



# Massachusetts State AmeriCorps

AmeriCorps Formula/Planning Grant Funding Opportunity

**PROGRAM YEAR 2017-2018**

**Intent to Apply due March 31, 2017**

**Application due April 17, 2017**

**Massachusetts Service Alliance  
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# TABLE OF CONTENTS

Topic	Page Number
The Massachusetts Service Alliance	2
AmeriCorps in Massachusetts	2
Corporation for National & Community Service Priority Areas	3
MSA Focus Areas	5
Program Requirements	5
Eligible Applicants	5
Types of Grants	5
Program Size	6
Grant Size	6
Grant and Program Operating Period	6
2017-2018 AmeriCorps Grants Process	7
Timeline	8
Selection Criteria	8
AmeriCorps State Application Instructions	10
General Submission Information for the Application	10
Submission Requirements	10
Application Instructions	11
I. Program Narrative	11
A. Program Design	11
B. Organizational Capability	15
II. Planning Grant Narrative	17
A. Program Design	17
B. Organizational Capability	18
C. Evaluation Plan	19
III. Performance Measures	19
IV. Budget	20
V. Authorization, Assurances, Certifications	21
VI. Additional Required Documentation	21
Appendix A: Performance Measurement – Operating Grants	22
Appendix A-1: Logic Model Worksheet	23
Appendix A-2: Performance Measure Worksheet	24
Appendix B: Budget Instructions – Operating Grants	27
Appendix C: Budget Analysis Checklist	34
Appendix D: Assurances and Certifications	36
Appendix E: Supplementary Certifications	41

## **THE MASSACHUSETTS SERVICE ALLIANCE**

The Massachusetts Service Alliance (MSA), established in 1991, is a private, nonprofit organization that serves as the state commission on community service and volunteerism. Its mission is to catalyze the innovation and growth of service and volunteerism by creating partnerships that maximize resources, expertise, capacity, and impact. Toward this end, we invest public and private funds in community-based organizations in a fair and equitable manner; convene and mobilize individuals, nonprofits, corporations, and government entities to link strategies related to service and volunteerism; build capacity of programs and agencies through training and technical assistance; and advocate for the development and promotion of public policies and private initiatives that incorporate service and volunteerism as effective strategies to address community needs.

## **AMERICORPS IN MASSACHUSETTS**

AmeriCorps is a federal program overseen by the Corporation for National and Community Service (CNCS/the Corporation). For more than twenty years AmeriCorps has mobilized a new generation of engaged citizens. This year more than 2,300 individuals of all ages and backgrounds will serve through an AmeriCorps program in the Commonwealth. They will help hundreds of community nonprofit organizations, faith-based groups, schools, and local agencies meet local needs in education, the environment, public safety, disaster preparedness, and other critical areas.

AmeriCorps grants are awarded to eligible organizations to recruit, train, and manage AmeriCorps members who address unmet community needs. Members are individuals who engage in community service and may receive a living allowance during their term of service. Upon successful completion of their service, members receive a Segal AmeriCorps Education Award from the National Service Trust.

The following instructions are for new AmeriCorps applicants and previous applicants that have reached the end of their three-year cycle and must re-apply as new. Instructions in this RFP must be used to prepare your application. In addition, there are also Application Instructions from CNCS which are available [here](#). These instructions should be used by applicants who will be invited to submit a full AmeriCorps application.

## **CORPORATION FOR NATIONAL AND COMMUNITY SERVICE FOCUS AREAS**

### **Edward M. Kennedy Serve America Act**

The Edward M. Kennedy Serve America Act (SAA), defines six service categories which will serve as CNCS priority areas for future grant processes. Additional categories have been added in the last few years. The categories and focus areas associated with each are as follows:

1. **Disaster Services**  
Unmet disaster mitigation, preparation, response, and recovery needs within communities.
2. **Economic Opportunity**  
Unmet needs relating to economic opportunity for economically disadvantaged individuals within communities including financial literacy, housing assistance, job training, and nutritional assistance.
3. **Education**  
Unmet educational needs within communities especially those that help children and youth achieve success in school and increase high school graduation rates. Based on last year's application, the highest priority for funding will go to programs that have members exclusively serving in schools that received awards under the School Improvement Grants (SIG) program or are the lowest-performing, designated Turnaround Schools.
4. **Environmental Stewardship**  
Unmet energy-efficiency and environmental needs within communities, including decreasing water and energy consumption, increasing energy efficiency and renewable energy use, and addressing at-risk ecosystems, particularly for economically disadvantaged households and communities.
5. **Healthy Futures**  
Unmet health needs within communities including access to health care, disease prevention and health promotion initiatives, and health literacy.
6. **Veterans and Military Families**  
Unmet needs of veterans, members of the Armed Forces who are on active duty, and family members of deployed military personnel and engaging veterans in service.

### **CNCS Additional Funding Priority Areas, 2017-18**

- **Disaster Services**  
Programs must focus on improving community resiliency through disaster preparation, response, recovery, and mitigation.
- **Economic Opportunity**  
Programs must focus on increasing economic opportunities for opportunity youth. Opportunity youth are economically disadvantaged individuals ages 16-24 who are disconnected from school or work for at least six months prior to service.
- **Education**  
Programs must focus on facilitating access to services and resources that contribute to the improved economic well-being and security of economically disadvantaged people; help economically disadvantaged people, including youth identified in My Brother's to have improved access to services that enhance financial literacy; transition into or remain in safe, healthy, affordable housing; and/or have improved employability leading to increased success in becoming employed.
- **Environment**  
21<sup>st</sup> Century Service Corps (21CSC) – Applicants must demonstrate that they are a 21CSC member organization. The 21CSC is a bold national effort to put young Americans and veterans to work protecting, restoring, and enhancing America's great outdoors. The 21CSC, built on the legacy of Civilian Conservation Corps, will complete high quality, cost effective projects on public and tribal lands and waters across the nation.
- **Healthy Futures**  
Programs that engage members to reducing and/or preventing prescription drug and opioid abuse will receive priority from CNCS.
- **Veterans and Military Families**  
Programs must focus on positively impacting the quality of life of veterans and improving military family strength.
- **Encore Programs**  
Programs that engage a significant number of participants age 55 and older will receive priority from

CNCS, as there is a focus on expanding the scope of national service participants.

