

**Application Instructions for Existing Procurement Technical Assistance
Center Option Period Awards under the
Procurement Technical Assistance Program**

Your application must be submitted at grants.gov. You may find, download and submit the application package at grants.gov by searching for the pertinent funding opportunity number, which is usually included in the funding opportunity announcement and/or provided to you directly. If you do not know the funding opportunity number, you can also find opportunities for the PTAP at grants.gov by searching for CFDA number 12.002. Other information to help you prepare your application is posted at dla.mil/smallbusiness/ptap/resources.

All applicants must submit an application under funding opportunity DLA-202101A no later than September 29, 2020. Applicants may choose to submit their entire streamlined application at that time and have no further submission requirements, or, you may also choose to submit only the SF424 and Past Performance Data Sheet at that time, and submit the remaining streamlined documents under funding opportunity DLA-202101B 120 days* prior to the end of your current award period of performance. *this timeframe would require some applicants to submit their application prior to the September 29th due date. For those recipients, the due date for both step 1 and step 2 is September 29th. Grants Officers may extend the application due date for step 2 applications upon request.

To reduce administrative burden during this option period, recipients will select which documents are necessary to communicate the proposal to the Grants Officer. If your option period application is for the same strategy and cost as the base period you need only submit the following MINIMUM DOCUMENTATION:

- SF424,
- Past Performance Data Sheet,
- Estimated budget (Excel file format)
- Certification of Cost Matching Funds,
- Third party letters of commitment. (only required IF you intend to use third party in kind)

If any part of your strategy has changed, please submit the MINIMUM DOCUMENTATION as well as additional documents you believe the Grants Officer (GO) will need to understand what is different from the base period. The GO will ask for additional documentation as-needed and may send awards for recipient signature without discussions when the intent is clear.

Section A. Application Components

- 1. SF 424, Application for Federal Assistance.** Complete the SF 424 and if your proposed service area has changed, attach the proposed service area listing in block 14. You may use the template for the Proposed Service Area Listing available [here](#), which provides an example of the information that we need in this attachment.

By signing the SF 424, you are providing the certifications and assurances in the funding opportunity announcement.

2. Past Performance Data Sheet. Populate the data sheet available and attach in Block 15 of the SF424.

3. SF 424A, Budget Information - Non-Construction Programs. Complete the SF 424A using the instructions for the form.

4. Non-SF424 Attachments should be scanned together and uploaded as one PDF file unless you intend to include the full text of an audit. Audits are usually large and should be uploaded as a separate attachment labeled or titled including “audit”. Whenever possible it is preferable to identify the URL where the audit may be reviewed instead of uploading a file containing the audit.

Ensure that you follow [grants.gov](https://www.grants.gov) rules in naming and attaching files because attachments that do not follow the rules may cause the entire application to be rejected or cause issues during processing. Limit file names to 50 or fewer characters and use only the following characters when naming attachments: A-Z, a-z, 0-9, underscore (_), hyphen (-), space and period. Do not attach multiple documents with the same file name or attach the same file more than once. A user guide and contact information for [grants.gov](https://www.grants.gov) support is provided at [grants.gov](https://www.grants.gov).

Description of Information you may need to attach to convey how the option period strategy differs from the base period strategy:

-Information that attests to the **commitment of matching funds** to your program. You may use the templates for Certification of Cost Matching Funds Letter and Third-Party Letter(s) of Commitment available on DLA’s Resources for PTACs webpage. (formerly called Attachment 1)

-Information to support any proposed **third-party in-kind contributions**. The information that we need is described in Section C below. (formerly called Attachment 2)

-Information to describe and provide a basis for **fringe benefit amounts** included in your budget. Simply stating what the rate is (e.g., 30%) does not adequately fulfill this requirement. Where fringe benefit rates have been approved in conjunction with an indirect cost rate, the negotiated rate memorandum should be provided and no further explanation is necessary. (formerly called Attachment 3)

