OMB BURDEN STATEMENT: According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0584-0512. The time required to complete this information collection is estimated to average 60 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FY 2011 WIC SPECIAL PROJECT GRANTS

REQUEST FOR APPLICATIONS FOR

FULL GRANTS

(APPLICATION A)

Applications Deadline Due: April 29, 2011

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SPECIAL SUPPLEMENTAL NUTRITION PROGRAM FOR WOMEN, INFANTS, AND CHILDREN (WIC)

FY 2011 SPECIAL PROJECT GRANTS REQUEST FOR APPLICATION (RFA)

FULL GRANTS

INTRODUCTION

The USDA Food and Nutrition Service (FNS) plans to have up to approximately $3,000,000 in fiscal year (FY) 2011 funds available for Special Project Grants to WIC State agencies, subject to appropriation. Grant funds will be available only to the 90 WIC State agencies responsible for administering WIC in the States, Territories, and Indian Tribal Organizations (ITOs).

There are two types of WIC Special Project Grants: Full Grants and Concept Paper Development Grants. This RFA (Application A) is for Full Grants only. A separate RFA (Application B) is available for State agencies planning to submit a proposal for developing a concept paper as a basis for applying for a Full Grant using FY 2011 funds, pending availability of funds.

FNS anticipates making up to six Full Grant awards in FY 2011, ranging from $200,000 to $400,000 each, depending on the number and quality of applications received and requested budget amounts.

FNS reserves the right to reduce, increase, or revise proposed budgets based on the availability of funds. FNS also reserves the right to cancel this RFA in whole or in part if funds are not available.

FY 2011 WIC Special Project Full Grants are open to consideration in all WIC-related program areas and may focus on either general WIC Program issues or those issues related to specific categories of WIC participants (please see Attachment 1 of the RFA). However, the following focus areas are of particular interest to FNS for FY 2011:

1) *Retention of children participating in WIC.*
   This focus area is intended for applicants who would like to implement and evaluate innovative strategies for retaining children (ages 1 through 4 years) currently participating in WIC.

2) *Client-Centered Nutrition Education*.
   Building on the Value Enhanced Nutrition Assessment (VENA) competencies (critical thinking, rapport building, and utilizing a health-outcome based assessment), FNS is interested in projects that integrate VENA skills and principles to deliver relevant client-centered nutrition services (education, referrals, follow-up) that focus on WIC participants' identified needs and

concerns. Grant proposals in this area should use grant funds to develop and evaluate interactive client-centered nutrition services that build upon VENA (for further background on VENA see http://www.fns.usda.gov/wic/vena/venaexecsum.pdf).

3) *Increasing redemption of Cash Value Vouchers (CVV).*
Current data suggest that the CVV is not being fully used by participants. EBT data from 2 State agencies indicate CVV redemption rates of approximately 70-80 percent. This focus area is intended to examine innovative ways to expand and promote redemption of the CVVs by a greater percentage of participants and redemption at their full value.

Grants should be used to help State agencies develop, implement and evaluate new or innovative methods to meet the changing needs of WIC participants (see Focus Area for Full Grants in Attachment 1). Abstracts of WIC Special Project Grants awarded from 1995 to 2010 can be found at
http://www.fns.usda.gov/wic/benefitsandservices/specialprojects.htm

FNS will consider grant applications proposing to evaluate focus areas other than the ones listed above as long as the projects are aimed at helping State agencies develop, implement and evaluate new or innovative methods of service delivery to meet the changing needs of WIC participants. For example, ideas stemming from the *Planning a WIC Research Agenda* conference will be considered[1].

All Grant Projects should:

- Demonstrate national or regional significance,
- Produce results which have a demonstrable impact and are sustainable in the absence of special funding,
- Be transferrable to other WIC Programs in the region or nationally,
- Be evaluated with measurable results and can be replicated by other WIC Programs, and
- Suggest innovative or creative approaches to improving the delivery of WIC services.

FNS is particularly interested in evaluations with realistic goals and objectives tied to specific, measurable outcomes (see Section III: ***Project Design and Implementation*** under "GRANT APPLICATION FORMAT AND REQUIREMENTS" on page 12 for details and examples). FNS is also especially interested in projects that utilize the WIC Works Resource System to disseminate information/resources.

[1] At the request of the Food and Nutrition Service, in July 2010 the Institute of Medicine held a workshop: *"Health Impacts of WIC — Planning a WIC Research Agenda"* [see final report at http://www.iom.edu/Reports/2010/Planning-a-WIC-Research-Agenda.aspx]. While some proposed ideas are too large to fit within the Special Project Grants framework, other proposed ideas could be conducted as a WIC Special Project Grant.

The most appropriate grant proposals will be those that: (1) include a clear description of the planned project or intervention and how it would address its focus area; (2) include major goals, and clearly defined objectives and outcome measures of the project; (3) explain how the project would be implemented and discuss its sustainability and transferability; and (4) indicate plans for a rigorous evaluation component.

It is recommended that preparers of applications review the evaluation criteria listed in the RFA for further guidance on what should be included in the application.

State agencies may not submit more than one proposal for a Full Grant, although an individual State agency may submit one proposal for a full grant and a second proposal for a concept paper development grant for a different project.

Grants may be awarded to individual State agencies or to a consortium of WIC State agencies, as long as one of the agencies is designated the lead agency. FNS encourages smaller State agencies and ITOs to consider collaborating with other WIC State agencies or ITOs on grant applications. FNS also encourages applicants to consider collaborating with universities or research institutions to bring specific expertise for developing grant applications and projects. Individual State agencies may submit only one application for a Full Grant per year. If a State agency submits an application as part of a consortium of agencies, it may not also submit a separate individual application. State agencies that were awarded FY 2010 Concept Paper Development funds last year **must** submit applications for the FY 2011 WIC Special Project Full Grants. State agencies that did not apply for, or applied for but did not receive, FY 2010 Concept Paper development funds last year **are allowed** to apply for FY 2011 WIC Special Project Full Grant funding.

State agencies may use the grant funds for the duration of the project period, not to exceed four years. Most special project grant activities must be completed no later than September 30, 2014 (see "Terms and Conditions of Award" for more information). All grants under this solicitation will be awarded as **cooperative agreements**. FNS will require State agencies to submit a quarterly SF-425 as well as a final SF-425 to report each project's financial status. In addition, quarterly performance/progress reports as well as a final report will be required. **A timeline delineating key milestones and due dates for the grant period is provided as Attachment 7 to this RFA.**

Direct questions regarding this RFA to Leslie Byrd, Grants Officer, Grants & Fiscal Policy Division, Food and Nutrition Service, USDA, at (703) 305-2867 or email Leslie.Byrd@fns.usda.gov

APPLICATION PROCEDURES

ALL APPLICATIONS MUST BE RECEIVED BY FNS
NO LATER THAN 5:00 PM EASTERN DAYLIGHT SAVING TIME ON
FRIDAY, APRIL 29, 2011.
FAXED AND E-MAILED APPLICATIONS WILL NOT BE ACCEPTED

Full papers must meet the following guidelines for consideration:

1. **Electronic Application Submission Through Grants.Gov**. :

   Applicants may only apply for this opportunity directly through the website www.grants.gov. Only WIC State agencies are eligible to apply.

2. The number of pages for the entire Application should be **no more than 25 pages**, excluding appendices, with narrative in a font size no smaller than 12 point. **Appendices may not exceed 15 pages**, for a **total application package** of **not more than 40 pages**.

3. State agencies must submit an application package which includes a grant application, a Standard Form 424, APPLICATION FOR FEDERAL ASSISTANCE, Standard Form 424A, BUDGET SUMMARY, Standard Form 424B, ASSURANCES, and the additional certifications as included in the attachments to this solicitation document. The regulations governing the attached certification (i.e., Certification Regarding Lobbying) require that a grantee submit the required certification with each new submission of a grant at the time of application.