- **Agency Corps/Mayor/Governor Initiative/Partnerships**

There has been an emergence of partnerships at the federal level to fund and support AmeriCorps programs that meet the mission of select federal agencies, as well as support programs that address a pressing challenge a Governor wishes to solve in his or her state.

- **My Brother's Keeper**

President Obama launched the My Brother's Keeper initiative to address persistent opportunity gaps faced by boys and young men of color and ensure that all young people can reach their full potential. Through this initiative, the Administration is joining with cities and towns, businesses, and foundations who are taking important steps to connect young people to mentoring, support networks, and the skills they need to find a good job or go to college and work their way into the middle class.

My Brother's Keeper is focused on five milestones:

1. Getting a Healthy Start and Entering School Ready to Learn: All children should have a healthy start and enter school ready – cognitively, physically, socially and emotionally.
2. Reading at Grade Level by Third Grade: All children should be reading at grade level by age 8 – the age at which reading to learn becomes essential.
3. Graduating from High School Ready for College and Career: Every American child should have the option to attend postsecondary education and receive the education and training needed for quality jobs of today and tomorrow.
4. Successfully Entering the Workforce: All those who want jobs should be able to find work that allows them to support themselves and their families.
5. Keeping Kids on Track and Giving Them Second Chances: All children should be safe from violent crime; and individuals who are confined should receive the education, training and treatment they need for a second chance.
6. In order to qualify for this priority area, applicants must demonstrate that their program addresses one or more of the five milestones.

- **Multi-focus intermediaries**

Programs must primarily serve communities with limited resources and organizational infrastructure i.e. rural and other underserved communities.

- **Safer communities\***

Programs should promote activities that focus on public safety, preventing and mitigating civil unrest, and/or partnerships between police and community.

\*CNCS is looking for program models that create, support, and initiate activities that provide opportunities for law enforcement and community members to become constructively engaged in building or re building public spaces and opportunities for constructive dialogue via sports and community team building such as block watch organizations. Some examples are summer programming or engaging communities that are part of The National Forum on Youth Violence Prevention and programs that are developed by the International Association of Chiefs of Police (IACP) (<http://www.iacp.org/Police-Foundations-Section>) such as programs that engage youth between the ages of 14-21 living in high crime areas of the city who have been identified as "leaders" in good and/or bad way. The youth are paired with School Resources Officers who meet with them several times during the week to engage them in a variety of leadership building exercises i.e., camping, rafting, community clean-up and much more.

In order to receive priority consideration, applicants must demonstrate that the priority area is a significant part of the program focus and intended outcomes and must include a high quality program design. Responses that propose programs for the purpose of receiving priority consideration are not guaranteed funding. You may be approached by MSA to discuss the possibility of adapting your proposal to fit one of the priority areas.

### **CNCS National Performance Measures**

In addition to identifying priority service areas, CNCS has implemented national performances measures in order to better demonstrate impact in these areas. Programs are not required to fall into the above focus areas. However, CNCS will give priority to programs within these areas and to programs that opt into at least one national performance measure.

These measures were used in the previous grants process; it is not known what, if any, changes will be made in the upcoming process. By clicking the link below, you can find last year's instructions for national performance measures for each focus area listed above.

**PERFORMANCE MEASURE INSTRUCTIONS:** <http://www.nationalservice.gov/resources/performance-measurement/training-resources#PM%20Instructions>

## **MSA FOCUS AREAS**

MSA is interested in programs that provide effective solutions to address community needs, offer meaningful AmeriCorps member experiences, generate community volunteers, and demonstrate significant community impact. These areas have been incorporated into the operating grant narrative. In addition, MSA's Board of Directors is particularly interested in seeing applications that respond to the following area:

- Early Literacy (Pre-K through Grade 3) using intervention models that have been proven to provide significant gains in a child's early literacy skills. MSA encourages applicants in this area to learn about the Minnesota Reading Corps model as a highly effective early literacy intervention that engages AmeriCorps members; however, other successful models will be considered. More information on the MRC model can be obtained at <http://minnesotareadingcorps.org/>.

MSA is committed to maintaining geographic, demographic, and programmatic diversity within the AmeriCorps portfolio. A list of current MSA AmeriCorps programs can be found on the MSA website: <http://www.mass-service.org/programs/ameri-corps/state-programs>.

## **Program Requirements**

### **ELIGIBLE APPLICANTS**

The following entities are eligible to apply for, implement, and operate an AmeriCorps program in Massachusetts: nonprofit organizations; an institution of higher education; a state agency; a community or faith-based organization; a subdivision of the state including cities, counties, and municipalities; or a partnership of any of the above entities.

All MSA AmeriCorps programs must operate solely in Massachusetts, and all member service activities must take place in-state.

