

## Attachment

### Step by Step Modification Process

The following section details the specific steps to be taken in order to process an administrative modification.

**Event: FPO Receives a Modification Request from Grantee or Initiates a Unilateral Change Request.**

#### Step 1. Initiate a Modification Change Request Record in GEMS

Upon receipt of a modification request from a grantee (or upon a regional decision that a change request is required as in the case of a FPO change or administrative correction), the assigned FPO should extract the key information from the change request and enter the information into GEMS. Please note that for administrative modifications, an e-mail request from the grantee is acceptable to initiate action but will ultimately require a signature from the authorizing official of the grantee on the NOA Modification Form. A key requirement here is that the FPO identifies the correct classification and number of change request transactions being requested. For example, a request from a grantee could include a request for a no-cost extension plus budget realignment. These are two change request transactions which can be ultimately processed and approved as a single modification.

- a. Upon logging into GEMS to process a modification, an FPO would
  - Identify the Correct Project by Clicking on it;
  - Click on Modifications on the Blue Menu Bar; and
  - Under Step 1. Change Requests Not Yet Forwarded, click on
    - o [Add, Edit, or Forward Change Requests](#)

The screenshot displays the GEMS3 web application interface. The main content area is titled "Grant Modification and Change Requests Overview". It features a navigation menu on the left with "My Projects" and "ALMIS-LMI IA" highlighted. The main content area is divided into three sections: "1. Change Requests Not Yet Forwarded" (with a link to "Add, Edit, or Forward Change Requests (2 currently entered)"), "2. Change Requests Awaiting Action by Grantee", and "3. Change Requests Approved or Denied" (with a link to "View Project's History of Change Requests"). Below these sections is a "Modification Histories" table with columns for Grant Number, Grant Amount, and End Date. The table lists two entries: ES-11529-01-55 (\$8,286,633, 9/30/2004) and ES-12128-02-55 (\$8,396,145, 6/30/2005). On the right side, there is a "Support Systems" dropdown menu and a "Modifications" link. The bottom right shows "Manager(s): Stacy O'Keefe" and "Backup FPO(s): Saic2 Saic5, Saic5 Saic5". A calendar is visible in the bottom left corner.

- b. Identify Type of Change Request from the drop-down menu and hit "GO."

c. Complete all Required Information for this Change Request by completing the following:

- Select the Grant that is being modified (at least one grant must be selected)
- Enter the Date the Change Requested was Received from the Grantee or Initiated by FPO or Regional Office (if unilateral)
- Enter Nature of Change (New Date, New FPO Name, etc)
- Enter Narrative Change Description
- Enter Recommendation
- Enter FPO Justification for Recommendation
- Indicate the Level of program notification and approval
- Enter any relevant comments (including Manager Comments if appropriate)
- Click Save (Note: This does not result in a recommendation being forward to the Grant Officer at this time. See next steps below)
- **If grantee has submitted multiple change requests in a single modification request letter, repeat the process above until all requests have been recorded.**

**Change Request: (Simple) No Cost Extension - Microsoft Internet Explorer**

**Select Active Grant**  
 AN-11469-01-60      **Grantee Request:** MM/DD/YYYY

**Change Request: (Simple) No Cost Extension**

**Current End:** 06/30/2004      **New End Date:** MM/DD/YYYY

**Change Description:** [Text Area]

**FPO Recommendation:** Select [Dropdown]

**Justification:** [Text Area]

**Program Office:**

- The Program Office has been notified and concurs.
- The Program Office has been notified and does not concur.
- The Program Office has been notified but has not responded.
- There is no requirement to notify the Program Office.

**Comments:** [Text Area]

**NOTE** An Active Grant selection and Grantee Request date are required to SAVE. Change Requests will not be available for forwarding without a FPO Recommendation and Program Office selection.

