

**SOCIAL INNOVATION FUND (SIF) PAY FOR SUCCESS PILOT PROGRAM  
FUNDING AVAILABILITY**

**APPLICATION INSTRUCTIONS**

**OMB Control #: 3045-0167**

**Expiration Date: 3/31/2018**

## IMPORTANT NOTICE

These application instructions conform to the Corporation for National and Community Service's online grant application system, [eGrants](#). All funding announcements by the Corporation for National and Community Service (CNCS) are posted on [www.nationalservice.gov](http://www.nationalservice.gov) and [www.grants.gov](http://www.grants.gov).

**Public Burden Statement:** Public reporting burden for this collection of information is estimated to average 30 hours per submission, including reviewing instructions, gathering and maintaining the data needed, and completing the form. Comments on the burden or content of this instrument may be sent to the Corporation for National and Community Service, Attn: Amy Borgstrom, 1201 New York Avenue, NW, Washington, D.C. 20525. CNCS informs people who may respond to this collection of information that they are not required to respond to the collection of information unless the OMB control number and expiration date displayed on page one are current and valid. (See 5 C.F.R. § 1320.5(b)(2)(i).)

**Privacy Act Notice:** The Privacy Act of 1974 (5 U.S.C § 552a) requires that the following notice be provided to you: The information requested on the Social Innovation Fund Pay for Success Application Instructions is collected pursuant to 42 U.S.C. §§ 12653k of the National and Community Service Act of 1990 as amended, and 42 U.S.C. 12639. Purposes and Uses - The information requested is collected for the purposes of reviewing grant applications and granting funding requests. Routine Uses - Routine uses may include disclosure of the information to federal, state, or local agencies pursuant to lawfully authorized requests. In some programs, the information may also be provided to federal, state, and local law enforcement agencies to determine the existence of any prior criminal convictions. Executive Summaries of all compliant applications received and applications of successful applicants will be published on the CNCS website as part of ongoing efforts to increase transparency in grantmaking. This is described in more detail in the *Notice of Federal Funding Availability/Opportunity*. Effects of Nondisclosure - The information requested is mandatory in order to receive funding.

**Federal Funding Accountability and Transparency Act:** Grant recipients will be required to report at [www.FSRS.gov](http://www.FSRS.gov) on all subawards over \$25,000 and may be required to report on executive compensation for recipients and subrecipients. Recipients must have the necessary systems in place to collect and report this information. See 2 C.F.R. Part 170 for more information and to determine how these requirements apply.

**Universal Identifier:** Applications must include a Dun and Bradstreet Data Universal Numbering System (DUNS) number and register with the Central Contractor's Registry (CCR). All grant recipients are required to maintain a valid registration, which must be renewed annually.

## APPLICATION RESOURCES

Use these instructions in conjunction with the Social Innovation Fund Pay for Success Grants Competition (PFS Competition) *Notice of Funding Availability (Notice)*. **The Notice includes deadlines, eligibility requirements, submission requirements, funding priorities and other relevant information that might change annually.**

Other resources for completing your application including technical assistance conference calls and how to submit inquiries can be accessed from the Social Innovation Fund (SIF) webpage on the CNCS website (<http://www.nationalservice.gov/programs/social-innovation-fund>).

## CREATING AN EGRANTS USER OR ORGANIZATION ACCOUNT

First-time eGrants users need to create an eGrants account by accessing this link: <https://egrants.cns.gov/espan/main/login.jsp> and selecting ***Don't have an eGrants account? Create an account.***

If you need help establishing a new organization account or a new user account for an existing organization account, or with other aspects of eGrants, contact the National Service Hotline at 800-942-2677 or via: <https://questions.nationalservice.gov/app/ask>.

**If you are applying for continuation funding (for years 2 and beyond) of an existing SIF PFS grant, please skip to the 'REQUESTING CONTINUATION FUNDING' Section of this document.**

## NEW APPLICATIONS

To initiate an application:

- Start a new grant application: Select ***New*** under the ***Creating an Application*** heading on your Home Page
- Select a Program Area: ***Other***
- Select a NOFA: Social Innovation Fund Pay for Success Grants Competition [*Applicable year of funding*]

Once you have initiated an application, it will be listed in the ***View My Grants/Applications*** section of your homepage. If you exit and then return to eGrants and wish to continue entering or editing your application, please open your saved version by selecting ***View My Grants/Applications***. You should not use the ***New*** button again as this will start a brand new application.

## APPLICATION CONTENT

Your application consists of the following sections. Please complete each section.

- I. Applicant Info

- II. Application Info
- III. Narratives
- IV. Performance Measures – if required in the *Notice*
- V. Documents
- VI. Budget
- VII. Review, Authorize, and Submit

Information entered in the Applicant Info, Application Info, and Budget sections will populate the SF 424 Face sheet of your application.