4. The complete application package **must be uploaded on www.grants.gov** on or before Friday, April 29, 2011 at 5:00 PM, Eastern Daylight Savings time. Applications received after the deadline date and/or time will be deemed ineligible and will not be reviewed or considered. FNS **WILL NOT** consider any additions or revisions to applications once they are received. **FNS will not accept mailed or hand-delivered applications.**

5. There is a requirement for applicants of Federal Government awards to have a Data Universal Numbering System (DUNS) number. If your agency has not yet obtained a number, you will need to contact Dun & Bradstreet at 1-800-234-3867 to register for a number. There is no charge to obtain a DUNS number. The DUNS number will serve as a means of tracking and identifying applications for Federal assistance and is required to be included on all applications for Federal assistance; regardless of the method by which they are submitted. The DUNS number is also required to complete the additional steps to become a registered Grants.gov user. To apply online through **http://www.grants.gov/** there are a

number of other steps in the registration process that will be required of you before you can submit applications electronically including registering in the Federal Government's Central Contractor Registry (CCR). We urge you to visit the grants.gov web page (**http://www.grants.gov/)** and click on the "Getting Started" tab *well in advance of the submission deadline* to get a thorough understanding of the steps you will need to follow to apply for Federal grant opportunities.

6. When the applicant submits their application/proposal via **www.grants.gov** they must send an e-mail to **leslie.byrd@fns.usda.gov**, advising that their proposal has been submitted through the **www.grants.gov** portal and that the applicant has received a confirmation notice from **www.grants.gov** that their application was accepted by the system. This e-mail submission to the FNS Grants Officer must be received no later than 5:00 PM. Eastern Daylight Saving Time on **Friday, April 29, 2011**.

An **application checklist** is included as Attachment 3 to assist applicants in verifying that they have completed all components of the grant application.

We strongly recommended that you begin the submission process sufficiently in advance of the due date to ensure your application package is received on or before the deadline in case there are problems with the government-wide website. It is your responsibility to meet the **Friday, April 29, 2011, 5:00 PM, Eastern Daylight Saving Time** deadline. As noted above, late applications will not be considered in the competition. **Also, emailed and faxed applications will not be accepted**. Furthermore, we will not consider additions or revisions to applications once they are received by FNS.

If there are any questions regarding the WIC Special Projects Request for Applications, please contact Leslie Byrd of the Grants & Fiscal Policy Division at 703-305-2867.

TERMS AND CONDITIONS OF AWARD

The Agency is conducting the Women, Infants, and Children (WIC) Special Project Grant as authorized under Public Law 108-447.

The period of performance of the cooperative agreement shall be from the date of the award through September 30, 2015. All expenditures for the project other than those for the final reports and FY2015 meeting and presentation must be incurred for authorized activities which take place by September 30, 2014. The final progress and financial reports are due to FNS by December 31, 2015, and all expenditures associated with the final report must be incurred by December 31, 2015. The only allowable expenditures on or after January 1, 2015 are those associated with preparation for, attendance and presentation at the FNS-sponsored FY2015 WIC Special Project Grant annual meeting, filing the associated expenditure reports, and grant close-out. In an effort to maintain the integrity of these funds, FNS will continually monitor the expenditures and will work with the

Grantees to recover any funds that cannot be obligated by the grant expiration date of September 30, 2015. Funds not obligated within the cooperative agreement period must be returned to FNS by **September 30, 2015**.

In carrying out the purposes of the cooperative agreement, the grantee shall be responsible for:

1. Managing the cooperative agreement consistent with legislation, administrative rules, regulations, and procedures of the State, including coordination and approval of all accounting procedures and with applicable Federal administrative requirements contained in OMB Circulars A-21, A-87, A-122, and A-133 and the regulations implementing them. Also, adherence is required to the 2 CFR Parts 25, 170, and 175, 7 CFR Parts 15, 3015, 3016, 3017, 3018, 3019, 3021, 3052, and 40 CFR Part 34.34 and 41 CFR 1-15.2 (FAR Part 31). A full listing of the applicable documents can be found in Attachment 3, Terms and Conditions of Award.

2. Sending two representatives to four meetings at FNS headquarters as specified below:
    - An annual meeting of all grantees in the first year of the grant;
    - An annual meeting of all grantees in the second year of the grant;
    - An annual meeting of all grantees in the third (and final) year of the grant project; and
    - A final meeting within 9 months of completion of the project (i.e., May, 2015) to present project findings to FNS.

3. Assuming the cost for one conference call with FNS and the other Special Project Grant recipients during the course of the project.

4. Submitting a final project report to FNS that presents a full description of the project, how it was implemented, the evaluation approach, and the results of the evaluation. The final report should be accompanied by copies of materials developed by and used in the project (e.g., notices, brochures, instructions, lesson plans, software, press releases, and data collection instruments).

5. Suspension/Debarment. The grantee agrees to ensure that all sub-grantees are neither excluded nor disqualified under the suspension and debarment rules found at 7 CFR Sec. 3017.300 by doing any **one** of the following:

    a) Checking the Excluded Parties List System (EPLS) found at **www.epls.gov**
    b) Collecting a certification that the entity is neither excluded nor disqualified. Since a Federal certification form is no longer available, the grantee or sub-grantee electing this method must devise its own.
    c) Including a clause to this effect in the sub-grant agreement and in

any procurement contract expected to equal or exceed $25,000, awarded by the grantee or a sub-grantee under its grant or sub-grant.

6. Drug-Free Workplace (DFW) Rules. The grantee agrees to (A) make a good faith effort, on a continuing basis, to maintain a DFW (including taking specific actions described at 7 CFR Sec. 3021.200 through 3021.230); and (B) identify all workplace locations where work under Federal award will be performed (7 CFR sec. 3021.200). Since Federal entities will no longer collect a paper certification, this may include the following:

    a) Notifying all sub-grantees and contractors of the Drug Free Workplace rules,
    b) Making conforming changes to your internal procedures, directives, training materials, etc.
    c) Incorporating the new rules into your sub-grantee monitoring practices.

7. The grantee shall submit a signed original and an electronic copy of the Quarterly progress report to the FNS Program Officer (see address on page 10). The first report should reflect progress up to the end of the first quarter after the effective date of the Grant Agreement. At a minimum all Quarterly progress reports should include:

    - A narrative description of the project's progress, tasks completed, and roadblocks or problems,
    - Identification of tasks or activities initiated, or completed, from proposed timeline with a description and rational for deviations,
    - For each major task, a description of activities performed or completed during the quarter,
    - Identification and description of any major problems or delays encountered, with a discussion of how they will be resolved and/or how they may impact the schedule, outcome measures, budget, or the grantees ability to utilize funds within the specified time period,
    - A description of key tasks and activities planned for the upcoming quarter, and
    - Any other pertinent information, which may include deliverables.

    Any problems, delays or adverse conditions that impair the ability to meet the objectives should be reported to FNS immediately. The notification should include information on any action taken or contemplated.

8. Final Progress Report. The grantee shall submit a signed original and an electronic copy of the final progress report to the FNS Program Officer by **December 31, 2015**. This report shall contain a project summary including, but not limited to, description of implementation and impact, lessons learned, future implications within the State agency, and information on how the project will be

sustained. In instances where there is a lead State agency involved, the lead State agency shall compile the results from all funded State agencies into a single report and submit it to FNS.

9. Quarterly Financial Reports. This report must be certified by the Recipient's chief fiscal officer or an officer of comparable rank.
   Grantees will electronically enter their quarterly and final financial status reports (SF-425) into the FNS Food Programs Reporting System (FPRS). Final reporting requirements and instructions will be provided to all awarded grantees.

10. Final Financial Reports. As stated above, the grantees are expected to electronically enter the final financial status report (SF-425) into the FNS Food Programs Reporting System (FPRS), unless otherwise notified. **The grantee shall enter its SF-425 data within 90 days of the expiration date of the grant agreement.** This report must be certified by the grantee's chief fiscal officer or an officer of comparable rank.