-The **negotiated rate memorandum** from the cognizant federal agency. Site the de minimis rate described in 2 CFR 200.414(f) if it applies. (formerly called Attachment 4)

-**Cost Sharing ratio.** The Federal share of cost is limited to no more than 60 percent unless you provide procurement technical assistance in a distressed area, in which case our share is limited to no more than 75 percent. *Distressed area* means an area of local government (i.e., usually a city or county) that has a per capita income of 80 percent or less of that State’s average or an unemployment rate that is one percent greater than the national average for the most recent 24-month period for which

statistics are available. You need not conduct analysis if your proposed service area is designated by Bureau of Indian Affairs' regions because these are automatically considered distressed areas. (formerly called Attachment 5)

If the proposed federal cost share exceeds 60% -

- a. Attach an analysis verifying that your proposed service area meets the definition of a distressed area. Refer to the guidance provided [here](#) for additional assistance conducting your analysis.
 - (1) Using per capita income. [US Department of Commerce](#), Bureau of Economic Analysis (BEA) data must be used. In conducting your analysis, compare state and local area "per capita personal income" for the most recent year available; or
 - (2) Using unemployment rates. [US Department of Labor](#), Bureau of Labor Statistics (BLS) data must be used. In comparing national and local area unemployment rates, use the average taken over the most recent 24-month period for which both national and local area statistics are available (use "not seasonally adjusted" data). Use the latest final data available, i.e., do not use "preliminary" data published by BLS.
- b. If you are proposing **two separate budgets** for providing services in both distressed and non-distressed areas, explain and justify the methodology that you used to separate the distressed and non-distressed portions of your budget. When preparing this information, ensure that your methodology is sufficiently explained so that it is clear that costs have been allocated in proportions that reasonably approximate the costs necessary to serve the distressed and non-distressed portions of your service area. Refer to [Section D](#) below for additional information.

-Determination of **statewide** coverage. Statewide coverage means a PTAC that provides procurement technical assistance in at least one-half of a state's counties or equivalent coverage (e.g., parishes, boroughs, etc) and serves at least three-fourths of the state's labor force. If you propose a statewide program but will cover less than the entire state, attach documentation to verify that your service area meets the definition of statewide coverage. Refer to the guidance provided [here](#) for assistance in conducting your analysis. Use the most recent, annual labor force statistics available from the [US Department of Labor](#), Bureau of Labor Statistics. (formerly called Attachment 6)

-Program Execution Strategy. Describe how you will comply with the "Program Requirements" part of the PTAP General Terms and Conditions, which are available [here](#). Include all information necessary for us to conduct an evaluation of your application using the evaluation factors in the funding opportunity announcement. If you intend to earn **program income**, e.g., **charge clients a fee for any services rendered or advertising/sponsorship**, include a discussion concerning the amount of fees to be charged, how this income will be used to further program objectives, and assert your understanding that you're required to report the gross program income on the SF270 and SF425. (formerly called Attachment 7)

-Information about each of the **personnel positions** included in your budget. You may use the template available [here](#), which provides an example of the information that we need. Describe the position, rather than the individual occupying it. Include names and work locations of employees occupying filled positions. (formerly called Attachment 8)

-**Resume** for the proposed Program Manager (PM) when a change in PM is proposed. (formerly called Attachment 9)

-**Budgets for your subawards** in Microsoft Excel format, if you plan to make any, using Section B of the SF 424A (Section B is available [here](#)). If you have subrecipients, your budget should show the total amount of each subaward within your budget's contractual cost category, where you should summarize the total amount of the subaward as a single line item – refer to [B.6](#) below. Use Section B of the SF 424A to show the details of each subrecipient's budget by cost category (i.e., personnel, fringe benefits, travel, etc). You can show up to four subawards on one SF 424A by listing subawards in Section B, line 6, column headings (1) – (4). Use additional pages if you need to. You do need to show Federal and Non-Federal shares or complete the other sections of the SF 424A for subrecipients. (formerly called Attachment 11)