## I. Applicant Info

- Under ***Project Information*** select ***Enter New***, create a title for the proposed project, and enter the contact information.
- ***Select a Project Initiative***: Choose the operational model which best describes your PFS Competition application. Please see the *Notice* for details.
- Select an individual as the ***Project Director***, by choosing a name from the pull-down menu or adding a new contact.

Please note that the ***Authorized Representative*** will be filled in at the end of the application when completing the Assurances and Certifications section. (Attachment A)

## II. Application Info

**Complete this section as follows:**

- ***Areas affected by the project***: List only the largest political or municipal entities affected (e.g., counties and cities). Please include the two-letter abbreviation with both letters capitalized for each state where you plan to operate. Separate each two-letter state abbreviation with a comma. For city or county information, please follow each one with the two-letter capitalized state abbreviation.
- ***Proposed project start and end dates***. Please see the *Notice* for details about the project period to select.
- ***Intergovernmental Review of Federal Programs***: Enter 'No.' This program is NOT subject to Executive Order 12372.
- ***Delinquent on any federal debt***: Check the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit allowances, loans, and taxes. If 'Yes', type your explanation in the text box provided.
- ***State Application Identifier***: Enter N/A.

**Note:** Falsification or concealment of a material fact or submission of false, fictitious, or fraudulent statements or representations to any department or agency of the United States Government may result in a fine or imprisonment for not more than five (5) years, or both. (18 USC § 1001).

### III. Narratives

The application narrative has five sections:

- Executive Summary
- Program Design
- Organizational Capacity
- Leadership and Team
- Cost Effectiveness and Budget Adequacy

#### **Page Limit and Formatting**

- It is important that you preview the eGrants PDF of your application to ensure that you don't exceed the page limit as prescribed in the *Notice*. Reviewers will stop reading your application when they reach the page limit.
- Also, please note that bold face, bullets, underlines, charts, diagrams, and tables or other types of formatting will not copy into eGrants.

#### **A. Executive Summary**

The executive summary will be used in the initial eligibility review to assess an applicant's status as an existing grantmaking institution or an eligible partnership, and to confirm its identification as either a geographically-based or issue-based Social Innovation Fund (see the eligibility section of the *Notice*). Therefore, the summary should contain clear and concise indications of both eligibility criteria.

Please note that executive summaries for all applications will be made public and posted to CNCS's website.

*Please complete the Executive Summary as follows:*

*Heading:* For the title of the Executive Summary, applicants should use the name of the sole or lead Recipient (if an eligible partnership).

Provide a summary of the proposed program as follows:

Overview:

- Describe the applicant organization including whether it is an existing grantmaking institution or an eligible partnership.
- Identify as either a geographically-based or an issue-based Social Innovation Fund.
- Identify priority issue area(s) of focus.
- Identify geographic areas where Subrecipients or Service Recipients are likely to be located.
- Identify other organizations that will play a key role in the implementation of the strategy to select, support, monitor, or evaluate Subrecipients or Service

Recipients. If applying as an eligible partnership, **clearly identify** the other members of the partnership.

- Identify the grant amount being requesting and the proposed grant period.
- Identify the main sources of match that have been secured.

Project Summary:

- Provide an overview of the proposed program and the need(s) the program will meet, as related to the Programmatic Approach outlined in the *Notice*.
- Outline the program's theory of change and describe the measurable outcomes the program will achieve in the identified issue area(s).
- Provide an overview of the proposed Subrecipient or Service Recipient portfolio strategy including selection, evaluation, and growth of Subrecipient or Service Recipients.
- Briefly describe the experience, expertise, and other strengths or assets the organization and its partners will contribute to successfully realizing its identified outcomes.

*Applicants should complete the narrative sections of Program Design, Organizational Capability, Leadership and Team, and Cost Effectiveness and Budget Adequacy by responding to the selection criteria detailed in the Notice.*

## **B. Program Design**

In responding to the program design criteria, applicants should demonstrate the identification of a compelling need(s) and desired outcomes, and describe a convincing strategy for achieving those outcomes through the selection, support, evaluation and scaling of evidence-based program interventions.

Applicants should describe the structure and composition of the program, including a preliminary work plan to achieve each of the activities specified in the program.

Applicants should describe in detail how each component of the program will further both the overall Theory of Change addressed in the *Notice*, as well as the ability of Subrecipients or Service Recipients to achieve their programmatic goals.

Describe if the proposed program will address SIF PFS funding priorities identified in the *Notice*.