A signed original and an electronic copy of the Quarterly and Final Progress Reports shall be submitted to:

Melanie Haake
Melanie.Haake@fns.usda.gov
2011 WIC Special Project Grant Program Officer
USDA Food and Nutrition Service
3101 Park Center Drive, 5th Floor
Alexandria, VA 22302

MODEL FOR WIC SPECIAL PROJECT GRANTS

The WIC Special Project Grants for FY 2011 are intended to encourage innovative and creative projects that improve the delivery of WIC services. These projects will be awarded as cooperative agreements. State agencies awarded funding will interact with other grantees and FNS staff on a regular basis to share project information. Extensive dissemination of project results is expected so that other State agencies will have the opportunity to replicate the project and/or learn from its results. **For an application to be successful, it is essential that the project results be used to improve WIC Program services, and that they are applicable at the State and/or local agency levels.** FNS is especially interested in projects that utilize the WIC Works Resource System to disseminate information/resources. Information about this system may be found at http://www.nal.usda.gov/wicworks/.

FNS also expects funding to be available for Concept Paper Development in FY 2011. Concept paper funds will be used to develop a preliminary concept into a full grant proposal for the following fiscal year (for Concept Paper funding, see Application B).

GRANT APPLICATION FORMAT AND REQUIREMENTS

Applicants must respond to all of the following sections. It is **strongly suggested** that applicants organize the content of their proposal into the following nine parts:

1. Introductory Material
2. Abstract (approximately 3 pages)
3. Project Design and Implementation (approximately 4-6 pages)
4. Evaluation (approximately 3-5 pages)
5. Sustainability and Transferability (approximately 2 pages)
6. Key Personnel (approximately 3-4 pages)
7. Budget and Management Plan (approximately 3-5 pages)
8. Budget Material
9. Appendices (not to exceed 15 pages)

The 25-page limitation on proposal length applies overall to sections 1 through 8.

Use of this format will make it easier for grant reviewers to locate the requested information and to evaluate each application. Failure to follow this format may result in reviewers being unable to locate the requested information within the application.

I. *Introductory Material*

A. Cover Letter:

B. Title Page with Project Summary: The title page should include a one-paragraph description of your project covering both the planned intervention and its evaluation. This paragraph will provide the basis for any short summaries of the proposed grant that FNS prepares during the procurement process.

C. **Single Point of Contact**: Designate a single point of contact for your application. Provide the individual's name, title, mailing address, phone number, fax number, and email address.

D. **Table of Contents**:

II. *Abstract*

A. **Abstract**: Provide a 2-3 page summary of your project that includes: (1) a description of your planned intervention that specifies the nature of the intervention, the targeted audience (e.g., WIC staff, all WIC participants, WIC participants meeting specified criteria), and how the intervention will be implemented within a WIC office; (2) goals and objectives of the intervention; (3) project environment; (4) project evaluation, including its basic research questions, research design, and planned data collection, and (5) key personnel.

B. **Focus Area:** Provide a brief description of how your project meets the focus area you have selected to address. Details on this year's focus areas are contained in Attachment 1.[2]

III. ***Project Design and Implementation:*** Provide a detailed description of the following:

A. **Need for Project**: Discuss the problem that the proposed project addresses and how the expected results of the project can be used to improve program services in your State and at either the regional or national level.

B. **Goals**: List and discuss each goal of the project design and implementation.

C. **Objectives**: For each of the goals, list and discuss the associated objective(s). Objective(s) should be specific, measurable, and realistic (e.g. increase the proportion of parents knowledgeable about the importance of whole grains to good health by 25 percent, increase parents' servings of whole grain foods by one serving per day; increase % of CVVs redeemed by 10 percent).

D. **Tasks**: Discuss each specific task that will be undertaken during both project design and implementation (e.g. design a nutrition education intervention, select participants for the intervention, train staff to perform the intervention, modify or develop training materials) and evaluation (e.g., assign or recruit local offices to intervention and comparison groups, develop and test data collection instruments, collect data, analyze data, and report evaluation findings). Planned tasks must be necessary to meet the project's stated goals and objectives.

E. **Environment**: Depending on the structure of your project, respond to one and only one of the following. Choose the one that is most appropriate for your particular project.

- For projects that are intended to operate solely at the **State agency level** (e.g. analysis of data from periodic telephone surveys of WIC participants' food intake), provide a state-level description of relevant characteristics that impact the operation of the project (e.g. participant characteristics, equipment, space, staffing, program operations, etc.). Provide a **justification** for operating the project at the state-level.

- For interventions that will be implemented only **within selected local WIC clinics** and/or partner agencies, provide a local level description of relevant characteristics that impact the operation of the project (e.g. participant characteristics, equipment, space, staffing, and program operations, etc.). Provide a **justification** for your proposed choice of local clinics and/or partner agencies.

[2] Concept Papers funded in FY 2010 automatically meet an accepted focus area.

- For interventions that will be implemented only within selected local WIC clinics and/or partner agencies in which clinics or agencies have **not yet been selected,** provide a description of how you intend to select appropriate clinics or agencies. Provide a **justification** for your selection criteria.

Note that FNS does not recommend interventions that will be implemented **state-wide in every local WIC clinic or agency.** Without a control or comparison group (e.g., local WIC clinics or agencies in which the intervention has not been implemented), it is very difficult to develop a research design that can adequately evaluate the impacts of an intervention.

F. **Letters of Support**: If applicable, provide documentation of agreements or memoranda of understanding with local WIC clinics and/or partner agencies **in an appendix to the proposal that does not exceed 15 pages in length (does not count toward the 25-page limit on proposal length).**

IV. *Project Evaluation*:

FNS recognizes that many WIC State agencies may not have available staff experienced in preparing evaluation plans. State agencies applying for funding should include a staff person with experience in designing, developing, implementing and evaluating social or public health research projects. This person could be a social scientist or someone with a public health nutrition or public health research background from a university, consulting firm, institute, or government agency. As further assistance for developing the evaluation component, the following publications are available on the FNS/ORA website at www.fns.usda.gov/orna/.

WIC Evaluation Resource Guide

WIC Special Project Grants Evaluation Technical Assistance Guide

Nutrition Education: Principles of Sound Impact Evaluation

A. **Type of evaluation**: There are three types of evaluations commonly used to assess WIC and other social programs. Process or implementation evaluations provide detailed descriptive information on the way a program operates or an intervention is implemented. Outcome assessments or impact evaluations are usually more quantitative in nature and are designed to rigorously estimate actual project outcomes or impacts. The third type of evaluation, cost-benefit analysis, compares the estimated cost of a project with its estimated benefits. **Indicate the type(s) of evaluation you are planning to use.**

B. **Research Design**:

1. **Research Questions**: For each of the objectives of the project design and implementation, list and discuss ***specific*** research questions that will be answered during the evaluation (e.g., Does the proposed nutrition intervention increase participant consumption of fruits and vegetables, and by how much? Does acceptability of the training seminar by WIC nutritionists differ by characteristics such as ethnicity and years of experience?).

2. **Measures**: For each research question, discuss specific measures that you will use (e.g., maternal risk factors collected via telephone interview surveys; nutrition education attendance levels reported in administrative records). Discuss the strengths and weaknesses of the proposed measures.

3. **Research Methods**: Discuss the methods that will be used to answer the research questions, including:

   (a) Sampling plan(s) and expected sample size(s);

   (b) Data collection methods (how, by whom, how often, when);

   (c) Data analysis methods (how and by whom); and

   (d) Strengths and weaknesses of the research methods.

V. *Sustainability and Transferability*:

A. **Sustainability**: Confirm that the planned intervention meets all WIC regulations and guidance. Discuss how your project and its results will be sustained financially and administratively once the grant ends. If the project is a one-time project designed only to be performed during the grant period, discuss why it is sufficient as a one-time project and how the results will be used in the future.

B. **Transferability**: Discuss how your project and its results might inform other WIC State agencies and the feasibility (both financially and administratively) of implementing it in other states. Discuss plans for preparing and disseminating a final report including how and with whom the report will be shared (e.g., FNS, National WIC Association, conferences, universities, and journals).