### **TYPES OF GRANTS**

MSA is accepting applications for two types of AmeriCorps grants:

#### **Operating Grants**

MSA funds operating grants that support fully-developed plans to establish a Massachusetts AmeriCorps program or to support, expand, or replicate an existing program. Grant awards are renewed annually for a total of three years subject to annual review and availability of federal appropriations. Programs seeking funding beyond three years must reapply as a re-competing applicant. The maximum award amount a program can request for an operating grant is \$13,830 per Member Service Year (MSY). Note: For the past three program years, CNCS strongly suggested and favored a lower cost per MSY despite the published maximum rate of \$13,830, and in many cases negotiated a lower rate than applicants budgeted. Programs should be prepared to adjust their budgets if a different level is requested. Also note that a lower cost per MSY increased applicants' competitiveness and played a significant role in CNCS's decision-making process.

In rare cases, MSA may offer re-competing applicants the opportunity to be considered for a fixed-amount grant. Fixed-amount grants simplify the process of reporting and accessing grant funds and are currently restricted to programs that engage full-time members only. Applicants applying for a fixed amount grant are allowed to

request a maximum of \$13,430 per MSY. New applicants are eligible for cost reimbursement grants only.

### **Planning Grants**

MSA will award up to \$50,000 under this initiative to nonprofit organizations, cities, towns, states, faith based or any partnership thereof that does not currently receive AmeriCorps State funding from MSA. The matching requirements for the planning grant is set at 24%.

The duration of this grant is from August 1, 2017 through June 30, 2018. Organizations that receive funding will be required to work with MSA for the duration of the grant in developing their program design and proposal submitted for this initiative. Additionally, the grantee will be required to identify one point person for the project.

Closeout of the grant includes submission of an AmeriCorps application for the 2018-2019 RFP process, a 2-page (double-spaced, 12pt font) report of lessons learned during the planning and demonstration grant process and a final Financial Status Report.

With this initiative MSA aims to support the development of new AmeriCorps programming in Massachusetts. Organizations applying for the planning grants initiative must:

1. Follow Planning Grants Application Instructions (pg. 17-21) and
2. Complete detailed Budget Summary and Budget Narrative Forms (See Appendix B)

### **PROGRAM SIZE**

Applicants for an operating grant must apply for a minimum of 10 full-time members (10 Member Service Years, or MSYs) or the equivalent number of part-time members. Applications requesting fewer than 10 MSYs will not be reviewed. AmeriCorps programs should be large enough to make a significant difference in communities; therefore, MSA strongly encourages applicants to request a minimum of 15-20 MSYs regardless of whether members serve individually or in teams. A chart to calculate MSYs is included in Appendix B. Budget Instructions – Operating Grants and Appendix E Budget Instructions – Education Award Only Program Grants.

### **GRANT SIZE**

Operating grant requests may vary in size depending on the type and scope of a proposed program. Applicants are allowed flexibility in developing their budgets within certain limitations. The maximum cost per MSY (full-time equivalent member) is \$13,830 (or \$13,430 for a fixed-amount request). Individual program cost effectiveness will be assessed against the federally-established target.

Planning grant applicants may request up to \$50,000 to support the development of a new AmeriCorps program in Massachusetts.

### **GRANT AND PROGRAM OPERATING PERIOD**

AmeriCorps funding is provided as a 12-month grant, with the option for renewing two times (three years total) before a program must reapply as new. The program may operate for fewer than 12 months but must fall within the 12-month grant period. Because notification of award is not made until May or June, programs must select a start date on or after August 1, 2017 to ensure sufficient time between grant award and program implementation.

## **2017-2018 AmeriCorps Grants Process**

MSA suggests that applicants should take the AmeriCorps Regulations and Terms and Conditions into consideration when planning the program and preparing the application. These documents are available at the links below: Click [HERE](#) for AmeriCorps Regulations (scroll down to page 3), Click [HERE](#) for AmeriCorps Terms and Conditions

The Massachusetts Service Alliance uses a multi-step application process. This process includes:

1. Submitting an Application - The purpose of the Application is to allow applicants the opportunity to present their proposed program, its potential community impact, and their organizational capacity to manage an AmeriCorps Program.
2. Community Review
3. MSA Staff and Board Review
4. Invitation to submit a full application - Full application proposal and process will include:
  - a) Editing and clarifying program details for Corporation for National and Community Service (CNCS) compliance.
  - b) Entering the application into eGrants, the electronic grants management system used by CNCS. Technical assistance is provided by MSA staff for this process.
5. MSA Board Review of Full Applications
6. MSA Board Review of Full Applications for Formula Award & submission to CNCS for award

Formula funds are awarded to programs by MSA. Formula funds are given to MSA based on the federal allocation for AmeriCorps and Massachusetts' population. The amount of funds MSA has available to award each year to new and re-applying programs depends on the allocation from CNCS and the number of Formula-funded programs in continuation (year one or two of the three-year grant cycle).

### **Please note:**

1. Submission of an Application does not always result in an invitation to submit a full application.
2. An invitation to submit a full application does not guarantee submission to CNCS.
3. An invitation to submit a full application does not guarantee funding.
4. Funding for this grant is contingent on appropriation of funding from the Massachusetts State Legislature and CNCS.