## **C. Organizational Capability**

In responding to the organizational capability criteria, applicants should demonstrate the experience and capacity to successfully implement the proposed grant program and to adhere to the requirements and expectations of a SIF PFS Recipient. Applicants should describe their track record and experience of grantmaking, including selecting and working with Subrecipients or Service Recipients.

If you are requesting a reduced match requirement, provide the information requested in the *Notice*.

#### **D. Leadership and Team**

In responding to the leadership team criteria, applicants should demonstrate the personnel responsible for successfully delivering the proposed grant program, including relevant experience of each of the team members. If the applicant is proposing to broaden their team, include a hiring and staffing plan as part of this response.

#### **E. Cost Effectiveness and Budget Adequacy**

In completing the budget and responding to these criteria, you should demonstrate a reasonable plan for meeting the financial needs of the proposed program and for raising the required match. In this section, applicants should also describe how they will ensure the in-kind or cash match of their Subrecipients or Service Recipients.

***The following three sections are not relevant to this application. Please enter N/A for not applicable under these narrative sections.***

#### **F. Amendment Justification**

Enter N/A. This field is used when requesting an amendment to an awarded grant.

#### **G. Clarification Information**

Enter N/A. This field is used to enter information that requires clarification in the post-review period.

#### **H. Continuation Changes**

Enter N/A. This field is used to enter information for your continuation requests.

### **IV. Performance Measures**

**If Performance Measures are required in the *Notice*, follow the instructions in Attachment B.**

### **V. Documents**

In addition to the application submitted in eGrants, you are required to provide documentation of match as described in the ***Submitting Match Verification*** section of the *Notice*. After you have submitted all required documentation, change the status in eGrants from the default “Not Sent” to the applicable status “Sent.”

## VI. Budget

### A. Budget Requirements

Applicants must submit a proposed budget for each of the three years of the project period that includes both federal and match funding. If an application is selected for award, CNCS will determine the final amount of the award of federal funds, and will negotiate a final budget. Upon award, compliance with the approved budget will be a material term and condition of the cooperative agreement with the Recipient.

Your proposed budget should be sufficient to allow you to perform the tasks described in your narrative for each year of the project and provide a full explanation of costs including their purpose, justification, and the basis of your calculations. Reviewers will consider the information you provide in your budget as part of their assessment of the Cost Effectiveness and Budget Adequacy criteria.

In eGrants, the preparation of a detailed budget provides the data that creates the summary budget and the budget narrative. The detailed budget should provide a full explanation of associated costs including their purpose, justification, and the basis of the calculations. eGrants will perform a limited compliance check to validate the budget. If it finds any compliance issues you will receive a warning and/or error messages. You must resolve all errors before you can submit your budget.

*As you prepare your budget:*

- Divide project costs by year and submit one for each year of the proposed project period. Add future budget years by clicking “Add Subsidiary Budget” or “Copy Subsidiary Budget”. Type “Budget Year 2” or “Budget Year 3” in “Enter Sub Budget Description” text box.
- All the amounts you request must be for a particular purpose. Do not include miscellaneous, contingency, or other undefined budget amounts. For recipients providing subawards to subrecipients, a minimum of 80% of federal dollars granted must be provided to subrecipients or spent on service recipients.
- Itemize each cost and present the basis for all calculations in the form of an equation, identifying the number of persons involved with the event, the cost per person or unit, or the annual salary cost.
- Do not include fractional amounts (cents).
- PFS Competition recipients are required to match federal dollars awarded on a one-to-one basis. Subrecipients and Service Recipients will also be required to match money received on a one-to-one basis. Up to 50% of the match can be provided by in-kind contributions. Otherwise, the match must be provided by nonfederal dollars.
- Because of the required one-to-one match for Social Innovation Fund Pay for Success recipients, the budget must reflect **total** costs being distributed equally between the federal and recipient shares, but individual categories **do not** have to be equally distributed.

Programs must comply with all applicable federal laws, regulations, and OMB requirements for grant management under Title 2 of the Code of Federal Regulations (2 CFR Part 200 and CNCS's implementing regulations at 2 CFR Part 2205), including providing audits to the Federal Audit Clearinghouse if expending over \$750,000 in federal funds, as required in 2 C.F.R. § 200.501.

#### *Allowable Costs*

Please refer to the Uniform Cost Principles (2 CFR Subpart E) for further guidance on allowable costs

It is important to understand that “allowable costs” under federal awards do not necessarily include all costs that the organization will incur in order to perform their awards. The cost principles reflect government-wide requirements that one must be aware of when developing a budget.

### **B. Matching Funds**

The non-federal share of the Recipient’s budget represents the dollar-for-dollar cash and in-kind contributions matching requirement. Any organization that receives a PFS award is responsible for securing the necessary match. Both the Recipients and the Sub Recipients and Service Recipients must provide a dollar-for-dollar match.