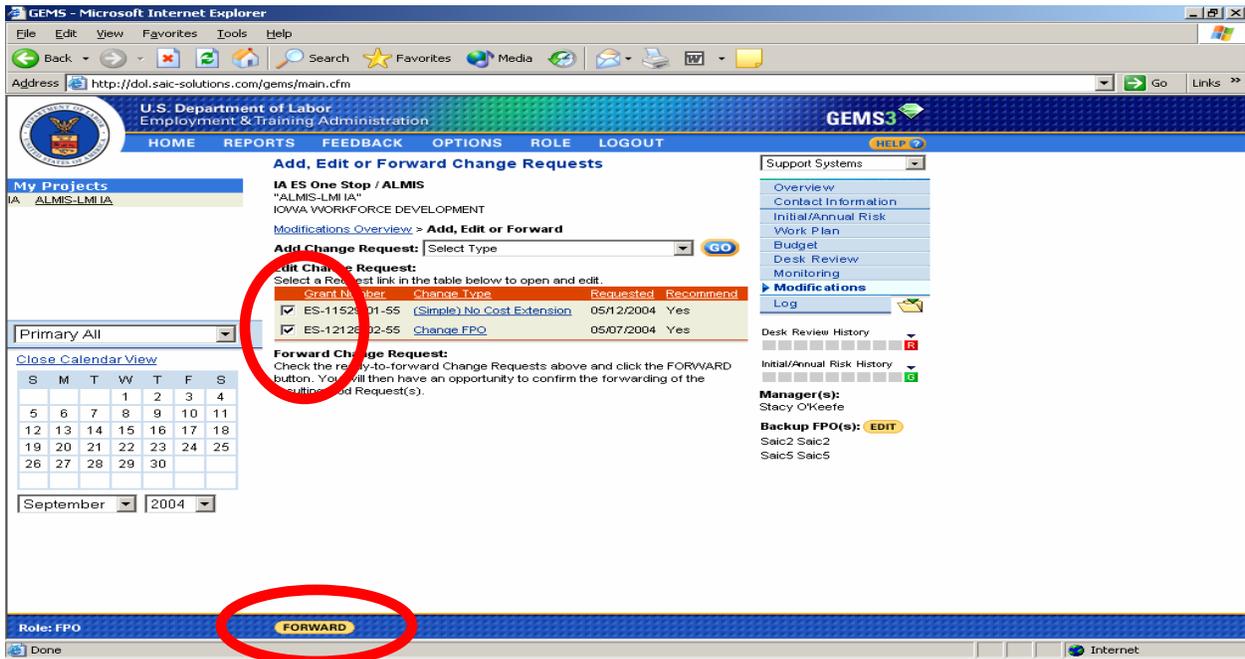
**SAVE**   **CLOSE**

**Step 2. Forwarding the Modification Request and FPO Recommendation to the Regional Grant Officer.**

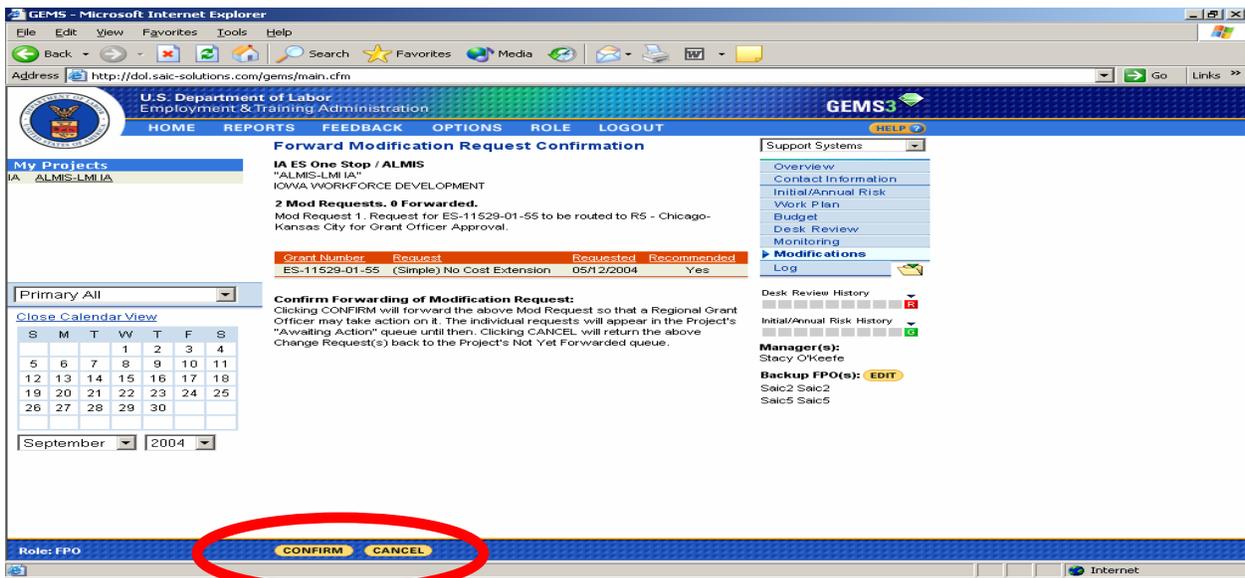
The FPO is now ready to move all or part of a modification request forward. Please note at this point, the FPO should seek approval from immediate manager if that is part of the regional process. However, this process is to be handled outside of the GEMS system but can be noted in the FPO comments area. Also, it is expected that the FPO has coordinated with the program office as appropriate before forwarding a request to the RGO. It is anticipated that most administrative modifications will not