### **Special Instructions:**

1. CNCS requires that AmeriCorps programs receiving over \$500,000 conduct an independent evaluation of their program. All other AmeriCorps programs must conduct an internal evaluation. All applicants invited to submit a full application should be prepared to provide information on evaluation plans in the full proposal. Please visit <http://www.nationalservice.gov/resources/evaluation/planning-evaluation> for more information.
2. For organizations that are proposing a tutoring program, AmeriCorps Regulations define the minimum requirements that a member must meet in order to qualify as a tutor. See 45 C.F.R. §§2522.900-2522.930 for more information.
3. Under the Serve America Act, State Competitive and National Direct applicants are considered in the same review process. Therefore, organizations applying for both state and national direct funding must demonstrate that the two applications are not supporting the same project.
  - a) CNCS will consider two projects to be the same if CNCS cannot identify a meaningful difference between the two projects based on a comparison of the following characteristics, among others:
    - i. The objectives and priorities of the projects;
    - ii. The nature of the services provided;
    - iii. The program staff, participants, and volunteers involved;
    - iv. The geographic locations in which the services are provided;
    - v. The populations served; and
    - vi. The proposed community partnerships.
  - b) MSA has the ability to further define these characteristics to ensure diversity among AmeriCorps programs in Massachusetts.

## TIMELINE

Applications are due to MSA on April 17, 2017 by 12:00 P.M. The review process is as follows (\*some dates are still to be determined):

- March 16, 2017 AmeriCorps Formula/Planning Grant application  
RFP Released
- March 31, 2017 Online Intent to Apply Due (optional, strongly encouraged)  
<http://www.tfaforms.com/4608769>
- April 17, 2017 Submission of application to MSA by 12:00PM  
<http://www.tfaforms.com/331606> - Formula Application  
<http://www.tfaforms.com/4607074> - Planning Grant
- First week of May Community review of all Applications
- Early-May Notification of status
- May 19, 2017 Draft of Full Applications due to MSA.
- June 15, 2017 Applications entered into eGrants
- June 2017 Notification of Formula Award

**Note:** Organizations may contact MSA for individualized TA when working on their application. Requests should be directed to Suzana Kantardzic, Senior Program Officer, at [skantardzic@mass-service.org](mailto:skantardzic@mass-service.org) or (617) 542-2544 x216.

## SELECTION CRITERIA

The grant review process includes the following steps:

- I. Determining whether your application complies with the requirements, such as submission deadlines and eligibility requirements;
- II. Scoring your proposal against the basic selection criteria articulated in the AmeriCorps Regulations; and
- III. Ensuring innovation and geographic, demographic, and programmatic diversity across the Massachusetts AmeriCorps State portfolio.

<b>MSA Selection Criteria: Categories, Sub-Categories and Respective Weights</b>		
Category	Percentage	Sub-Categories and Weights
Program Design	<b>80%</b>	Problem/Need – 5% Intervention – 10% Theory of Change and Logic Model – 20% Evidence Base – 15% Member Training – 10% Member Supervision – 10% Member Experience – 5% Commitment to AmeriCorps Identification – 5%

Organizational Capability	<b>20%</b>	Organizational Background & Staffing – 10% Compliance & Accountability – 10% Evaluation Summary/Plan – 0%
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You should not assume that reviewers are familiar with your grant program, even if you are re-competing. Be sure to provide sufficient information in your application for a reviewer who is unfamiliar with your program.

# **AmeriCorps State Application Instructions**

## **GENERAL SUBMISSION INFORMATION FOR THE FORMULA APPLICATION**

Your application will be submitted online. Please make sure to complete/submit each of the following components. Please note that all attachments will be uploaded as part of your application.

### Online Application

- I. Executive Summary
- II. Program Narrative (character limits by section)
- III. Uploaded: 1 Performance Measurement Worksheet AND 1 Logic Model Worksheet
- IV. Uploaded: Budget
- V. Uploaded: Authorization, Assurances and Certifications
- VI. Additional Required Information:
  - a. Uploaded: Organizational Chart
  - b. Uploaded: Most recent audit (A-133, if applicable)
  - c. Uploaded: Proof of eligibility
    - i. 501(c)3 letter or MA Certificate of Tax Exemption (ST-2 or ST-4)

## **SUBMISSION REQUIREMENTS**

The application must be submitted via MSA's online application, available by clicking one of the following links:

- Operating Grants: <http://www.tfaforms.com/331606>
- Planning Grants: <http://www.tfaforms.com/4607074>

The application narrative **cannot exceed the character limits in each section**. The proposal must follow the order outlined in the instructions.

**Applications must be received by MSA by 12:00 P.M. on Monday, April 17, 2017 via MSA's online application.** Other submission methods are not acceptable.

### **NOTE:**

- Any application that fails to meet all Formula Application/Planning Grant submission requirements **will not be reviewed.**
- Any application that does not request the minimum number of MSYs **will not be reviewed.**
- Please do not submit supplemental materials such as brochures, newsletters, etc. These materials **will not be reviewed.**

# **APPLICATION INSTRUCTIONS**

## **I. Program Narrative (Please adhere to character limits of each section.)**

Your narrative should cover the three-year program period for which you are requesting funds and should include:

A. Program Design	(Total 80%)
1) Problem/Need	(5%)
2) Intervention	(10%)
3) Theory of Change and Logic Model	(20%)
4) Evidence Base	(15%)
5) Member Training	(10%)
6) Member Supervision	(10%)
7) Member Experience	(5%)
8) Commitment to AmeriCorps Identification	(5%)
B. Organizational Capability	(Total 20%)
1) Organizational Background and Staffing	(10%)
2) Compliance & Accountability	(10%)
3) Evaluation Summary/Plan	(0%)

**Executive Summary (no character limit)** - Please fill in the blanks of these sentences to complete the executive summary.