The non-federal dollar component of the match must equal at least 50% of the match and may come from state, local, or private sources, which may include state or local government agencies, businesses, private philanthropic organizations, or individuals. Federal funds may not be used towards the match requirement.

For Recipients, the in-kind contributions component of this match may not exceed 50% of the match and must be fully described, valued and publicized in the Recipient application.. Third party in-kind contributions means the value of non-cash contributions provided by non-Federal third parties. Third party in-kind contributions may be in the form of equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program, or the monetary value of time contributed by professional and technical personnel and other skilled labor. The contributions or services provided must be a strategic, integral and necessary part of a funded project for which the Recipient, Sub-Recipient or Service Recipient would otherwise have to pay. The value of the services must be determined by the organization providing the service and must be what the organization normally charges for the services or, if fees are not charged, at the amount the service costs the organization, such as costs for staff time, required travel, office space, and allocation of indirect expenses.

The total non-federal share of the Recipient’s budget must equal or exceed the federal share of the budget (this implements the dollar-for-dollar match requirement). However, there is no requirement that the non-federal share of the budget “mirror” or be allocated on the same basis as the federal share of the budget.

For Sub-Recipients and Service Recipients, the in-kind contributions component of this match may account for 100% of the match. The value of the contributions must be

determined by the organization providing the service and must be what the organization normally charges for the services or, if fees are not charged, at the amount the service costs the organization, such as costs for staff time, required travel, office space, and allocation of indirect expenses.

## C. Budget Line Items

### Section I. Program Costs

- **Project Personnel Expenses**

List each staff position separately with a brief statement of responsibilities, salary, and the percentage of staff time that will apply to the cooperative agreement. Each staff person's role listed in the budget must be described in the application narrative and each staff person mentioned in the narrative must be listed in the budget as either CNCS or Recipient share.

- **Personnel Fringe Benefits**

Include costs of benefit(s) for the project staff. Identify the types of fringe benefits to be covered and the costs of benefit(s) for each staff position. Allowable fringe benefits typically include FICA, Worker's Compensation, Retirement, SUTA, Health and Life Insurance, IRA, and 401K. You may provide a calculation for total benefits as a percentage of the salaries to which they apply or list each benefit as a separate item. If a fringe benefit amount is over 30%, please list each covered item separately including the percentage charged and justify the high cost. Holidays, leave, and other similar vacation benefits are not included in the fringe benefit rates, but are absorbed into the personnel expenses (salary) budget line item.

- **Staff Travel**

Describe the purpose for which project staff will travel. Allowable costs are transportation, lodging, subsistence, and other related expenses. Provide a calculation that includes itemized costs for airfare, transportation, lodging, per diem, and other travel-related expenses multiplied by the number of trips/staff. Where applicable, identify the current standard reimbursement rate(s) of the organization for mileage, daily per diem, and similar supporting information. Reimbursement should not exceed the federal mileage rate unless it is a result of applicant policy and it is justified in the budget narrative. Only domestic travel is allowable. Include costs for key project staff to attend a convening of Pay for Success Pilot Recipients.

Example of budget detail required: The project lead will conduct a monitoring visit: 1 person X \$750 airfare + \$50 ground transportation + \$150 lodging + \$35 per diem X two days = \$1,170 for Monitoring.

- **Equipment**

Equipment is defined as tangible, non-expendable personal property having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit (including accessories, attachments, and modifications). If applicable, show the unit

cost and number of units you are requesting. Provide a brief justification for the purchase of the equipment under Item/Purpose. You might be asked to provide further explanation of equipment costs that exceed 10% of the total CNCS funds requested. Any items that do not meet this definition should be entered under Supplies.

- **Supplies**

Include the funds for the purchase of consumable supplies and materials that do not fit the definition above. Applicants must individually list any single item costing \$1,000 (one thousand) or more. Applicants should provide the calculation for cost determinations.

- **Contractual and Consultant Services**

Include costs for consultants related to the project's operations, except training or evaluation consultants who should be listed in those sections. Where applicable, indicate the daily rate for consultants.

- **Training**

Include the costs associated with training of staff working directly on the project, especially training that specifically enhances staff project implementation and professional skills. If using a consultant(s) for training, indicate the estimated daily rate.

- **Evaluation**

Include costs for project evaluation activities, such as the use of evaluation consultants, the purchase of instrumentation and other costs specifically for this activity. Indicate daily rates of consultants, where applicable.

- **Other Costs**

*Subawards* - Please enter all subaward costs in a line titled, "Sub awards."