require program office notification. However, FPOs, Regional Managers and the RGO should be generally aware of when program offices have made requests to be informed of modification requests.

Assuming these conditions have been met, the FPO takes the following steps.

- Click on the check box to indicate one or more modification transactions are ready for forwarding; and
- Hit the Forward Button



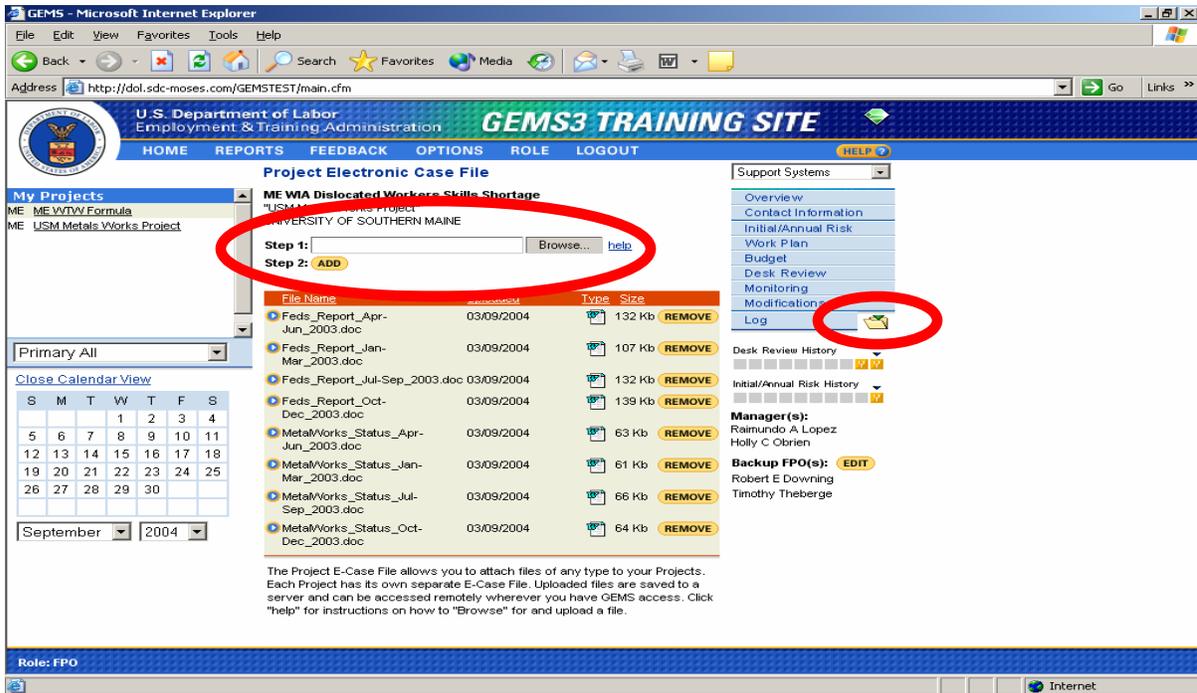
The system will prompt the FPO to review the modification transaction to be forwarded to the RGO and asks for FPO confirmation to forward. If satisfied, the FPO should hit the confirm button; if not, hit cancel and the system will return to the previous screen.