The [*Name of the organization*] will have [*Number of*] AmeriCorps members who will [*what the members will be doing*] in [*the locations the AmeriCorps members will serve*]. At the end of the first program year, the AmeriCorps members will be responsible for [*anticipated outcome of project*]. In addition, the AmeriCorps members will leverage an additional [*number of leveraged volunteers, if applicable*] that will be engaged in [*what the leveraged volunteers will be doing*].

This program will focus on the CNCS focus area of [*Focus Area(s)*].\* The CNCS investment of \$[*amount of request*] will be matched with \$[*amount of projected match*], \$[*amount of local, state, and federal funds*] in public funding and \$[*amount of non-governmental funds*] in private funding.

\*If the program is not focused on CNCS' focus area, omit this sentence.

### **A. Program Design**

The following sections include elements that will contribute to your successful response to the criteria as articulated in the AmeriCorps Regulations. Although they are closely based on the criteria articulated in the

AmeriCorps Regulations, they are not to be confused with the criteria themselves. The criteria can be found in AmeriCorps Regulations, 45 C.F.R. §§ 2522.420 – 2522.448. We strongly suggest that you review the Regulations as you plan your program design. Do not assume all sub-criteria are of equal value.

**1) Problem/Need (3,500 character limit)**

- a) Describe the community needs the AmeriCorps members will be addressing. Provide information about the extent/severity of the need in the community or communities) where your proposed AmeriCorps members will serve and cite specific, relevant data such as unemployment rate as well as the poverty rate. *Please be sure to use most recent and relevant data available to support the need and properly cite your sources.*
- b) Describe how this need aligns with your organization’s mission.
- c) If you are also applying for National Direct funding to support operating sites in Massachusetts, provide detail demonstrating that the proposed state program is not the same project as the National Direct.

**2) Intervention (3,500 character limit)**

- a) Clearly describe the proposed intervention/member activities.
- b) The proposed intervention must align with the identified community need.

**3) Theory of Change and Logic Model (6,500 character limit)**

- a) Describe the proposed intervention including the roles of AmeriCorps members and (if applicable) the roles of leveraged volunteers.
- b) Describe how the proposed intervention will lead to the outcomes identified in your theory of change
- c) Explain how the AmeriCorps members will produce significant and unique contributions to existing efforts to address the stated problem.
- d) Ensure all elements of the logic model are aligned.

The logic model shall depict:

- A summary of the community problem outlined in the narrative.
- The inputs or resources that are necessary to deliver the intervention, including:
  - Number of locations or sites in which members will provide services.
  - Number of AmeriCorps members that will deliver the intervention.
- The core activities that define the intervention or program model that members will implement or deliver including:
  - The duration of the intervention (e.g., the total number of weeks, sessions or months of the intervention).
  - The dosage of the intervention (e.g., the number of hours per session or sessions per week.)
- The target population for the intervention (e.g., disconnected youth, third graders at a certain reading proficiency level).

- The measureable outputs that result from delivering the intervention (i.e. number of beneficiaries served.) Identify which National Performance Measures will be used as output indicators.
- Outcomes that demonstrate changes in knowledge/skill, attitude, behavior, or condition that occur as a result of the intervention.

The logic model must be no more than three pages in length.

Programs may include short, medium, or long-term outcomes in the logic model. While performance measure outcomes should be consistent with the program's theory of change, programs are not required to measure all outcomes that are included in the logic model. The Logic Model should identify which National Performance Measures will be used as outcome indicators.

Applicants with multiple interventions should complete one Logic Model chart that incorporates each intervention.

#### **4) Evidence Base (3,500 character limit)**

Applicants should provide evidence that their proposed intervention will lead to the outcomes identified in their theory of change. Applicants shall provide a description of the studies and evaluations conducted that provide evidence that the proposed intervention is effective for the proposed population and community need, and should describe how this evidence places them in one of the five evidence levels listed below. Applicants must fully describe how they meet the requirements of that level, using results from studies and evaluations. Applicants are strongly encouraged to describe the evidence that supports the strongest evidence tier, and all relevant evidence presented must be included in this section. This section must include specific citations of studies and/or evaluation and research reports. Applicants classifying their evidence as Moderate or Strong will be required to submit up to two studies, evaluation reports, briefs, or peer-reviewed articles cited in this section as separate attachments to CNCS later in the process.

Listed below are the five tiered evidence levels:

- No evidence means that the applicant has not provided evidence that they have collected any qualitative or quantitative data to date.
- Pre-preliminary evidence means the applicant presents evidence that it has collected quantitative or qualitative data from program staff, program participants, or beneficiaries that have been used for program improvement, performance measurement reporting, and/or tracking. An example could be gathering feedback from program participants following their receipt of the intervention.
- Preliminary evidence means the applicant presents an initial evidence base that can support conclusions about the program's contribution to observed outcomes. The evidence base consists of at least one non-experimental study conducted on the proposed program (or another similar program that uses a comparable intervention). A study that demonstrates improvement in program

beneficiaries over time on one or more intended outcomes OR an implementation (process evaluation) study used to learn and improve program operations would constitute preliminary evidence. Examples of research that meet the standards include: 1) outcome studies that track program beneficiaries through a service pipeline and measure beneficiaries' responses at the end of the program; and 2) pre- and post-test research that determines whether beneficiaries have improved on an intended outcome.