*Criminal History Checks* - Please include a line titled "Criminal History Checks" and enter the costs for criminal history background checks for all employees or other individuals who receive a salary, stipend, or similar payment from the cooperative agreement (CNCS or non-CNCS share). Please note that criminal history checks are required at both the Recipient and Sub Recipient levels.

Other allowable costs in this section may include office space rental, utilities, and telephone and Internet expenses that directly involve program staff and are not part of the organization's indirect cost rate. If shared with other projects or activities, you must prorate the costs equitably. List each item and provide a justification in the budget.

- **Indirect Costs**

Indirect costs are those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to the cost objectives

specifically benefitted, without effort disproportionate to the results achieved. As prescribed in the *Notice*, this category may not exceed 20% of the budget. These costs may include administrative staff positions, rent, IT costs, etc.

- If you have a federally approved indirect cost (IDC) rate you must use it unless authorized by CNCS to use another method. Specify the Cost Type for which your organization has current documentation on file, i.e., Provisional, Predetermined, Fixed, or Final indirect cost rate, and specify the cognizant agency for indirect costs. Supply your approved IDC rate (percentage)
  - If you do not have an IDC, indirect costs should be entered as direct expenses.
  - If you are a nonprofit organization or an institution of higher education and have never had an IDC, instead of entering indirect costs as direct costs, you could also enter an amount up to 10% of your modified total direct costs. Modified total direct costs are direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and sub awards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). See 2 CFR §200.68 and §200.414(f) for more information).
  - If you do not have an IDC, you may negotiate with your cognizant agency for indirect costs for an IDC rate. See 2 CFR §200.414(e) for information on how to submit a proposal. See 2 CFR §200.19 to find out who your cognizant agency for indirect costs is.
- **Source of Matching Funds**  
Describe the recipient match contribution by entering a brief description, the amount, the match classification (Cash, In-kind, or Not Available) and Match Source (State/Local, Private, Other or Not Available) **for your entire match**. Define any acronyms the first time they are used. Each source should be entered as a separate line item. For example, if you receive support from two separate foundations, enter each one on a separate line.

Note: You will be prevented from validating your budget in eGrants if you do not meet the dollar-for-dollar match. You will receive an error message that states, “Grantee share must be greater than or equal to CNCS share.”

## VII. Review, Authorize, and Submit

eGrants requires that you review and verify your entire application before submitting by completing the following steps:

- Review
- Authorize
- Assurances
- Certifications
- Verify
- Submit

Read the Assurances and Certifications carefully (Attachment A). The person who authorizes the application must be the applicant's Authorized Representative or his/her designee and must have an active eGrants account to sign these documents electronically. An Authorized Representative is the person in your organization authorized to accept and commit funds on behalf of the organization. A copy of the governing body's authorization for this official representative to sign must be on file in the applicant's office.

Be sure to check your entire application to make sure that there are no errors before submitting it. eGrants will also generate a list of errors if there are sections that need to be corrected prior to submission when you verify the application. If someone else is acting in the role of the applicant's authorized representative, that person must log into his/her eGrants account to proceed with Authorize and Submit. After signing off on the Authorization, Assurances, and Certifications, his/her name will override any previous signatory that may appear and show on the application as the Authorized Representative.

***Note: Anyone within your organization who will be entering information in the application at any point during application preparation and submission in the eGrants system must have their own eGrants account.*** Individuals may establish an eGrants account by accessing this link: <https://egrants.cns.gov/espan/main/login.jsp> and selecting "Don't have an eGrants account? Create an account."

## CONTINUATION REQUESTS

These instructions apply only to programs that are in years one through four of a SIF cooperative agreement and are requesting funding for the next year.

- Log into eGrants
- On your eGrants Home Page, under Creating a Grant Application, select Continuation/Renewal
- Select Continue from the options listed to the right of your SIF cooperative agreement. Do not start a new application. If you have more than one grant or cooperative agreement with the Corporation, be sure to select the correct one. The system will copy your most recently awarded application.
- Select Next on the screen that opens

### APPLICATION CONTENT

Your application consists of the following components. Make sure to review each section.

- I. Applicant Info
- II. Application Info
- III. Narratives
- IV. Performance Measures
- V. Documents
- VI. Budget
- VII. Review, Authorize, and Submit

#### I. Applicant Info

Update this section if necessary.

- In particular, click **View/Edit** under **Project Director** to see if the contact information is current. Make any necessary changes to the project director's contact information.
- If the project director has changed, you must create a record for the new person by clicking **Enter New**. DO NOT overwrite the information for an existing contact with the information for a new contact because this affects the historical record.
- Document in the **Continuation Changes** field any changes you have made to this section.

#### II. Application Info

Update **Areas affected by the project** and **Delinquent on any federal debt** as necessary. Do not adjust the project period dates.