VI. *Key Personnel:*

A. Applicants are responsible for identifying the individuals in their application that qualify as key personnel. Key personnel can include individuals

receiving funding through this grant, individuals who are making an in-kind contribution, and contractors/sub-contractors. Key personnel generally are identified as those individuals who:

- Have a direct bearing on the outcome of the project by their participation,
- Bear a substantive responsibility for developing, modifying and achieving the objectives of the project, or
- Are responsible for managing, administering, conducting or providing oversight for a significant component of the project.

B. For **all** identified key personnel, please provide the following information:

- Indicate the individual's current position and what their title will be on the proposed project.
- Describe the individual's specific role and duties on the project. Where possible, make reference to the project design/ implementation or project evaluation narrative (i.e., Jane Doe will be responsible for developing the training curriculum described on page 10 of the application).
- Describe prior relevant experience and how it relates to project duties.
- Identify time commitment for each key staff with percentages of FTE or total work hours per month for each of the three years of the project.
- Identify all other projects, job positions (governmental and/or contractual), and other work-related commitments that each key staff member will be scheduled to work on during the grant or concept paper time-frame.
- **In an appendix**, provide a current Resume or Vita for the individual.
- **In an appendix**, provide a letter of commitment from the individual's supervisor indicating the individual's time commitment to the project.
- For key project positions that are currently **vacant** that must be filled in the course of the project, provide the following information instead: 1) position title; 2) **in an appendix**, a detailed position description with required qualifications, skills, and knowledge; 3) a description of specific roles and duties on the project, making reference back to the project or evaluation narrative; 4) an anticipated date of hire; and 5)

what arrangements will be made if the position is not filled in a timely manner.

C. For key personnel **(and especially evaluation personnel or organizations)**, please identify any potential conflicts of interest (actual or perceived) that might prevent an independent and objective assessment of the implementation, impacts, or benefits of the proposed intervention (e.g., having a contractor both develop and assess an intervention). If any conflicts are identified, provide a discussion of what steps the State agency will take to ensure an objective and complete evaluation.

VII. *Management and Budget Plan*:

A. Management plans

1. **Chain of Command and Responsibilities**: Provide an organizational chart that indicates who has authority over whom, with a written description. Discuss how task leaders will be held accountable to keep the project on time and within budget. Describe how and by whom quarterly performance reports to FNS will be prepared as required by 7 CFR Part 3016.40.[3]

2. **Contingency Plans**: Discuss contingency plans for ensuring that the project is not unduly disrupted by problems in development of intervention materials, development or clearance of data collection instruments, recruitment of sites or participants, availability of key personnel, or other unforeseen factors. With regard to key personnel, identify specific individuals who will be able to take over project tasks if proposed staff is not available during the project, and indicate their qualifications to do so. Otherwise, discuss the process you will use to select qualified replacements.

3. **Outside Personnel**: Discuss how and by whom relationships with **all** personnel outside of the primary grantee agency will be managed (e.g., personnel from local WIC clinics or partner agencies, personnel from other State agencies, university personnel, consultants, contractors).

4. **Task Table**: Present a table which includes, in chronological order, **every** distinct task involved in both the project design and implementation and the project evaluation (e.g., implementation of new procedures pertinent to the project, survey development, training activities, data collection, data analysis, report writing), the beginning and ending date of each task, and the key staff person(s) responsible for overseeing/working on the task. The sample task table below, **though**

[3]Copies of 7 CFR Part 3016.40 may be requested from the FNS Grants Management Division.

neither comprehensive nor complete, demonstrates the first few project design, implementation and evaluation tasks of a sample project.

Sample Task Table

Task No.	Task Name	Description	Date Begins	Date Ends	Responsible Staff
1	Develop Curriculum	Develop Curriculum for use in the infant feeding practices nutrition education intervention	9/29/05	12/31/05	Jane Doe, Project Director & Suzy Que, Nutritionist
2	Test Curriculum	Field test the curriculum with 15 participants and 3 staff, hold focus groups with staff and with participants to identify necessary changes	1/1/06	2/1/06	Suzy Que, Nutritionist
3	Analyze Focus Group Data	Code, enter, and analyze data gathered in focus groups, identify necessary curriculum changes.	2/1/06	2/15/06	Jack Data, research analyst
4	Revise Curriculum	Revise curriculum based on results of focus groups	2/15/06	3/15/06	Suzy Que, Nutritionist
5	Develop KAB pre & post tests	Develop surveys to test infant feeding knowledge of participants before and after intervention	2/15/06	3/15/06	Lori Sample, Evaluation Consultant
6	Pre-test surveys	Field test the KAB pre & post test surveys with 15 participants	3/16/06	4/10/06	Jack Data, research analyst.

B. **Budget and Justification**:

1. **Budget**: Provide line item detail and calculations for each budget object class identified in Section B, Budget Categories (a-j), of SF 424A. Details of calculation(s) must include estimation methods, quantities, unit costs, and other similar detail sufficient for it to be duplicated. Budget details must be provided for both Federal and non-Federal resources.

   The budget narrative should provide enough detail for reviewers to easily understand how costs were determined and how they relate to the goals and objectives of the project. (Please see Attachment 5 entitled, "Budget Narrative Checklist")

   For purposes of preparing the budget, "Federal resources" refers only to the requested WIC Special Project Grant funds. Non-Federal resources are all other Federal and non-Federal resources, including **in-kind** contributions. It is suggested that budget amounts and computations be presented in a columnar format: first column, object class categories; second column, Federal resources; next column, non-Federal resources; and last column, total budget. A separate budget page is required for **each** budget year requested as well as a total across all years. As part of your budget, please assume the following:

   - One meeting per year for four years (including the final meeting and presentation of results to occur within 9 months of completion of the project) at FNS headquarters. Project expenditures through the final meeting must be included in the budget and expended prior to the grant expiration date. The annual meetings will be

scheduled for three days (travel may be necessary the day before and/or after a meeting). Each State agency should plan to send two participants.

- Each grantee will assume the cost for one conference call with FNS and the other grantees during the course of the project. Assume that 10 lines will be needed for the call and that the call will last 120 minutes.

A sample budget table is provided for illustrative purposes on page 20. It is not comprehensive and the unit costs and rates of pay are not necessarily intended to represent standard or reasonable costs.

2. **Budget Justification**: For each part of Section B, Budget Categories, applicants **must** submit a written justification for each budget category. The written justification should: 1) describe how the categorical costs were derived (i.e., price comparisons, standard government cost, estimates by proposed local vendor, prior experience with similar projects, etc.); 2) discuss the necessity, reasonableness, and allocability of proposed costs; and 3) when possible, link expenditures to specific project activities/tasks. For any contractual costs, please **also** provide a justification for the proposed selection method (i.e., competitive or sole source).

3. **Indirect cost rate agreements** (ICRA): Applicants claiming indirect costs **must** provide a copy (in an appendix) of an approved ICRA for all indirect costs and a written explanation for how the indirect costs were applied to the budget. If indirect costs are not being claimed, then please indicate such.

4. **Use of subcontractors:** According to 7 CFR 3016 (c), any contract that a State agency procures under this grant (if awarded) must be competitive unless FNS approves an exception for the State agency and allows it to use a sole-source contract. Please identify any contracts that you expect to award if this grant is awarded to you. Indicate whether the procurement will be competitive or sole source. If sole source procurement is planned, include a written request for an exception as part of your application. The request should include the name of the proposed contractor, a brief explanation of why the state has decided to award this contract as sole source, and a description of how the state determined the proposed cost of the contract to be fair and reasonable."

VIII. *Budget Material*

The following materials must be included:

- Standard Form 424 – Application for Federal Assistance

- Standard Form 424A – Budget Summary
- Standard Form 424B – Assurances – Non-Construction Programs
- Certification Regarding Lobbying
- Disclosure of Lobbying Activities

IX. *Appendices*

Each of the following sections may be included as a **separate** appendix:

A. Resumes and vitae for key personnel,
B. Letters of commitment from supervisors of key personnel,
C. Job descriptions for key personnel that must be hired,
D. Copies of agreements or memoranda of understanding with local WIC clinics and/or partner agencies, and
E. Any other supporting documentation.

