	<b>2. 100% Federal Funds for Travel and Training:</b> (Please include in line 1) _____	_____	<b>3. Total Recipient Share:</b> _____	____.____%	<b>4. Recipient 100% Funding:</b> (Please include in line 3) _____	_____
	Percent Total Funds (Nearest 0.1%)										
<b>1. Federal Base Award Amount:</b> _____	____.____%										
<b>2. 100% Federal Funds for Travel and Training:</b> (Please include in line 1) _____	_____										
<b>3. Total Recipient Share:</b> _____	____.____%										
<b>4. Recipient 100% Funding:</b> (Please include in line 3) _____	_____										
<p>(5) Recipient Approval</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">Signature _____</td> <td style="width: 30%;">Date _____</td> </tr> <tr> <td colspan="2">_____ Type Name and Title</td> </tr> </table>	Signature _____	Date _____	_____ Type Name and Title		<p>(6) Federal Approval</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 70%;">Signature _____</td> <td style="width: 30%;">Date _____</td> </tr> <tr> <td colspan="2">_____ Type Name and Title</td> </tr> </table>	Signature _____	Date _____	_____ Type Name and Title			
Signature _____	Date _____										
_____ Type Name and Title											
Signature _____	Date _____										
_____ Type Name and Title											
Form OSHA 110 Revised February 2001											

## APPENDIX M

### **Application for Federal Assistance and Budget Information- Non-Construction Programs (SF-424 and SF-424A)**

Forms SF-424 and SF-424A are available on the OMB website, accessible at:

[http://www.whitehouse.gov/omb/grants/grants\\_forms.html](http://www.whitehouse.gov/omb/grants/grants_forms.html)

Please note, that the Application for Federal Assistance (SF-424) has been revised to comply with Federal Register Notice [68 FR 38402]. Agreement applications will not be considered complete without providing the information requested in the revised SF-424.

## APPENDIX N SUPPORTING DETAILS OF ANTICIPATED COSTS

### PART A: CONSULTATION

**A. PERSONNEL:** (List all positions having salary charged to Consultation.) **Total** \_\_\_\_\_

<u>Position</u>	<u>Type</u> <sup>1</sup>	<u>Status</u> <sup>2</sup>	<u>Cond.</u> <sup>3</sup>	<u>Location</u>	<u>% Time 21(d)</u>	<u>Salary</u>
1. Consultant				Subtotal:		_____
2. Supervisory consultant/clerical				Subtotal:		_____

**B. FRINGE BENEFITS:** (List Cost Formula[s]) **Total** \_\_\_\_\_

1. Consultant	Subtotal:	_____
2. Supervisory consultant/clerical	Subtotal:	_____

**C. TRAVEL:** (100% Describe in Training Plan) **Total** \_\_\_\_\_

1. Out-of-State (100% Federal)	Subtotal:	_____
Training		_____
Other (specify)		_____
2. Within State (90% Federal)	Subtotal:	_____
Training		_____
Promotion		_____
Consultative Visits		_____
Other (specify)		_____

**D. EQUIPMENT:** (tech/list in Equipment Listing) **Total** \_\_\_\_\_

**E. SUPPLIES:** (tech/itemize & describe) **Total** \_\_\_\_\_

**F. CONTRACTS:** (all sources) **Total** \_\_\_\_\_

1. Lab Analysis (include #samples)	Subtotal:	_____
2. Industrial Hygiene Services	Subtotal:	_____
3. Other (specify)	Subtotal:	_____

**G. OTHER** (items not covered elsewhere) **Total** \_\_\_\_\_

1. 100% non-travel costs of training	Subtotal	_____
2. Other (itemize and describe)	Subtotal	_____

**H. TOTAL OF DIRECT CHARGES:**  
 (A. through G.) **Total** \_\_\_\_\_

<sup>1</sup> S—TS—S/S—H—TH—H/S—SEC

<sup>2</sup> Encumbered/ Vacant

<sup>3</sup> Previously Approved/ New

## APPENDIX O SUPPORTING DETAILS OF ANTICIPATED COSTS PART B: ADMINISTRATION

**A. PERSONNEL:** (List all positions having salary charged to Administration.) **Total** \_\_\_\_\_

<u>Position</u>	<u>Type</u> <sup>1</sup>	<u>Status</u> <sup>2</sup>	<u>Cond.</u> <sup>3</sup>	<u>Location</u>	<u>% Time 21(d)</u>	<u>Salary</u>
-----------------	--------------------------	----------------------------	---------------------------	-----------------	---------------------	---------------

**B. FRINGE BENEFITS:** (List Cost Formula[s]) **Total** \_\_\_\_\_

**C. TRAVEL:** (100% Describe in Training Plan) **Total** \_\_\_\_\_

1. Out-of-State (100% Federal) Subtotal: \_\_\_\_\_

Training	
Annual Consultation Conference	
Other (specify)	

2. Within State (90% Federal) Subtotal: \_\_\_\_\_

Training	
Promotion	
Accompanied visits	
Other (specify)	

**D. EQUIPMENT:** (office/list in Equipment Listing) **Total** \_\_\_\_\_

**E. SUPPLIES:** (office/itemize & describe) **Total** \_\_\_\_\_

**F. CONTRACTS:** (all sources) **Total** \_\_\_\_\_

1. Computer Costs Subtotal \_\_\_\_\_

2. Lease of office equipment Subtotal \_\_\_\_\_

3. Service of office equipment Subtotal \_\_\_\_\_

4. Other (specify) Subtotal \_\_\_\_\_

**G. OTHER** (items not covered elsewhere) **Total** \_\_\_\_\_

1. 100% non-travel costs of training Subtotal \_\_\_\_\_

2. Other (itemize and describe) Subtotal \_\_\_\_\_

**H. TOTAL OF DIRECT CHARGES: (A. through G.)** **Total** \_\_\_\_\_

**I. INDIRECT CHARGES** **Total** \_\_\_\_\_

**J. TOTAL ADMINISTRATION (H. plus I.)** **Total** \_\_\_\_\_

<sup>1</sup> MGT – SEC

<sup>2</sup> Encumbered/Vacant

<sup>3</sup> Previously Approved/ New