#### III. Narratives

Please comply with the page limit listed in the Notice. Preview the eGrants PDF of your application to ensure that you don't exceed the page limit as prescribed in the Notice.

- Your original application will appear in the different sections of the Narratives screen. Do not enter continuation changes in, or otherwise edit, the original narrative fields.

Instead provide the information described below in the narrative field called **Continuation Changes**.

- If you have previously requested continuation funding, please distinguish this year's text from previous by labeling this year's narrative "Year \_\_ (ex: 2 , 3) Continuation Changes".
- Please enter narrative for the following topics, clearly labeling each with a new heading:
  - Changes to **Applicant Info** or **Application Info** Screens: As applicable, note any changes you have made to the **Applicant Info** and **Application Info** screens.
  - Changes in Staff: If applicable, describe changes in key staff positions. If any key positions are currently vacant, describe how the functions are being carried out and when the positions will be filled.
  - Continuations review criteria outlined in the Notice: Provide a narrative response to the review criteria.
  - Changes to Budget: If applicable, provide a rationale for any proposed changes to the budget.

#### IV. Performance Measures

Update this section as necessary. In the **Continuations Changes** narrative section, identify describe any performance measures changes made.

#### V. Documents

In addition to the application submitted in eGrants, you are required to complete and submit a table summarizing your subaward\* awards to date as directed in the Notice. The table can be found in Attachment B. This information helps us to understand the amount of federal dollars that are flowing to the local communities. This information is also used to validate the SIF's claim that it effectively leverages private match sources. These charts will be prepopulated based on previous year's submissions. Please update where applicable for a previous year and complete the section for your current year of subaward\* awards. Items included in the chart are by subrecipient\*:

- Year \_\_ Award (Start and End Date)
- Year \_\_ Award Amount (Federal)
- Year \_\_ Award Amount (Recipient\* Match)
- Year \_\_ Award Total (Federal and Recipient\* Match) \*\*
- Year \_\_ Subrecipient or Service Recipient\* Match Funds Received (if applicable)
- Year \_\_ Subrecipient or Service Recipient\* Match Funds Expended (if applicable)
- Year \_\_ Subrecipient or Service Recipient \* Federal Funds Expended
- Year \_\_ Recipient\* Funds Expended
- Total Subrecipient\* Funds Expended (cumulative to date)
- Total Subrecipient Federal and Intermediary Funds Awarded (cumulative to date)\*
- Total Subrecipient Match Funds Received (cumulative to date)\* 15
- Total Subrecipient Match Funds Expended (cumulative to date)\*
- Total Subrecipient Federal Funds Expended (cumulative to date)\*
- Total Subrecipient Intermediary Funds Expended (cumulative to date)\*
- Total Subrecipient Federal Funds Expended (cumulative to date)\*

– Total Subrecipient Funds Expended (cumulative to date)\*After you have submitted the table as requested, change the status in eGrants from the default **Not Sent** to the applicable status **Sent**. Submit completed spreadsheets to your program officer via email by the application due date.

\* For 2015 onward, terminology has changed and is consistent with the changes in Title 2 of the Code of Federal Regulations (2 CFR Part 200). As a result, an intermediary is now defined as a recipient, a subgrantee is a subrecipient, and a subrecipient only receiving services, but no federal money, is a service recipient.

\*\*Will automatically populate

## **VI. Budget**

Your budget from the previous year will be copied into your continuation request. Make any necessary adjustments to the existing budget.

## **VII. Review, Authorize, and Submit**

Read the Assurances and Certifications carefully (Attachment A). The person who authorizes the application must be the applicant's Authorized Representative or his/her designee and must have an active eGrants account to sign these documents electronically. An Authorized Representative is the person in your organization authorized to accept and commit funds on behalf of the organization. A copy of the governing body's authorization for this official representative to sign must be on file in the applicant's office. Be sure to check your entire application to make sure that there are no errors before submitting it. eGrants will also generate a list of errors if there are sections that need to be corrected prior to submission when you verify the application. If someone else is acting in the role of the applicant's authorized representative, that person must log into his/her eGrants account to proceed with Authorize and Submit. After signing off on the Authorization, Assurances, and Certifications, his/her name will override any previous signatory that may appear and show on the application as the Authorized Representative.

# **ATTACHMENT A: Assurances & Certifications**

## ***ASSURANCES***

As the duly authorized representative of the applicant, I assure, to the best of my knowledge and belief, that the applicant:

- 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 costs) to ensure proper planning, management, and completion of the project described in this application.
- 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.
- Will establish safeguards to prohibit employees from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- 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 nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
- 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 disability (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) sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290dd-3 and 290ee-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 National and Community Service Act of 1990, as amended; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- 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.