- Moderate evidence means the applicant presents a reasonably developed evidence base that can support causal conclusions for the specific program proposed by the applicant with moderate confidence. The evidence base consists of one or more quasi experimental studies conducted on the proposed program (or another similar program that uses a comparable intervention) with positive findings on one or more intended outcomes OR two or more non-experimental studies conducted on the proposed program with positive findings on one or more intended outcomes OR one or more experimental studies of another relevant program that uses a similar intervention. Examples of research that meet the standard include: well-designed and well-implemented quasi-experimental studies that compare outcomes between the group receiving the intervention and a matched comparison group (i.e. a similar population that does not receive the intervention).
- Strong evidence means the applicant presents an evidence base that can support causal conclusions for the specific program proposed by the applicant with the highest level of confidence. This consists of one or more well-designed and well-implemented experimental studies conducted on the proposed program with positive findings on one or more intended outcomes.

#### **5) Member Training (3,000 character limit)**

- a) Describe your plan and general timeframe for orienting members to AmeriCorps, the community, their placement site, and to the service they will perform.
- b) Describe how you will train members to perform all the activities they will engage in and to avoid prohibited activities, including both initial and ongoing training during the program year. Be sure to provide a general schedule of topics and the frequency of the training. If you are a tutoring program, be sure to describe how your strategy for training members complies with AmeriCorps requirements for member tutor training. (See 45 C.F.R. §§ 2522.940 – 2522.950.)

#### **6) Member Supervision (2,500 character limit)**

- a) Describe a member supervision plan that ensures members will receive adequate support and guidance throughout their terms of service, including planned frequency and structure (such as 1:1 or group), being sure to identify who will supervise the AmeriCorps members.
- b) Describe your plan for formally or informally recognizing members' achievements.
- c) Explain how program staff will monitor service sites regularly throughout the year to ensure that members are engaged in appropriate service and to manage the site partner relationship.
- d) For scattered site models:

- i) Explain how site staff will be oriented and trained to supervise members.
- ii) Describe how they will ensure that members are appropriately supervised at sites and not engaged in prohibited activities (only engaged in allowable and appropriate activities).
- iii) Describe the process used by program staff throughout the year to manage member service at scattered sites (i.e., regular meetings, phone calls, checks-ins during the year; monthly site visits).  
How will program staff manage relationships with site partners?

**7) Member Experience (1,500 character limit)**

- a) Describe how AmeriCorps members will gain skills and experience as a result of their training and service that can be utilized and will be valued by future employers after their service term is completed.
- b) Describe how AmeriCorps members will have access to meaningful service experiences and opportunities for reflection.
- c) Describe what opportunities AmeriCorps members will have to establish connections with each other and the broader National Service network and to build esprit de corps.
- d) Explain how will you recruit AmeriCorps members from the communities in which the programs operate.

**8) Commitment to AmeriCorps Identification (1,500 character limit)**

- a) Describe the organization's commitment to AmeriCorps identification including the following:
  - i) How the program participants will know that they are AmeriCorps members;
  - ii) How the communities where they serve will know that they are AmeriCorps members;
  - iii) How the staff will ensure that members will wear the AmeriCorps logo daily;
  - iv) How the program will ensure members are prepared to speak about their AmeriCorps experience to members of the community.

**B. Organizational Capability**

**1) Organizational Background and Staffing (3,000 character limit)**

- a) Describe how the organization has the experience, staffing, and management structure to plan and implement the proposed program.
- b) Describe the organization's prior experience administering AmeriCorps grants or other federal funds.
- c) Please describe how the organization has sufficiently engaged community members and partner organizations in planning and implementing the program's intervention. Please limit your response to focus only on the staff and structures involved in implementing the proposed program.

**2) Compliance and Accountability (1,500 character limit)**

- a) How will the organization ensure compliance with AmeriCorps rules and regulations including those related to prohibited activities at the grantee and, if applicable, subgrantee and service site locations?

- b) How will the organization prevent and detect compliance issues?
- c) How will the organization hold itself and, if applicable, subgrantees and service site locations accountable if instances of risk or noncompliance are identified?

**3) Evaluation Summary or Plan – Current Grantees Recompeting for Funding Only (3,000 character limit)**

- a) For Applicants recompeting for the first time: Please describe your evaluation plan or evaluation summary (if applicable). See note below on what it must include.
- b) For Applicants recompeting for Subsequent Funding: Describe your evaluation report and summarize its findings. Additionally, describe an evaluation plan for the next three-year period.

**Note:** Evaluation plans must include the following:

- A description of the theory of change, or why the proposed intervention is expected to produce the proposed results
- Clear and measurable outcomes that are aligned with the theory of change and will be assessed during the evaluation
- Concrete research questions (or hypothesis) that are clearly connected to the outcomes
- A proposed research design for the evaluation
- Qualification needed for the evaluator
- The estimated budget

For more information about evaluation plans visit the CNCS Knowledge Network's Evaluation Resources: <http://www.nationalservice.gov/resources/evaluation/planning-evaluation>

The evaluation requirements differ depending on the amount of your grant, as described in 45 CFR § 2522.710:

- If you are a State and/or National Grantee (other than an Education Award Program grantee), and your average annual CNCS program grant is \$500,000 or more, you must arrange for an external evaluation of your program, and you must submit the evaluation with any subsequent application to CNCS for competitive funds as required in §2522.730 of this subpart.
- If you are a State and/or National Grantee whose average annual CNCS program grant is less than \$500,000, or an Education Award Program Grantee, you must conduct an internal or an external evaluation of your program, and you must submit the evaluation with any subsequent application to CNCS for competitive funds as required in §2522.730 of this subpart.

A program will be considered a recompeting application if it satisfies the CNCS definition of "same project" and has been funded competitively for at least one complete three-year cycle. If the project satisfies the definition of same project and the applicant has completed one three-year cycle, it will be required to submit an evaluation plan. If the project satisfied the definition of same project and the applicant has completed two or more three-year cycles, the applicant will be required to submit an evaluation report as

well as an evaluation plan. If the project does not satisfy the definition of recompeting, it will not be required to submit an evaluation plan or completed report.