Sample Budget Table (Year 1)

Object Class Categories	Federal Resources	Non-Federal Resources	Total
Personnel	**$25,000**	**$10,500**	**$35,500**
Jane Doe, Project Director	$50,000 salary@.40 FTE=$20,000		$20,000
Suzy Que, Nutritionist		$35,000 salary@.30 FTE=$10,500	$10,500
Jack Data, Research Analyst	$50,000 salary @.10 FTE=$5,000		$5,000
Fringe Benefits	**$5,000**	**$2,100**	**7,100**
Jane Doe, Project Director	$20,000*.20 fringe rate=$4,000		$4,000
Suzy Que, Nutritionist		$10,500*.20 fringe rate=$2,100	$2,100
Jack Data, Research Analyst	$5,000*.20 fringe rate=$1,000		$1,000
Travel	**$2,356**		**$2,356**
Travel to FNS headquarters	Airfare@$600 x 2 staff + perdiem@$145 x 2 staff x 2 days = $1780		$1780
Meetings between staff	.32 per mile@150 miles x 4 trips x 3 staff = $576		$576
Equipment	**$2,000**		**$2,000**
Computer	1 computer @ $2,000		$2,000
Supplies	**$150**		**$150**
Photocopying	1000 copies @ .05/copy = $50		$50
Fedex	20 Fedex packages @ $5.00 = $100		$100
Contractual	**$50,000**		**$50,000**
Evaluation Consultant	$50,000		$50,000
Construction	**$0**		**$0**
Other	**$1400**		**$1400**
Long-distance	3000 minutes @ .30/minute = $900		$900
Conference call with FNS and other grantees	1 call @ $100		$100
Total Direct	**$85,506**	**$12,600**	**$98,106**
Indirect Charges	**$9,000**	**$3,780**	**$12,780**
	.30 indirect rate * $30,000 salaries and fringe = $9,000	.30 indirect rate * $12,600 salaries and fringe = $3,780	
Totals	**$94,506**	**$16,380**	**$110,886**

EVALUATION OF GRANT APPLICATIONS

All applications will undergo an initial screening to verify completeness and adherence to proposal preparation instructions (see pages 7-20 for Terms and Conditions and Format and Requirements). Applications that do not meet this initial screen **will not be evaluated further**. After initial screening, FNS will convene a panel of FNS staff and representatives from the National WIC Association (NWA) to review and determine the technical merit of each grant application. The panel will evaluate each grant application according to how well it addresses each application component. The panel will assign each application a score using the evaluation criteria and weights specified below.

WEIGHTS: Scores will be assigned as follows:

5-Point Scale:	**1** = Unsatisfactory; **4** = Good;	**2** = Fair; **5** = Excellent.	**3**= Satisfactory;
10-Point Scale:	**1-2** = Unsatisfactory; **7-8** = Good;	**3-4** = Fair; **9-10** = Excellent.	**5-6**= Satisfactory;
15-Point Scale:	**1-3** = Unsatisfactory; **10-12** = Good;	**4-6** = Fair; **13-15**= Excellent.	**7-9**= Satisfactory;

TECHNICAL EVALUATION CRITERIA AND WEIGHTS

Project Design and Implementation	**20 points**
The significance of the problem to be addressed is demonstrated and specific gaps or weaknesses in regional or national services have been identified and will be addressed through the proposed project.	5
Project goals, objectives, and outcome measures are clearly identified and appropriate.	5
Project design and implementation tasks follow directly from project goals and objectives and the necessity of the tasks are adequately explained.	5
The environment in which the project will operate is appropriate and compatible with project goals and objectives, and proper justifications for the choice of the environment are provided. If applicable, letters of support or memoranda of understanding are included in the application.	5

Project Evaluation	**20 points**
Extent to which the research/project design, including research questions, measures, sampling, data collection, and data analysis is thorough, feasible and appropriate to the goals and objectives of the project.	10
Research plan includes appropriate and feasible use of a pre-post and/or treatment/comparison design with randomization. If such a research design is not appropriate for the proposed project, the proposal explains why, indicates the range of alternative designs considered, and provides a thoughtful explanation for the design proposed.	5
Potential problems and weaknesses with the research/project design are acknowledged and discussed.	5

Sustainability and Transferability	**20 points**
Feasibility of incorporating project purposes, activities, or results into the ongoing program of the agency at the end of Federal funding.	10
Transferability of the project and its results for adaptation and implementation by other State WIC agencies.	10

Key Personnel	**20 points**
Key personnel have the necessary education, skills, and experience for their proposed roles on the project. Supporting documentation (e.g. resume/vita, position descriptions for vacant positions) is included for all key personnel.	10
The time commitment, duties, staffing mix, and concurrent staff responsibilities within and outside the grant (i.e. staff responsibilities with other projects, job positions, consultant work, etc.), contingency plans, and a clearly defined chain of command of key personnel are reasonable and appropriate to successfully complete the grant. Supporting documentation (i.e., letters of commitment from supervisors) should be included for all key personnel.	10

Management and Budget Plan	**20 points**
The management plan provides a task description and table that demonstrates a thorough understanding of the tasks, timeline, and staffing needed to successfully complete the project. The management plan also provides the oversight necessary to ensure	10

high quality products, services, or outcomes, and to keep the project on time and within budget (including appropriate plans for managing outside personnel).

The budget request is adequate to support the project and detailed calculations and budget for both Federal and non-Federal resources are provided. 5

Appropriate budget justifications are provided, including descriptions of how categorical costs were derived, discussions of necessity, reasonableness, and allocability of costs, and links between expenditures and activities/tasks. If applicable, justifications for contract selection methods (especially sole source procurements) are provided. 5

SELECTION OF GRANT APPLICATIONS

After evaluation and scoring, grant applications will be arrayed by score, starting with the highest score. In general, awards will be made in ranking order until available funds are committed. However, if the selecting officials determine that, based upon their scores, few of the applications are of technical merit, FNS can award no grants or less than the total amount of funds set aside for this purpose. In addition, FNS reserves the option to select out of ranking because of geographic diversity or agency priority, or to select an ITO in order to achieve a diversity and regional representation.

Once the grant is awarded, the State agency must sign an agreement containing the terms and conditions of the grant contained in the regulations listed below. (A copy of these regulations may be obtained at **http://www.gpoaccess.gov/cfr/index.html**) Applicants must agree to comply with the USDA regulations below, which codify Office of Management and Budget (OMB) circulars, as follows:

2 CFR Part 25:	"Universal Identifier and Central Contractor Registration"
2 CFR Part 170:	"Reporting Subaward and Executive Compensation Information"
2 CFR Part 175:	"Trafficking Victims Protection Act;"
7 CFR Part 15:	"Regulation Prohibiting Discrimination in Programs Receiving Federal Financial Assistance from USDA
7 CFR Part 3015:	"Uniform Federal Assistance Regulations;"
7 CFR Part 3016:	"Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments" (Reference OMB Circular A-102 Common Rule);
7 CFR Part 3017:	Subparts A-E, "Government-wide Debarment and Suspension (Non-Procurement);"
7 CFR Part 3018:	"New Restrictions on Lobbying;"
7 CFR Part 3019:	OMB Circular A-110, "Uniform Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations;"

7 CFR Part 3021: "Government-wide Requirements for a Drug-free Workplace (Financial Assistance);" and
7 CFR Part 3052: OMB Circular A-133, "Audits of States, Local Governments and Non-Profit Organizations."
40 CFR Part 34.34: "Copyrights"
41 CFR 1-15.2 (FAR Part 31): Cost Principles for For-Profit Organizations.

Code of Federal Regulation Cost Principles:

2 CFR, Subtitle A, Chapter II, Part 225 State, Local, and Indian Tribal
2 CFR, Subtitle A, Chapter II, Part 220 Education Institutions
2 CFR, Subtitle A, Chapter II, Part 230- Non Profit Organizations

OMB Circular A-133: Audits of State, Local Governments and Nonprofit Organizations.

