

INSTRUCTION LETTER

INSTRUCTION NUMBER: WIOA 18-07

TO: Upstate Workforce Area Youth Contractors

SUBJECT: Grant Modification Procedures

DATE

ISSUED: September 25, 2018

DATE

EFFECTIVE: Immediately

DATE

EXPIRES: Indefinitely

PURPOSE:

The purpose of this instruction letter is to advise youth contractors of the procedure to request a modification of grants. This letter replaces Upstate Local Instruction Letter 12-08 (for youth).

BACKGROUND:

The Upstate Workforce Board (UWB) approves and issues grants on a yearly basis. This instruction letter identifies the process for modifying a grant.

ACTION:

Please follow the Request and Modification Processes, as outlined below.

REQUEST PROCESS:

A modification may be initiated by either the contractor, here on out referred to as the recipient/subrecipient/subgrantee, or the Upstate Workforce Board (due to identified errors or a desire to change the grant).

Recipient/Subrecipient/Subgrantee Initiated:

1. A letter must be forwarded to the Upstate Workforce Board. The letter should be signed by the Program Director and sent to the UWB Associate Director. UWB staff will then request approval from the Executive Director.
2. In addition to sending the cover letter, the attached "REQUEST FOR MODIFICATION" form must be submitted. Modifications to grants will not be made based on verbal communication.

Upstate Workforce Board (UWB) Initiated:

1. Should UWB staff recognize the need for a modification, the appropriate UWB staff will contact the recipient/subrecipient/subgrantee. The UWB staff will request that the recipient/subrecipient/subgrantee follow numbers one (1) and two (2) above to process the request.

MODIFICATION PROCESS:

1. Once the form has been received by the appropriate UWB staff, it will be presented to the UWB Executive Director. The Executive Director will indicate approval or disapproval. They will indicate if the modification requires full board approval.
2. YOUTH: Once the Executive Director has approved the request and indicated that board approval is necessary, the modification should be presented in the following order:
 - a. Youth Committee
 - b. Upstate Workforce Board
3. Once final approval or disapproval is noted at the bottom of the form, the Executive Director will mark the section that reads "begin with changes immediately" or "do not begin with changes until a modified grant is received." It is imperative that contractors comply with this section. Contractors should attach an approved returned form to the existing grant until receipt of the modification.
4. Once the modification has been presented and approved, the UWB Associate Director and recipient/subrecipient/subgrantee staff will work together to complete all necessary modification documents. Once the documents are finalized, the Associate Director will send the modification to signatory officials for approval.

GENERAL INFORMATION:

- A. All grant coversheets should include a signature line for each entity and the Executive Director.
- B. There should be two (2) originals (each belonging to the grant signatory officials). Copies of executed grants should be maintained in the UWB office.
- C. The recipient/subrecipient/subgrantee may transfer funds within cost categories, provided all the following are met:
 - a. The transfer will not increase the total monetary obligations of the awarding entity;
 - b. The transfer will not increase the total amount allocated to any single cost category in the budget (exception: Operating Funds may be placed into the Client Services cost category by the way of a modification and approval of the UWB prior to the end of the grant period);
 - c. The transfer will not decrease the cumulative number of (1) individuals to be served, (2) the planned enrollment levels in each program activity, or (3) the individuals to be served within significant client groups;
 - d. The transfer will not significantly change the nature or scope of the program funded (exception: any and all changes in personnel, fringe benefits and indirect cost must have prior approval of the UWB).
- D. The recipient/subrecipient/subgrantee may increase the cumulative number of individuals to be

served through WIOA enrollment provided that the level of funds does not exceed the cost categories of the grant (or latest modification).

- E. The UWB may at any time, by written order, make changes within the general scope of the grant. If any such changes cause an increase in the cost (or time required) of performance of any part of the program under the grant, an equitable adjustment shall be made in the grant amount, completion date or both, and the grant shall be modified in writing accordingly.
- F. The awarding entity will not guarantee a modification to provide additional funds to cover expenditures to the recipient/subrecipient/subgrantee during or after the period of the agreement.

INQUIRIES: Should you have any questions regarding this instruction, please contact Dana Wood at 864-596-2028 ext. 100, TTY 711, or at wood@upstaterworkforceboard.org .



Ann Angermeier
Executive Director

REPLACES UPSTATE LOCAL INSTRUCTION LETTER 12-08 (FOR YOUTH)