-Proposed **performance goals** and explain how you developed them. Include goals for 1) number of new clients; 2) hours of counseling time; and 3) number of participated events. Refer to the instructions for the DLA Form 1806 in Appendix A to the PTAP General Terms and Conditions for more information about your goals. (formerly called Attachment 12)

-**Organizational chart** showing the PTAC's placement within the host organization and lines of reporting for the Program Manager to the head of the host organization, including all positions within that line of authority. Identify positions and employee's names for all filled positions. For those PTACs utilizing subrecipient and/or satellite offices, show the organizational placement and relationship of these entities to the PTAC. (formerly called Attachment 13)

-Latest **audit** in accordance with Subpart F of 2 CFR Part 200. If you are a for-profit entity, audits are required pursuant to 32 CFR §34.16. If available, we prefer the URL (i.e., web address) of an audit that is available on the internet in lieu of attaching a copy. If you did not expend Federal awards exceeding the threshold (\$750K) that evokes these audit requirements, an audit is not required. (formerly called Attachment 14)

-**Budget** breakdown that shows the individual line items of cost that makeup the higher-level budget that you included in the SF 424A. You may use the template available [here](#), which provides an example of the information that we need. Refer to [Section B](#) below for examples and guidance on how to describe budgeted costs. Ensure that it is clear how you calculated the total amount of indirect costs (F&A) included in your budget. Use additional pages to show indirect cost calculations if necessary. (formerly called Attachment 15)

2. SF LLL, Disclosure Form to Report **Lobbying**. Appendix A in 32 CFR Part 28 requires you to complete and submit the SF LLL if you engage in certain types of lobbying. Review

32 CFR Part 28, “New Restrictions on Lobbying,” and attach the SF LLL if it is applicable.

Section B. Program Budget and Selected Items of Cost

Your budget breakdown must show the separate items of cost included in your proposal so that we can make a determination concerning the reasonableness of your overall budget. Provide detailed descriptions of costs to show how amounts were arrived at and the basis of your estimates. Ensure that there is no ambiguity as to whether a particular cost is necessary for the efficient operation of a PTAC. Guidance is provided below on describing costs and including them in the appropriate cost category. Similar to how you describe costs, if your proposal includes third-party in-kind contributions, they should be described and their values included in the appropriate cost category. The cost per counseling hour (CPOCH) is the total program cost divided by the hours of counseling provided. **The CPOCH is usually expected to be less than \$417.**

1. Personnel

List all of your personnel positions included in the budget.

Describe each position’s percent of time working on the program in terms of the time employed by you. For example, show a staff member who dedicates all of his or her time to the PTAC while employed as a 100% contributor, regardless of whether that person is a full or part-time employee. Less than 100% contributors are those personnel that share time between the PTAC and other programs in the course of their employment with you. List the employee name, their position, and duty location. List subrecipient personnel too. Their information will be included but their expenses will not be added in the budget on this line it, it will be included on the contractual budget line.

2. Fringe Benefits

Show fringe benefit costs for each position you included in the budget.

3. Travel

Separate and describe the purpose of each travel item. Provide an estimate that includes, as applicable, the number of travelers, number of days lodging, airfare, meal allowance, rental car, conference registration fees, mileage and mileage rate, etc. Provide the basis for your estimates.

- a. Local travel. Provide the purpose, mileage and mileage rate for any local travel. A summary entry may be made for recurring routine trips. Describe the basis for estimated amounts such as an estimated number of miles per year.
- b. Training. Identify the course to include name, source and duration. If it is available, consider training through the Defense Acquisition University (DAU). PTACs should obtain training from a variety of sources.
- c. Registration fees. Registration fees related to travel should be listed with the related travel expense. Include conference, seminar, workshop and event fees.

4. Equipment

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by you for financial statement purposes, or \$5,000. Individual items costing less (e.g., most computers and printers) are supplies rather than equipment.