LIST OF ATTACHMENTS

1. FOCUS AREA DESCRIPTIONS

2. APPLICATION CHECKLIST

3. TERMS AND CONDITIONS OF AWARD

4. BUDGET NARRATIVE CHECKLIST

5. STANDARD FORM 424 - APPLICATION FOR FEDERAL ASSISTANCE (FOR NON-CONSTRUCTION)

   INSTRUCTIONS FOR COMPLETING STANDARD FORM 424

   STANDARD FORM 424a - BUDGET SUMMARY

   STANDARD FORM 424b – ASSURANCES – NON CONSTRUCTION PROGRAMS

   CERTIFICATION REGARDING LOBBYING

   DISCLOSURE OF LOBBYING ACTIVITIES

   REQUIRED FORMS FOR STATE AGENCIES

6. TIMELINE

ATTACHMENT 1

FISCAL YEAR (FY) 2011 WIC SPECIAL PROJECT GRANTS

FOCUS AREA FOR FULL GRANTS

FY 2011 WIC Special Project Full Grants are open to consideration in all WIC-related program areas and may focus on either general WIC Program issues or those issues related to specific categories of WIC participants. However, the following focus areas are of particular interest to FNS for FY 2011:

1) *Retention of children participating in WIC.*
   This focus area is intended for applicants who would like to implement and evaluate innovative strategies for retaining children (ages 1 through 4 years) currently participating in WIC.

2) *Client-Centered Nutrition Education*.
   Building on the Value Enhanced Nutrition Assessment (VENA) competencies (critical thinking, rapport building, and utilizing a health-outcome based assessment), FNS is interested in projects that integrate VENA skills and principles to deliver relevant client-centered nutrition services (education, referrals, follow-up) that focus on WIC participants' identified needs and concerns. Grant proposals in this area should use grant funds to develop and evaluate interactive client-centered nutrition services that build upon VENA. (For further background on VENA see **http://www.fns.usda.gov/wic/vena/venaexecsum.pdf**).

3) *Increasing redemption of Cash Value Vouchers (CVV).*
   Current data suggest that the CVV is not being fully used by participants. EBT data from 2 State agencies indicate CVV redemption rates of approximately 70-80 percent. This focus area is intended to examine innovative ways to expand and promote redemption of the CVV by a greater percentage of participants and redemption at their full value.

Full grants for FY 2011 will be accepted for consideration on all WIC related program areas with the following two caveats. First, the grants must be able to demonstrate that the proposed concept has the potential to be transferred to or replicable by other WIC State agencies. Second, the proposed grant must fall within an allowable area for expenditure of WIC funds. Otherwise, all WIC program areas are open for consideration and may include, but are not restricted to one or more of, the following:

- Administration
- Screening/Eligibility Determination
- Referrals
- Nutrition Services

- Nutrition Risk Assessment
- Obesity Prevention
- Food Packages
- Breast Feeding
- VENA
- Vendor Management

Full grant requests will be considered that address the general WIC population or focus on specific segments of WIC participants.

FNS will consider grant applications proposing to evaluate focus areas other than the ones listed above as long as the projects are aimed at helping State agencies develop, implement and evaluate new or innovative methods of service delivery to meet the changing needs of WIC participants. For example, ideas stemming from the *Planning a WIC Research Agenda* conference will be considered[4].

All Grant Projects should:

- Demonstrate national or regional significance,
- Produce results which have a demonstrable impact and are sustainable in the absence of special funding,
- Be transferrable to other WIC Programs in the region or nationally,
- Be evaluated with measurable results and can be replicated by other WIC Programs, and
- Suggest innovative or creative approaches to improving the delivery of WIC services.

FNS is particularly interested in evaluations with well developed specific, measurable, and realistic goals and objectives. FNS is also especially interested in projects that utilize the WIC Works Resource System to disseminate information/resources.

The most appropriate grant proposals will be those that: (1) include a clear description of the planned project or intervention and how it would address its focus area; (2) include the major goals and clearly defined objectives and outcome measures of the project; (3) explain how the project would be implemented and discuss its sustainability and transferability; and (4) indicate plans for a rigorous evaluation component.

It is recommended that preparers of applications review the evaluation criteria listed in the RFA for further guidance on what should be included in the application

[4] At the request of the Food and Nutrition Service, in July 2010 the Institute of Medicine held a workshop: *"Health Impacts of WIC — Planning a WIC Research Agenda"* [see final report at http://www.iom.edu/Reports/2010/Planning-a-WIC-Research-Agenda.aspx]. While some proposed ideas are too large to fit within the Special Project Grants framework, other proposed ideas could be conducted as a WIC Special Project Grant.

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ATTACHMENT 2

APPLICATION CHECKLIST

PROPOSAL REQUIREMENTS

_____ Format:
- _____ Number of pages: up to 25 excluding up to 15 pages of appendices
- _____ Font size no smaller than 12 point
- _____ 8 ½" X 11" paper
- _____ Single-sided
- _____ Single-spaced

_____ I. Preface
- _____ A. Table of Contents
- _____ B. Single Point of Contact
- _____ C. Abstract

_____ II. Project Design and Implementation
- _____ A. Need for Project
- _____ B. Goals
- _____ C. Objectives
- _____ D. Tasks
- _____ E. Environment
- _____ F. Letter of Support

_____ III. Project Evaluation
- _____ A. Type of Evaluation
- _____ B. Research Design

_____ IV. Sustainability and Transferability
- _____ A. Sustainability
- _____ B. Transferability

_____ V. Key Personnel

_____ VI. Management and Budget Plan
- _____ A. Management Plans
- _____ B. Budget and Budget Justification

_____ VII. Appendices (15 page maximum)
- _____ A. Resumes and vitae for key personnel
- _____ B. Letters of commitment from supervisors of key personnel
- _____ C. Job descriptions for key personnel that must be hired
- _____ D. Copies of agreements and memoranda of understanding with local WIC clinics and/or partner agencies
- _____ E. Any other supporting documentation

ATTACHMENT 2 (cont.)

STANDARD FORMS (see Attachment 5)

_____ Standard Form 424, Application for Federal Assistance

_____ Standard Form 424A, Budget Summary

_____ Standard Form 424B, Assurances - Non-Construction Programs

CERTIFICATION (see Attachment 5)

_____ Certification Regarding Lobbying - Contracts, Grants, Loans, and Cooperative Agreements

_____ SF-LLL Disclosure of Lobbying Activities

REQUIRED FORMS FOR STATE AGENCIES (see Attachment 5)

_____ AD-1047, Certification Regarding Debarment, Suspension, and Other Responsibility Matters

_____ AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

_____ AD 1052, Certification Regarding Drug-Free Workplace Requirements, State and State Agencies

OBTAIN A DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

_____ Registered and obtained a Data Universal Numbering System (DUNS) number.

CENTRAL CONTRACTOR REGISTRY REGISTRATION

_____ Registered in the Federal Government's Central Contractor Registry (CCR).

ATTACHMENT 3

TERMS AND CONDITIONS OF AWARD

This grant will be awarded and administered in accordance with the applicable regulations and OMB grant circulars, as described below. **Copies of these documents are available from the Grants Officer upon request.**

2 CFR Part 25: "Universal Identifier and Central Contractor Registration"

2 CFR Part 170: "Reporting Subaward and Executive Compensation Information"

2 CFR Part 175: "Trafficking Victims Protection Act"

7 CFR Part 15: "Regulation Prohibiting Discrimination in Programs Receiving Federal Financial Assistance from USDA"

7 CFR Part 3015: "Uniform Federal Assistance Regulations"

7 CFR Part 3016: "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"

7 CFR Part 3017: Subparts A-E "Government-wide Debarment and Suspension (Non-procurement)"

7 CFR Part 3018: "New Restrictions on Lobbying"

7 CFR Part 3019: "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations"

7 CFR Part 3021: "Government-wide Requirements for a Drug-free Workplace (Financial Assistance)"

7 CFR Part 3052: "Audits of States, Local Governments and Non-Profit Organizations"

40 CFR Part 34.34: "Copyrights"

41 CFR 1-15.2 (FAR Part 31): Cost Principles for For-Profit Organizations.

Code of Federal Regulation Cost Principles:

2 CFR, Subtitle A, Chapter II, Part 225 State, Local, and Indian Tribal
2 CFR, Subtitle A, Chapter II, Part 220 Education Institutions
2 CFR, Subtitle A, Chapter II, Part 230- Non Profit Organizations

OMB Circular A-133: Audits of State, Local Governments and Nonprofit Organizations.