- Will comply 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.
- Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C 276a and 276a-77), 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 sub-agreements.
- 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 the 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.
- 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 (Clean Air) Implementation Plans under Section 176(c) of the Clean 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).
- Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- 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 (16U.S.C. 469a-1 et seq.).
- Will comply with the National Research Act, P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 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.
- 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.
- Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, as amended, and 2 C.F.R. Part 200, Subpart F.
- Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, application guidelines, and policies governing this program.
- Will comply with the pilot program on Contractor employee whistleblower protections

established at 41 U.S.C. 4712 by section 828 of the National Defense Authorization Act for Fiscal Year 2013 (Pub. L. 112-239).

- This award and employees working on this award will be subject to the whistleblower rights and remedies in the pilot program.
- Under this pilot program, an employee of a recipient may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing information that the employee reasonably believes is evidence of gross mismanagement of a Federal contract or grant, a gross waste of Federal funds, an abuse of authority (an arbitrary and capricious exercise of authority that is inconsistent with the mission of CNCS or the successful performance of a contract or award of CNCS) relating to a Federal contract or award, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a Federal contract (including the competition for or negotiation of a contract) or award.
- The recipient shall inform its employees in writing, in the predominant language of the workforce or organization, of employee whistleblower rights and protections under 41 U.S.C. 4712, as described above.

## ***CERTIFICATIONS***

### **Certification – Debarment, Suspension, and Other Responsibility Matters**

This certification is required by the government-wide regulations implementing Executive Order 12549, Debarment and Suspension, 2 CFR Part 180, Section 180.335, *What information must I provide before entering into a covered transaction with a Federal agency?*

As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that neither the applicant nor its principals:

- Is presently excluded or disqualified;
- Has been convicted within the preceding three years of any of the offenses listed in § 180.800(a) or had a civil judgment rendered against it for one of those offenses within that time period;
- Is presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission or any of the offenses listed in § 180.800(a); or
- Has had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

### **Definitions**

The terms “debarment”, “suspension”, “excluded”, “disqualified”, “ineligible”, “participant”, “person”, “principal”, and “voluntarily excluded” as used in this document have the meanings set out in 2 CFR Part 180, subpart I, “Definitions.” A transaction shall be considered a “covered transaction” if it meets the definition in 2 CFR part 180 subpart B, “Covered Transactions.”

### **Assurance requirement for subaward agreements**

You agree by submitting this proposal that if we approve your application you 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 us.

### **Assurance inclusion in subaward agreements**

You agree by submitting this proposal that you will obtain an assurance from prospective participants in all lower tier covered transactions and in all solicitations for lower tier covered transactions that the participants are not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction.

### **Assurance of subaward principals**

You may rely upon an assurance of a prospective participant in a lower-tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless you know that the assurance is erroneous. You may decide the method and frequency by which you determine the eligibility of your principals. You may, but are not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

### **Non-assurance in subaward agreements**

If you knowingly enter 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, we may terminate this transaction for cause or default.

### **Certification – Drug Free Workplace**

This certification is required by the Corporation’s regulations implementing sections 5150-5160 of the

Drug-Free Workplace Act of 1988 (P.L. 100-690), 2 CFR Parts 182 and 2245. The regulations require certification by recipients, prior to award, that they will make a good faith effort, on a continuing basis, to maintain a drug-free workplace. The certification set out below is a material representation of fact upon which reliance will be placed when the agency determines to award the grant. False certification or violation of the certification may be grounds for suspension of payments, suspension or termination of grants, or government-wide suspension or debarment (see 2 CFR Part 180, Subparts G and H).

As the duly authorized representative of the recipient, I certify, to the best of my knowledge and belief, that the recipient will provide a drug-free workplace by:

- A. Publishing a drug-free workplace statement that:
  - a. Notifies employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the recipient's workplace;
  - b. Specifies the actions that the recipient will take against employees for violating that prohibition; and
  - c. Informs employees that, as a condition of employment under any award, each employee will abide by the terms of the statement and notify the recipient in writing if the employee is convicted for a violation of a criminal drug statute occurring in the workplace within five days of the conviction;
- B. Requiring that a copy of the statement described in paragraph (A) be given to each employee who will be engaged in the performance of any Federal award;
- C. Establishing a drug-free awareness program to inform employees about:
  - a. The dangers of drug abuse in the workplace;
  - b. The recipient's policy of maintaining a drug-free workplace;
  - c. Any available drug counseling, rehabilitation, and employee assistance programs; and
  - d. The penalties that the recipient may impose upon them for drug abuse violations occurring in the workplace;
- D. Providing us, as well as any other Federal agency on whose award the convicted employee was working, with written notification within 10 calendar days of learning that an employee has been convicted of a drug violation in the workplace;
- E. Taking one of the following actions within 30 calendar days of learning that an employee has been convicted of a drug violation in the workplace:
  - a. Taking appropriate personnel action against the employee, up to and including termination; or
  - b. Requiring that the employee participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- F. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (A) through (E).