Describe the purpose of any equipment and the basis for your estimated amounts. Where equipment is being replaced, provide the age of the equipment needing replacement and justify the need for its replacement. Note there is a Federal interest in any equipment that you acquire or improve under an award. Refer to the Part 5, "Property Administration," in the PTAP General Terms and Conditions.

5. Supplies

General office supplies may be summarized on a monthly basis, showing the monthly amount x 12 and the estimated total. Individual supply items in excess of \$1,000 per month or \$12,000 per year should usually be shown separately. Items such as computers costing less than \$5,000 each should normally be shown as supplies.

6. Contractual

Itemize consultant and contractor costs. Include a description of the purchase and an explanation as to why it is necessary. Explain how costs were derived and include the basis for estimates (e.g., number of hours and the cost per hour). Show the cost of subawards under contractual, which can usually be summarized in a single line item.

7. Other

Items may include, but are not limited to, computer software, copying, postage, printing, publications, subscriptions and telephone. Itemize disparate items separately and describe the basis for their cost. Do not include generic, all-inclusive, items such as "event costs" or "utilities" without providing details.

- a. Rental expenses. Show costs for rental of office space and other facilities. Include the address of the property and describe how it is priced such as an annual cost per square foot or a monthly or daily rental rate.
- b. Facilities and utilities. If it is not part of indirect cost, include cost related to facilities and itemize different components such as electrical, telephone and internet access.
- c. Publications and subscriptions. Itemize costs for each individual publication or subscription.
- d. Memberships. Itemize membership costs for business, technical and professional organizations. Note that the costs of individual memberships are not allowable costs (e.g., personal memberships for your staff).

8. Indirect Costs

Show your indirect cost base, rate and amount of indirect charges. Ensure calculations are clear and that the rate was applied correctly in accordance with the

indirect rate memo. Do not include applicable subrecipient or subcontractor indirect costs, which should instead be included with the corresponding line item under contractual. The Cost Share Budget Information Worksheet (CSBIW) form is useful to document indirect costs when you use subrecipients.

Section C. Supporting Documentation for In-Kind Contributions

Third-party in-kind contributions are non-cash contributions (i.e., property or services) that a third party furnishes to you or your subrecipients that are to be counted towards meeting the award's cost sharing requirements. Refer to FMS Article VI, "Cost sharing or matching," in the PTAP General Terms and Conditions for more information on the valuation of cost sharing or matching contributions. Provide the information below to support each third-party in-kind contribution that you propose to use. Note that FMS Article VI requires that you obtain our prior approval before you use any third-party in-kind contribution that was not included your budget and represented on the award document.

1. Describe your need for the contribution so that there is no ambiguity as to whether it is necessary for the efficient operation of the PTAC.
2. Show the value that you derived based on the principles in 2 CFR 200.306 (or in 32 CFR 34.13 if you are a for-profit entity).
3. Cite the paragraph in 2 CFR 200.306 or 32 CFR 34.13 that applies.
4. Describe how you determined that the value that you propose to use is fair and reasonable. Please do not submit the evidence supporting your valuation unless requested by the Grants Officer. Examples of price analysis techniques include, but are not limited to:
 - a. Comparison of the value with proposed prices you received in response to a solicitation for the purchase of the same or similar items;
 - b. Comparison with previous contract prices for the same or similar items, if both the validity of the comparison and the reasonableness of the previous price(s) can be established;
 - c. Comparison with published price lists or published market prices;
 - d. Comparison with rates you paid for similar work; and
 - e. Comparison to an independent appraisal or estimate (see the specific requirement below for donated space).
5. The value of donated space must not exceed the fair rental value of comparable space as established by an independent appraisal (refer to 2 CFR 200.306(i)(3) or 32 CFR 34.13(b)(4)). Upon request by the Grants Officer, provide a copy of an independent appraisal to support your valuation if the third-party in-kind contribution is donated space.