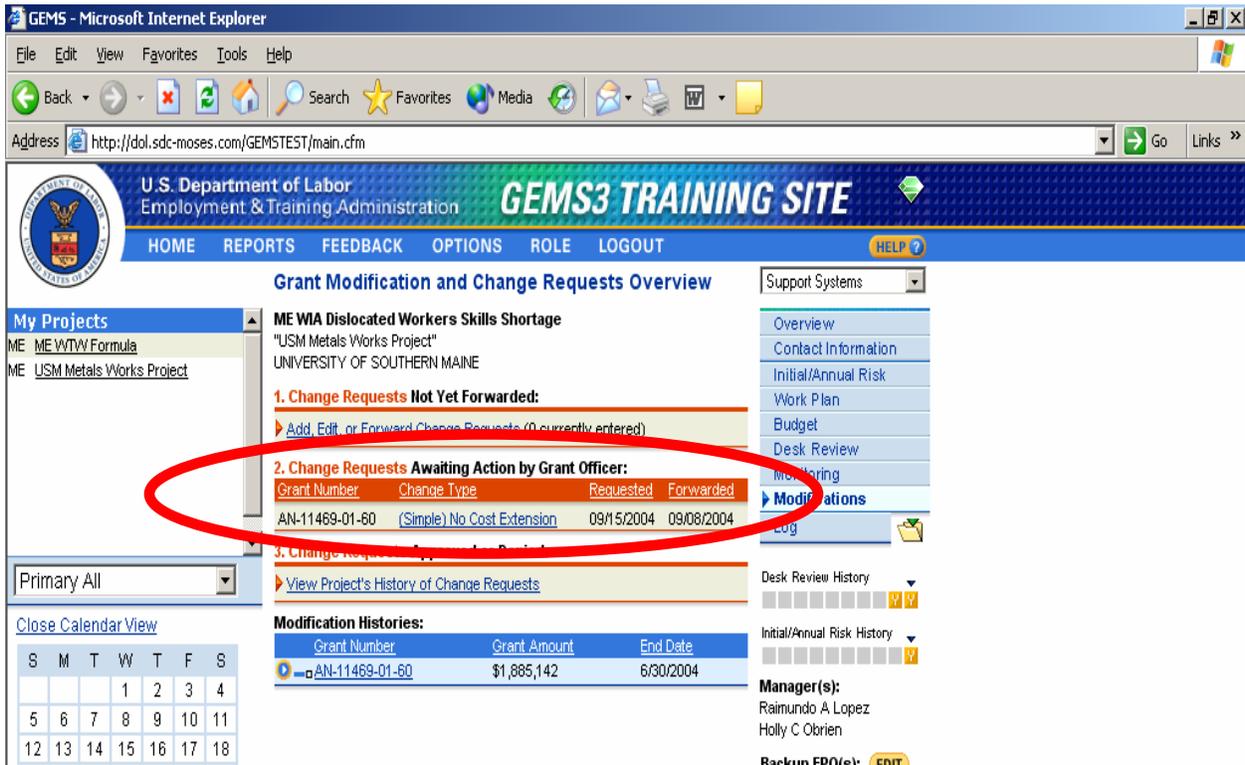
**Step 3 (This step may occur at any time). Upload the Grantee Request into the Project Case Files.**

