



INSTRUCTION LETTER

REGIONAL INSTRUCTION NUMBER: WIOA 17-03

TO: SC Works Operator/Service Provider

SUBJECT: Grant Modification Procedures

DATE
ISSUED: June 30, 2017

DATE
EFFECTIVE: July 1, 2017

DATE
EXPIRES: Indefinitely

PURPOSE:

The purpose of this instruction letter is to advise all necessary entities of the procedure to request a modification of grants. This letter replaces Upstate Local Instruction Letter 12-08 (for Adult/DW only).

BACKGROUND:

The Upstate Workforce Board (UWB) and Greenville County Workforce Development Board (GCWDB) approve and issue grants on a yearly basis. This regional 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 appropriate workforce development 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 and/or Greenville County Workforce Development Board. The letter should be signed by the Program Director and sent to the UWB and/or GCWDB Associate Director(s). WDB staff will then request approval from the Executive Director(s).
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.

Workforce Development Board (UWB/GCWDB) Initiated:

1. Should WDB staff recognize the need for a modification, the appropriate WDB staff will contact the recipient/subrecipient/subgrantee. The WDB 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 WDB staff, it will be presented to the both WDB Executive Directors. The Executive Directors will indicate approval or disapproval. They will indicate if the modification requires full board approval (see #2 below for details).
2. Once the Executive Directors have approved the request and indicated that full board approval is necessary, the modification should be presented to each board:
 - a. UWB: The modification will first go to the OneStop Committee for approval, and then to the Upstate WB.
 - b. GCWDB: The modification will go straight to the Greenville County WDB.
3. Once final approval or disapproval is noted at the bottom of the form, the Executive Directors 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, UWB/GCWDB Associate Directors and recipient/subrecipient/subgrantee staff will work together to complete all necessary modification documents. Once the documents are finalized, the Associate Directors 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 Directors.
- B. There should be three (3) originals (each belonging to the grant signatory officials). Copies of executed grants should be maintained in the UWB and GCWDB offices.
- 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/GCWDB 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/GCWDB).

- D. The recipient/subrecipient/subgrantee may increase 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 with significant client groups as specified in the grant, provided that the level of funds does not exceed the cost categories of the grant (or latest modification).
- E. The UWB/GCWDB 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.
- G. For any joint contracts with the UWB and the GCWDB, all modifications must be approved by both entities with accompanying documentation.

INQUIRIES: Should you have any questions regarding this instruction, please contact Eva Anagnostis at 864-467-8142, TTY:711, or at eanagnostis@greenvillecounty.org Dana Wood at 864-596-2028 ext. 100, TTY 711, or at wood@upstateworkforceboard.org .

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