## II. Planning Grant Narrative

Your narrative should cover the 11-month planning period for which you are requesting funds and should include:

### A. Program Design (Total 75%)

- |                                  |       |
|----------------------------------|-------|
| 1) Need                          | (25%) |
| 2) Evidence-Based Intervention   | (25%) |
| 3) Planning Process and Timeline | (25%) |

### B. Organizational Capability (Total 25%)

- |                                           |       |
|-------------------------------------------|-------|
| 1) Organizational Background and Staffing | (25%) |
| 2) Evaluation Summary/Plan                | (0%)  |

**Executive Summary (no character limit)** – Please fill in the blanks of these sentences to complete the executive summary.

The [Name of the organization] proposes to develop an AmeriCorps program serving in [the location(s) the AmeriCorps program will serve] that will focus on the CNCS focus area(s) of [Focus Area(s)]. The CNCS investment of \$[amount of request] will be matched with \$[amount of projected match], \$[amount of local, state, tribal, and federal funds] in public funding and \$[amount of non-governmental funds] in private funding. No AmeriCorps members will be needed to execute this plan.

### A. Program Design

#### 1) Need (4,000 character limit):

- The community need is prevalent and severe in communities where the program plans to serve and the need has been documented with relevant data.

#### 2) Evidence-Based Intervention (5,000 character limit)

- The evidence-based intervention has successfully addressed the need in other communities. The applicant must describe the evidence for the intervention in the application narrative and must submit at least one, and no more than two, randomized controlled trials (RCT) or quasi-experimental design (QED) evaluations of the intervention. If applicable, cite the clearinghouse and rating where the intervention is rated (if applicable). The studies must be well-designed and well-implemented, must have been conducted by an independent, external evaluator, and must demonstrate, at minimum,

evidence of effectiveness (positive findings) on one or more key outcomes that address the community problem/need.

- The key elements of the intervention will be implemented with fidelity to the evidence based model (e.g., context, target population, content or curriculum, delivery process, training for members).
- AmeriCorps members are well-suited to deliver the evidence-based intervention.

### **3) Planning Process/Timeline (5,000 character limit):**

- The applicant describes a clear and logical planning process, including:
  - A detailed description of the planning process and who is leading it.
  - A well-developed timeline for planning activities.
  - A clear description of how the planning period will be used to develop the necessary components to effectively manage an AmeriCorps program in the future.
- The applicant includes development of the following program elements in the planning process/timeline:
  - Theory of Change/Logic Model that describes implementation of the evidence-based intervention with fidelity and why the proposed intervention is expected to produce the proposed outcomes
  - Member selection and training plan
  - Member supervision plan
  - Commitment to AmeriCorps Identity
  - Compliance and Accountability
  - Securing Match Support for the Program
- The applicant includes development of the following evaluation elements in the planning process/timeline:
  - Assessing fidelity to the evidence-based intervention being replicated, including a detailed accounting of which core components were modified as a result of integrating AmeriCorps members, how they were modified, and which core components were implemented with fidelity without adaptation
  - Assessing outcomes achieved in previous evaluations of the evidence-based intervention
  - Assessing any new outcomes anticipated as a result of integrating AmeriCorps members into the evidence-based intervention

## **B. Organizational Capability**

### **1) Organizational Background and Staffing (5,000 character limit)**

- The applicant has the experience, staffing, and management structure to plan the proposed program.
- The applicant has prior experience in the proposed area of programming.

- The applicant has conducted high-quality process and outcome evaluations and has used evaluation results for organizational learning and continuous improvement

### **C. Evaluation Plan (4,000 character limit)**

Evaluating the implementation and outcomes of proposed models will be critical to determining whether or not it is feasible to integrate national service into evidence-based interventions and achieve the same kinds of programmatic outcomes and impacts. As such, applicants should understand that they will be required to submit an evaluation plan with their application for a three-year AmeriCorps grant.

- A short description of the theory of change - why the proposed intervention is expected to produce the proposed results
- Outcome of interest - clear and measurable outcomes that are aligned with the theory of change and will be assessed during the evaluation
- Research questions to be addressed by the study - concrete research questions (or hypotheses) that are clearly connected to the outcomes
- Study components – a) a proposed research design for the evaluation including a rationale for the design selected, an assessment of its strengths and limitations, and a description of the main components; b) description of the sampling methods, measurement tools, and data collection procedures, and c) an analysis plan
- Qualifications needed for the evaluator
- The estimated budget.

### **III. Performance Measures (required of operating grant applicants only)**

Create an aligned Performance Measurement Logic Model Worksheet (Appendix A-1) and performance measure using the performance measurement worksheet (Appendix A-2). The outputs and outcomes in the worksheets should align with the impact described in the narrative.

CNCS has implemented national performances measures in order to better demonstrate impact in identified focus areas (Education, Healthy Futures, Environmental Stewardship, Veterans and Military Families, Economic Opportunity, and Disaster Services).

Programs within the Education priority area are required to utilize national measures. Programs within other priority areas are not required to utilize national measures, but CNCS has indicated that priority will be given to programs that opt into at least one national measure.

Utilization of national measures will not be evaluated as part of the Application review, but it will be a criterion used in evaluating full applications. MSA will provide technical assistance on performance measures to programs invited to submit a full application.