#### **Certification - Lobbying Activities**

As required by Section 1352, Title 31 of the U.S. Code, as the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that:

- No funds received from CNCS have been or will be paid, by or on behalf of the applicant, to any person or agent acting for the applicant, related to activity designed to influence the

enactment of legislation, appropriations, administrative action, proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body.

- 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 applicant will submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- The applicant will require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subawards, and contracts under awards, loans and cooperative agreements) and that all subrecipients will certify and disclose accordingly.

**Erroneous certification or assurance**

The assurances and certifications are material representations of fact upon which we rely in determining whether to enter into this transaction. If we later determine that you knowingly submitted an erroneous certification or assurance, in addition to other remedies available to the federal government, we may terminate this transaction for cause or default.

**Notice of error in certification or assurance**

You must provide immediate written notice to us if at any time you learn that a certification or assurance was erroneous when submitted or has become erroneous because of changed circumstances.

**Prudent person standard**

Nothing contained in the aforementioned may be construed to require establishment of a system of records in order to render in good faith the assurances and certifications required. Your knowledge and information is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

## ATTACHMENT B: Instructions for Creating Performance Measures in eGrants

In the Performance Measures module of eGrants you will create performance measures; set targets and describe data collection plans for your performance measures; identify interventions associated with your program; and identify performance measures for subrecipients (as applicable)

### A. Accessing the Performance Measures Home Page

You can either access the Performance Measures Module after completing the Documents section of your application or directly by clicking on **Performance Measures** on the left side of your screen.

- To begin entering performance measures, click the **Begin** button on the Home Page.
  - As you proceed through the module, the Home Page will summarize your work and provide links to edit the parts of the module you have completed. You may also navigate sections of the module using the tab feature at the top of each page.
  - Once you have started the module, clicking **Continue Working** will return you to the tab you were on when you last closed the module.
- To edit a performance measure, click the **Edit** button.
- To delete a measure, click **Delete**.
- To create a new performance measure, click the **Add New Performance Measure** button.

### B. Creating Performance Measures

On the **Performance Measures Tab**, you can create performance measures for all the cooperative agreement activities you intend to measure. Please note that there are mandatory measures for which you must set targets and report. There are additional measures that you will select as they pertain to your program.

1. Select **Applicant Type: Recipient**.
2. Select **Applicant Name**: Your organization's name.
3. Enter a **Problem Statement**: In 2-3 sentences, briefly describe the problem that you propose to address through your SIF award activities.
4. Select **Targets for Mandatory Performance Measures**
  - Enter a baseline and target number for mandatory SIF performance measures.
  - For each measure, select and describe the instrument(s) you will use to measure the appropriate output or outcome. Instruments are specific tools used to collect information such as a behavior checklist, attitude questionnaire, attendance sheet, or interview protocol. Include the title of the instrument(s), a brief description of what it measures and how it will be administered, and details about its reliability and validity if applicable.

## 5. Add Additional Performance Measures

Select additional measures if they are applicable to your program. Consult the SIF Performance Measures Definitions guidance to determine which performance measures are appropriate for your program.

- Select a focus area and relevant outputs and/or outcomes. Enter a baseline and target number for each measure.
- For each measure, select and describe the instrument(s) you will use to measure your output or outcome.
- To create additional measures, select **Add Another FA End Outcome** (FA=Focus Area) and select desired focus areas, outputs, and outcomes, as appropriate.

## 6. Identify Interventions

Select the interventions that you will carry out to address the problem identified in the application. Only interventions that correspond with the focus area(s) you selected will appear.

- Select all interventions that are a part of your program design.
- Click **Add User Intervention** to add and describe any intervention not listed.

## 7. Saving Performance Measures

- After entering all information, select, **Complete PM**. This will return you to the Home Page.
- If you are an existing SIF recipient and wish to create performance measures for another subrecipient, repeat the process. If you would like to continue to the **Summary Tab** to validate your performance measures, click **Next**.

## 8. Validating Performance Measures

You will not be able to submit your application without first validating your performance measures. The **Summary Tab** allows you to review all of the measures and targets that you selected.

- You can select to print the performance measures by clicking either **Print PDF of Table** or **Print All Performance Measures**.
- If you need to edit a measure, click **Edit Performance Measures** which will take you back to the Performance Measures Tab.
- Once your performance measures are complete, click **Validate Performance Measures** to include them in your application.