40 CFR Part 31.34 - Copyrights

The Federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes:

(a) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and

(b) Any rights of copyright to which a grantee, subgrantee or a contractor purchases ownership with grant support.

2 CFR Part 25 – Universal Identifier and Central Contractor Registration

Effective October 1, 2010, all grant applicants must obtain a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number as a universal identifier for Federal financial assistance applicants, as well as active grant recipients and their direct subrecipients of a subgrant award. To request a DUNS number visit **http://fedgov.dnb.com/webform**

The grant recipient must register its DUNS number into the Central Contractor Registration (CCR) as the repository for standard information about applicants and recipients, and the registration must be maintain in the CCR throughout the performance period of the grant award. To register a DUNS number and or maintain a CCR registration visit www.ccr.gov. OMB requires grant recipients DUNS number registered in CCR be current in order to access (usaspending.gov) the federal prime grant recipient reporting website.

FNS may not make an award to an entity until the entity has complied with the requirements described in 2 CFR 25.200 to provide a valid DUNS number and maintain an active CCR registration with current information.

2 CFR Part 170—Reporting Subaward and Executive Compensation

As required by the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109–282), as amended by section 6202 of Public Law 110–252, hereafter referred to as "the Transparency Act", requirements for recipients' reporting of information on subawards and executive total compensation.

Prime Grant Recipients awarded a new Federal grant greater than or equal to $25,000 as of October 1, 2010 are subject to FFATA subaward reporting. The prime recipient is required to file a FFATA subaward report by the end of the month following the month in

which the prime recipient awards any sub-grant greater than $25,000. The grants subaward reporting data must be entered into the Federal Subaward Reporting System (FSRS) available at **www.fsrs.gov**. Specific OMB award terms and conditions will be included in all grant awards.

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ATTACHMENT 4

Budget Narrative Checklist – This checklist will assist you in completing the budget narrative portion of the application. Please review the checklist to ensure the items below are addressed in the budget narrative**. NOTE:** The proposal project description (statement of work) must capture the bona fide need. The budget and budget narrative must be in line with the proposal project description. FNS reserve the right to request information not clearly addressed.

	YES	NO
Personnel		
Did you include all key employees paid for by this grant under this heading?		
Are employees of the applicant's organization identified by name and position title?		
Did you reflect the current yearly salary as a percentage of time to be devoted to the project?		
Fringe Benefits		
Did you include your organization's fringe benefit amount along with the basis for the computation?		
Did you list the type of fringe benefits to be covered with Federal funds?		
Travel		
Are travel expenses itemized? For example origination/destination points, number and purpose of trips, number of staff traveling, mode of transportation and cost of each trip.		
Are the Attendee Objectives and travel justifications included in the narrative?		
Is the basis for the lodging estimates identified in the budget? For example include excerpt from travel regulations.		
Equipment		
Is the need for the equipment justified in the narrative?		
Are the types of equipment, unit costs, and the number of items to be purchased listed in the budget?		
Is the basis for the cost per item or other basis of computation stated in the budget?		
Supplies		
Are the types of supplies, unit costs, and the number of items to be purchased reflected in the budget?		
Is the basis for the costs per item or other basis of computation stated?		
Contractual: (FNS reserve the right to request information on all contractual awards and associated costs after the contract is awarded.)		
Has the bona fide need been clearly identified in the project description to justify the cost for a contract or sub-grant expense(s) shown on the budget?		
A justification for all Sole-source contracts must be provided in the budget narrative prior to approving this identified cost.		
Other		
Consultant Services. – Has the bona fide need been clearly identified in the project description to justify the cost shown on the budget. The following information must be provided in the justification: description of service, the consultant's name and an itemized list of all direct cost and fees, number of personnel including the position title (specialty and specialized qualifications as appropriate to the costs), Number of estimated hours X hourly wages, and all expenses and fees directly related to the proposed services to be rendered to the project.		
For all other line items listed under the "Other" heading, list all items to be covered under this heading along with the methodology on how the applicant derived the costs to be charged to the program.		
Indirect Costs		
Is the amount requested based upon a rate approved by a Federal Agency? If yes, is a copy of the negotiated rate agreement must be provided along with the application.		
If the applicant does not have a negotiated indirect cost agreement approved be a federal cognizant federal agency used to determine the base rate of this costs; the application should show this cost as a direct cost to the budget..		

FOR GRANT APPLICANT USE ONLY. DO NOT RETURN THIS FORM WITH THE APPLICATION

ATTACHMENT 5

The following forms and documents are included in this attachment:

STANDARD FORM 424 - APPLICATION FOR FEDERAL ASSISTANCE (FOR NON-CONSTRUCTION)

INSTRUCTIONS FOR COMPLETING STANDARD FORM 424

STANDARD FORM 424a - BUDGET SUMMARY

STANDARD FORM 424b – ASSURANCES – NON CONSTRUCTION PROGRAMS

CERTIFICATION REGARDING LOBBYING

DISCLOSURE OF LOBBYING ACTIVITIES

REQUIRED FORMS FOR STATE AGENCIES ONLY

1. **AD-1047**- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

2. **AD-1048**- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION- LOWER TIER COVERED TRANSACTIONS

3. **AD-1052**- CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS, STATE AND STATE AGENCIES

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STANDARD FORM 424

Version 7/03

APPLICATION FOR FEDERAL ASSISTANCE

2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE	State Application Identifier
4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

1. TYPE OF SUBMISSION:
☐ Application ☐ Pre-application
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

5. APPLICANT INFORMATION

Legal Name:

Organizational Unit:
Department:

Organizational DUNS:

Division:

Address:

Name and telephone number of person to be contacted on matters involving this application (give area code)

Street:

Prefix: **First Name:**

City:

Middle Name:

County:

Last Name:

State: **Zip Code:**

Suffix:

Country:

Email:

6. EMPLOYER IDENTIFICATION NUMBER (EIN):
☐☐-☐☐☐☐☐☐☐

Phone Number (give area code) **Fax Number (give area code)**

8. TYPE OF APPLICATION:
☐ New ☐ Continuation ☐ Revision

If Revision, enter appropriate letter(s) in box(es)
(See back of form for description of letters.)

7. TYPE OF APPLICANT: (See back of form for Application Types)

Other (specify)

9. NAME OF FEDERAL AGENCY:

Other (specify)

10 CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:
☐☐-☐☐☐

TITLE (Name of Program):

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc):

13. PROPOSED PROJECT
Start Date: **Ending Date:**

14. CONGRESSIONAL DISTRICTS OF:
a. Applicant **b. Project**

15. ESTIMATED FUNDING:

a. Federal	$
b. Applicant	$
c. State	$
d. Local	$
e. Other	$
f. Program Income	$
g. TOTAL	$

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. Yes ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
DATE:

b. No ☐ PROGRAM IS NOT COVERED BY E. O. 12372
☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes" attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative

Prefix **First Name** **Middle Name**

Last Name **Suffix**

b. Title **c. Telephone Number (give area code)**

d. Signature of Authorized Representative **e. Date Signed**

Previous Edition Usable
Authorized for Local Reproduction

Standard Form 424 (Rev. 9-2003)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

It **Entry:**
Select Type of Submission.

Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable)
State use only (if applicable).

Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.
Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.

Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7 **Select the appropriate letter in the space provided.**
A. State
B. County
C. Municipal
D. Township
E. Interstate
F. Intermunicipal
G. Special District
H. Independent School District
I. State Controlled Institution of Higher Learning.
J. Private University
K. Indian Tribe
L. Individual
M. Profit Organization
N. Other (Specify)
O. Not for Profit Organization

8 **Select the type from the following list:**
- **"New" means a new assistance award.**
- **"Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.**
- **"Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter:**

A. Increase Award **B. Decrease Award**
C. Increase Duration **D. Decrease Duration**

9 **Name of Federal agency from which assistance is being requested with this application.**

1(**Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.**

I **Entry:**
Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
List only the largest political entities affected (e.g., State, counties, cities).