Upon receipt of a modification request from a grantee, the assigned FPO should complete the following:

- Ideally, and if possible, obtain or create (using available scanning equipment) an electronic record of the request (in addition to the hard copy request with original signature); and
- Upload the electronic version of the request into GEMS using the file icon by
  - Clicking on the "File Icon"
  - Hit the "Browse" button to identify the file
  - Click "Add."



Note: The FPO has no further action until the Regional Grant Officer has acted upon the request. The forwarded modification will show up under 2. Change Request Pending RGO Action on the FPO's Modification Screen.



Event: FPO has forwarded a recommendation for action on a modification request to the Regional Grant Officer.

#### Step 4. Regional Grant Officer Reviews Recommendation and Takes Action.

Please note that the RGO or FPO's supervisor can monitor modifications that are being processed by FPOs but that have not yet been forwarded by clicking on the "Change Requests" Section of the Modification Approval Menu.

**Decision Support Tool**

- Project Mngt Metrics
- Current Risk Status
- Monitoring
- Activities**
- Announcements
- View Project Files
- Modification Approval
- Change Requests**
- Mod Request History

**R1 - Boston-New York**

This page contains Change Requests entered into GEMS by FPOs in R1 - Boston-New York that have not yet been forwarded for Regional Grant Officer action.

Grant Number	State + Project Name	Requested	
AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/15/2005	<b>OPEN</b>
<b>Type:</b> Administrative Corrections	<b>FPO:</b> John V Ladd	<b>Recommend:</b>	

Once an RGO is ready to review modifications awaiting action, the Regional Grant Officer reviews the modification request and FPO recommendation and can take appropriate action.

- Click on Modifications Awaiting Approval /Pending Action to Review the Modification Request and FPO Recommendation
- Click on the Yellow "Open" button to Review the Modification Request.
- Review the Modification Transaction Request
- Select Approve, Deny, Remand (back to FPO), or Take No Action (Close)
- *Note: Regional processes should recognize the expectation to complete this process within 21 days from receipt of the modification request from the grantee.*

**GEMS3 TRAINING SITE**

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Employment & Training Administration

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**Modification Request Details**

**Decision Support Tool**

- Project Mngt Metrics
- Current Risk Status
- Monitoring

**Activities**

- View Project Files
- Modification Approval
- Change Requests
- Mod Request History

**Grant Number:** AN-11469-01-60  
**State + Project Name:** ME WIA Dislocated Workers Skills Shortage  
**Nickname:** USM Metals Works Project  
**Recipient:** UNIVERSITY OF SOUTHERN MAINE  
**FPO:** [John V Ladd](#) 617-788-0169

This MOD Package contains 1 Request(s)  
*Request/Transaction 1 of 1*

**Change Type:** Administrative Corrections  
**Grantee Request:** 09/15/2005

**Recip #: 6453**

Field Name	Current Value	Adjusted Value
Grantee Name:	UNIVERSITY OF SOUTHERN MAINE	UNIVERSITY OF SOUTHERN MAINE
Official:	LARRY WAXMAN	LARRY WAXMAN
Official Title:	ACTING DIRECTOR, OOSP	ACTING DIRECTOR, OOSP
Address line 1:	P. O. BOX 9300	P. O. BOX 9300
Address line 2:		
City:	PORTLAND	PORTLAND
State:	ME	ME
Zip:	04104-9300	04104-9300

**Change Description:** Correction

**FPO Recommendation:** Yes  
**Justification:** Correction  
**Forward Date:** 09/08/2004

Role: Grant Officer

**APPROVE DENY REMAND TAKE NO ACTION**

At this point, the system will prompt the RGO to review the modification transaction to be written to GTS as a modification and asks for RGO confirmation to forward. If satisfied, the RGO should hit the confirm button; if not hit cancel and the system will go back to the previous screen. The RGO should complete this process until all modification transactions have been acted upon.

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**Modification Request Details**

**Grant Number:** AN-11469-01-60  
**State + Project Name:** ME WIA Dislocated Workers Skills Shortage  
**Nickname:** USM Metals Works Project  
**Recipient:** UNIVERSITY OF SOUTHERN MAINE  
**FPO:** [John V Ladd](#) 617-788-0169

**You have Approved the following Change Request for inclusion in Modification 5:**

**1. Change Type:** Administrative Corrections  
**Recip #:** 6453

Field Name	Current Value	Adjusted Value
Grantee Name:	UNIVERSITY OF SOUTHERN MAINE	UNIVERSITY OF SOUTHERN MAINE
Official:	LARRY WAXMAN	LARRY WAXMAN
Official Title:	ACTING DIRECTOR, OOSP	ACTING DIRECTOR, OOSP
Address line 1:	P. O. BOX 9300	P. O. BOX 9300
Address line 2:		
City:	PORTLAND	PORTLAND
State:	ME	ME
Zip:	04104-9300	04104-9300

**Effective Date:**  (effective date of the new grant modification)  
**Grant Officer:**   
**Comments:**

Clicking CONFIRM will record the APPROVED change(s) above as a Modification in the Grants Tracking

Role: Grant Officer **CONFIRM** **CANCEL**

After hitting confirm, the system returns to the Modifications Awaiting Approval section of the system. However, if the RGO hits the "Mod Request History" the modification will appear. The details of the modification are again available by hitting the yellow open button. In addition, the FPO will now see the modification approved under 3. Change Requests Approved or Denied and in the Modification History section of GEMS as well.

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**Modification Requests History**

**R1 - Boston-New York**

This page contains Change Requests that have been acted upon by the Regional Grant Officer in R1 - Boston-New York, i.e., either Denied or Approved and recorded in GTS.

Grant Number	Project	Forwarded	Executed	Denied
AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	
<b>Type:</b> Administrative Corrections	<b>MOD#: 5</b>	<b>OPEN</b>		
AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	
<b>Type:</b> (Simple) No Cost Extension	<b>MOD#: 4</b>	<b>OPEN</b>		
AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	
<b>Type:</b> Administrative Corrections	<b>MOD#: 3</b>	<b>OPEN</b>		

Decision Support Tool  
 Project Mngt Metrics  
 Current Risk Status  
 Monitoring

Activities  
 View Project Files  
 Modification Approval  
 Change Requests  
 Mods Awaiting Approval  
 Mod Request History

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HOME REPORTS FEEDBACK OPTIONS ROLE LOGOUT

**Grant Modification and Change Requests Overview**

ME WIA Dislocated Workers Skills Shortage  
"USM Metals Works Project"  
UNIVERSITY OF SOUTHERN MAINE

1. Change Requests Not Yet Forwarded:  
Add, Edit, or Forward Change Requests (0 currently entered)

2. Change Requests Awaiting Action by Grant Officer:  
Grant Number Requested Forwarded

3. Change Requests Approved or Denied:  
View Project's History of Change Requests

**Modification Histories:**

Grant Number	Grant Amount	End Date
AN-11469-01-60	\$1,885,142	9/30/2004

Support Systems

Overview  
Contact Information  
Initial/Annual Risk  
Work Plan  
Budget  
Desk Review  
Monitoring  
Modifications  
Log

Desk Review History  
Initial/Annual Risk History

**Manager(s):**  
Raimundo A Lopez  
Holly C O'Brien

**Backup FPO(s):** EDIT  
Robert E Downing  
Timothy Theberge

### Step 5. Written Notification to Grantee and OGCM of Official Action

Once final action has been taken (approval or denial), the grantee must be informed in writing. GEMS will create an official modification form with all the related information. This form can be printed out and included with a cover letter to the grantee.