Enter the proposed start date and end date of the project.
List the applicant's Congressional District and any District(s) affected by the program or project

Amount requested or to be contributed during the first funding/ budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.

1 **This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.**

1 **To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)**

SF-424 (Rev. 7-97) Back

STANDARD FORM 424A - BUDGET SUMMARY

} BUDGET INFORMATION - Non-Construction Programs				OMB Approval No. 0348-0044		
SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. ANA SEDS	93-612	$	$	$ 0	$ 0.00	$ 0.00
2.						0.00
3.						0.00
4.						0.00
5. TOTALS		$ 0.00	$ 0.00	$0.00	$ 0.00	$ 0.00
SECTION B - BUDGET CATEGORIES						
6. OBJECT CLASS CATEGORIES		GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
		(1) ANA SEDS	(2)	(3)	(4)	
a. Personnel		$	$	$	$	$ 0
b. Fringe Benefits						0
c. Travel						0
d. Equipment						0
e. Supplies						0
f. Contractual						0
g. Construction						0
h. Other						0
i. Total Direct Charges (sum of 6a - 6h)			0.00	0.00	0.00	0
j. Indirect Charges						0
k. TOTALS (sum of 6i and 6j)		$	$0.00	$0.00	$ 0.00	$ 0
7. Program Income		$ 0.00	$	$	$	$ 0.00

} SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. ANA SEDS		$ 0.00	$ 0.00	$ 0.00	$ 0.00
9.					0.00
10.					0.00
11.					0.00
12. TOTAL (sum of lines 8 and 11)		$ 0.00	$ 0.00	$ 0.00	$ 0.00
SECTION D - FORECASTED CASH NEEDS					
13. Federal	(Total for 1st Year)	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
14. NonFederal	0.00	0.00	0.00	0.00	0.00
15. TOTAL (sum of lines 13 and 14)	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	(e) Fourth
16. ANA SEDS		$ 0.00	$ 0.00	$0.00	$ 0.00
17.					
18.					
19.					
20. TOTALS (sum of lines 16 - 19)		$ 0.00	$ 0.00	$ 0.00	$ 0.00
SECTION F - OTHER BUDGET INFORMATION (Attach additional sheets if Necessary)					
21. Direct Charges: $ 0.00			22. Indirect Charges: $ 0.00		
23. Remarks:					

SF 424A (4-88) Page 2

Prescribed by OMB Circular A-102

AUTHORIZED FOR LOCAL REPRODUCTION

OMB Control Number 0584-0512
OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such 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 cost) 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 19 statutes or regulations specified in Appendix A of OPM'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) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. 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.

8. Will comply, as applicable, 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.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), 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 subagreements.

10. 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.

11. 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 floodplains 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).

12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. 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.).

14. 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.

15. 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.

16. Will comply with the Lead-Based 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.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

CERTIFICATION REGARDING LOBBYING

CERTIFICATION FOR CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. 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 employee of congress, or an employee of a member of congress in connection with the awarding of any Federal contract, 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 contract, grant, loan, or cooperative agreement.

2. 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 contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, □ Disclosure Form to Report Lobbying, □ in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans and cooperative agreements) 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 such failure.

By _____ Date: _____
(Signature of Official [Executive Director] Authorized to Sign Application)

By _____ Date: _____
(Signature of Official (Chief Financial Officer) Authorized to Sign Application)

For _____
Name of Grantee

_____
Title of Grant Program

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DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

0348-0046

(See reverse for public burden disclosure)

1. Type of Federal Action: ☐ a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	**2. Status of Federal Action:** ☐ a. bid/offer/application b. initial award c. post-award	**3. Report Type:** ☐ a. initial filing b. material change **For material change only:** Year _____ quarter _____ Date of last report_____

4. Name and Address of Reporting Entity: ☐ Prime ☐ Subawardee Tier_____, *if known*: **Congressional District,** *if known*:	**5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime**: **Congressional District,** *if known*:
6. Federal Department/Agency:	**7. Federal Program Name/Description:** CFDA Number, *if applicable*: _____
8. Federal Action Number, *if known:*	**9. Award Amount**, *if known:* **$**
10. a. Name and Address of Lobbying Registrant *(if individual, last name, first name, MI):*	*a.* **Individuals Performing Services** *(including address if different from No. 10a) (last name, first name, MI):*
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.	Signature: _____ Print Name:_____ Title:_____ Telephone No.: _____ Date: _____

Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required within 30 days of each payment or agreement to make payment to any lobbying entity 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 a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.

2. Identify the status of the covered Federal action.

3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.

4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the lst tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.

5. If the organization filing the report in item 4 checks ☐subawardee,☐ then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.

6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.

7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.

8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 [e.g., Request for Proposal (RFP) number: Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency]. Include prefixes, e.g., ☐RFP-DE-90-001.☐

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

    (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

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AD-1047- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989 Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency offering the proposed covered transaction.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) have not within a three-year period preceding this proposal been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name | PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s) | Date

Clear Form

Form AD-1047 (1/92)

Instructions for Certification

1. By signing and submitting this form, the prospective primary participant is providing the certification set out on the reverse side in accordance with these instructions.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out on this form. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this form that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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AD-1048- CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION- LOWER TIER COVERED TRANSACTIONS

U.S. DEPARTMENT OF AGRICULTURE

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Organization Name | PR/Award Number or Project Name

Name(s) and Title(s) of Authorized Representative(s)

Signature(s) | Date

Clear Form

Form AD-1048 (1/92)

Instructions for Certification

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transaction and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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AD-1052- CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS, STATE AND STATE AGENCIES

AD-1052, Certification Regarding Drug-Free Workplace

U.S. DEPARTMENT OF AGRICULTURE
CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
STATES AND STATE AGENCIES
FEDERAL FISCAL YEAR 2011

This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.), 7 CFR Part 3017, Subpart F. The regulations, published as Part II of the May 25, 1990 Federal Register (pages 21681-21691), require certification by grantees, prior to award, that they will maintain a drug-free workplace. Section 3017.630(c) of the regulation provides that a grantee that is a State may elect to make one certification to the Department of Agriculture in each Federal fiscal year in lieu of certificates for each grant during the Federal fiscal year covered by the certification. The certificate set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. False certification or violation of the certification shall be grounds for suspension of payments, suspension or termination of grants, or Governmentwide suspension or debarment (see 7 CFR Part 3017, Sections 3017.615 and 3017.620). States and State agencies using this form should send it to: U.S. Department of Agriculture, Office of Finance and Management, Federal Assistance and Fiscal Policy Division, Federal Assistance Team, Room 3031 South Building, Washington, D.C. 20250.
(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON PAGE 3)

A. The grantee certifies that it will or will continue to 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 an ongoing 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 –

29.35 - Exhibit 01--Continued

(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar 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, consistent with the requirements of the Rehabilitation Act of 1973, as amended; 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).

This certification is for a (check one) ☐ State (All State Agencies) ☐ Single State Agency

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, State, zip code)

_____

_____

_____

Check ☐ if there are workplaces on file that are not identified above.

_____
State / State Agency Name

_____ _____
Name and Title of Authorized Representative

_____
Signature Date

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ATTACHMENT 6

TIMELINE
PLANNED DATES
2011 WIC SPECIAL PROJECTS
FULL GRANT AWARDS

Activity	**Due Date**
1. Application Submission for Full Grants	5:00 PM on April 29, 2011
2. Award Date	September 30, 2011
3. First Year Annual Meeting	May 2012
4. Second Year Annual Meeting	May 2013
5. Third Year Annual Meeting	May 2014
6. Final Annual Meeting and Presentation of Results	May 2015
7. Period of Performance Ends	September 30, 2015
8. Full Grant Expires	September 30, 2015
9. Final Progress Report	December 31, 2015
10. Final Financial Report	December 31, 2015