- Click on Modification History. Click on the printer icon to print out the form.
- Send form (by any means acceptable to the region) to the grantee including electronically via email;
- Note: For all bilateral modifications, the (NOA/O) Modification Form will require two original signatures: the Regional Grant Office and the Grantee Authorizing Official. For unilateral modifications, only the Regional Grant Officer signature is required (although a copy of the modification should be sent to the grantee).
- Send originals of approved modification to OGCM for inclusion in permanent file. These forms can be bundled together and sent to OGCM on the last day of each month.

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HOME REPORTS FEEDBACK OPTIONS ROLE LOGOUT

**Modification Requests History**

Support Systems

**Decision Support Tool**

Project Mngt Metrics  
Current Risk Status  
Monitoring

**R1 - Boston-New York**

This page contains Change Requests that have been acted upon by the Regional Grant Officer in R1 - Boston-New York, i.e., either Denied or Approved and recorded in GTS.

Activities	Grant Number	Project	Forwarded	Executed	Denied
View Project Files	AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	
Modification Approval		Administrative Corrections			
		<b>MOD#: 5</b>			<b>OPEN</b>
Change Requests	AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	
Mods Awaiting Approval		<b>Type: (Simple) No Cost Extension</b>			
		<b>MOD#: 4</b>			<b>OPEN</b>
Mod Request History	AN-11469-01-60	ME WIA Dislocated Workers Skills Shortage	09/08/2004	09/08/2004	

**U.S. Department of Labor - Employment and Training Administration**

<b>Project Title:</b> INCUMBENT/DISLOCATED WORKER SKILLS II DEMO PROGRAM			
<b>Modification Notification of Award/Obligation</b>	<b>Effective Date:</b> 09/22/2004	<b>Page No.</b> 1	<b>No. of Pages:</b> 1
<b>Agreement Number:</b> AN-11469-01-60 <b>Modification Number:</b> 5		<b>Appropriation Number:</b> N/A <b>EIN Number:</b> 016000769 <b>DUNS Number:</b>	
<b>TO:</b> (Awardee's Name and Address) UNIVERSITY OF SOUTHERN MAINE P.O. BOX 9300 PORTLAND, ME 04104-9300		<b>Issued By:</b> U.S. Department of Labor/ETA/OGCM Division of Federal Assistance 200 Constitution Avenue, N.W. RM. S-4220 Washington, D.C. 20210	

**Changes herein have the following effect on Federal government funds in this award:**

<input type="checkbox"/> Increased by - \$ N/A	<input type="checkbox"/> Decreased by - \$ N/A	<input checked="" type="checkbox"/> Remained Unchanged
--	--	--

**THE ABOVE-NUMBERED GRANT / AGREEMENT IS MODIFIED AS FOLLOWS:**

Type: Administrative  
Grantee Request Date: 09/15/2005

<u>Field Name</u>	<u>Current Value</u>	<u>Adjusted Value</u>
Grantee Name:	UNIVERSITY OF SOUTHERN MAINE	UNIVERSITY OF SOUTHERN MAINE
Official:	LARRY WAXMAN	LARRY WAXMAN
Official Title:	ACTING DIRECTOR, OOSP	ACTING DIRECTOR, OOSP
Address line 1:	P.O. BOX 9300	P.O. BOX 9300
Address line 2:		
City:	PORTLAND	PORTLAND
State:	ME	ME
Zip:	04104-9300	04104-9300

Description: Correction

**EXCEPT AS HEREBY MODIFIED, ALL TERMS AND CONDITIONS OF SAID GRANT / AGREEMENT  
REMAIN UNCHANGED AND IN FULL EFFECT.**