More information on the national performance measures can be found here:

[http://www.nationalservice.gov/sites/default/files/documents/Performance\\_Measure\\_Instructions\\_2016.pdf](http://www.nationalservice.gov/sites/default/files/documents/Performance_Measure_Instructions_2016.pdf)

You may also find the Performance Measurement Toolkit on the Corporation’s website to be helpful in creating your performance measures. This information may be accessed at

<http://www.nationalservice.gov/resources/performance-measurement/americorps>

**Note:** Before you complete *Section II. Performance Measures*, please review 45 C.F.R. §§ 2522.500 – 2522.650.

#### IV. Budget – Operating Grants and Planning Grants

Your proposed budget should only reflect costs associated with the first year of the three-year grant cycle and should be sufficient to allow you to perform the tasks described in your proposal narrative.

**Operating Grants:** Follow the instructions in Appendix B to prepare your detailed budget in the same order as the Budget Worksheet in Appendix C. As you prepare your budget please consider the following:

- All of the amounts you request must be defined for a particular purpose. Do not include “miscellaneous,” “contingency,” or other undefined budget amounts.
- Do not include unallowable expenses, e.g., entertainment costs (which include food and beverage costs) unless they are justified as an essential component of an activity being budgeted.
- Do not include fractional amounts (cents).
- Refer to the AmeriCorps Regulations and relevant Office of Management and Budget (OMB) Circulars on allowable costs for further guidance.
- The full Regulations are available online at [www.ecfr.gov](http://www.ecfr.gov). OMB circulars
- 

**Planning Grants:** Follow the instructions in Appendix B to prepare your budget request using the form provided. Please provide a detailed breakdown of proposed costs.

#### Relevant OMB Circulars by Organization/Agency Type

	<b>Educational Institutions</b>	<b>Nonprofit Organizations</b>	<b>State &amp; Local Governments</b>
<b>Uniform Administrative Requirements</b>	45 CFR 2543 & 2 CFR Part 200	45 CFR 2543 & 2 CFR Part 200	45 CFR 2541 & 2 CFR Part 200
<b>Cost Principles</b>	2 CFR Part 200	2 CFR Part 200	2 CFR Part 200
<b>Audits</b>	2 CFR Part 500	2 CFR Part 500	2 CFR Part 500

**Note:** Before you complete *Section VII., Budget*, please review 45 C.F.R. §§ 2521.35 – 2521.90 for match requirements.

## **V. Authorization, Assurances, and Certifications**

Read the authorization, assurances, and certifications carefully. Complete each section of the Assurances and Certifications. See Appendix G and Appendix H. Be sure to check your application to make sure that there are no errors before submission. You are required to upload a copy of these documents, as well as the information described below (Additional Required Documentation) as part of your original application.

## **VI. Additional Required Documentation**

In addition to your narrative, budget, logic model, and performance measures, you are required to upload a copy of the information described below as part of your original application.

- Organizational Chart
- Most recent Audit (A-133, if applicable)
- Proof of 501(c) 3 status

## APPENDIX A: Performance Measurement – Required of Operating Grant Applicants Only

Applicants must complete one set of performance measures with this application. One set consists of one logic model (A-1) and one performance measurement worksheet (A-2) that addresses the output, intermediate outcome, and end outcome of the primary service activity.

Applicants may find the Performance Measurement Toolkit on the Corporation’s website to be helpful when creating your performance measures. This is available at <http://www.nationalservice.gov/resources/performance-measurement/ameri-corps>

Please use the following chart to guide you when completing your performance measures.

<b>Item</b>	<b>Definition</b>
<b>Desired Impact</b>	Describe the desired impact of the proposed service activities on the stated need.
<b>Need/Problem</b>	Describe the specific unmet need, problem, or issue in the community that your AmeriCorps program will address (e.g. low literacy levels, lack of affordable housing, watershed pollution).
<b>Inputs</b>	Describe the resources your program will use to produce outputs and achieve outcomes. Examples include staff, AmeriCorps members, volunteers, facilities, equipment, training curricula, and funding.
<b>Activities</b>	Describe the primary service activities that AmeriCorps members will undertake to produce the specific outputs and achieve outcomes.
<b>Outputs</b>	Describe the measurable evidence of the services activities delivered by your program including products completed by your AmeriCorps members.
<b>Intermediate Outcomes</b>	Describe the measurable intermediate change that will occur as a result of the service activities.
<b>End Outcomes</b>	Describe the measurable impact on the stated community need as a result of the service activities. End outcomes may be measurable either annually or within the three-year grant cycle.
<b>How Measured/Instrument Used</b>	Identify the instruments that will be used to collect data for each output, intermediate outcome, and end outcome. For example: Twenty educational outreach sessions will be measured by training agendas, sign in sheets, and pre- and post-tests.
<b>Target</b>	Identify the target (# or %) you expect to reach for each measure.

**APPENDIX A-1: Logic Model Worksheet**

Project Resources	Core Project Components	Evidence of Project Implementation and Participation	Evidence of Change		
INPUTS	ACTIVITIES	OUTPUTS	OUTCOMES		
			Short-Term	Mid-Term	Long-Term
Resources that are necessary to deliver the program activities (interventions), including the number of locations/sites and number/type of AmeriCorps members.	The core activities that define the intervention or program model that members will implement or deliver, including duration, dosage and target population.	Direct products from program activities	Changes in knowledge, skills, attitudes, and opinions (measurable during the grant year).	Changes in behavior or action that result from participants' new knowledge (may or may not be measurable during the grant year).	Meaning changes, often in their condition or status in life (may or may not be measurable during the grant year)

## APPENDIX A-2: Performance Measurement Worksheet

Please indicate if this performance measure is aligned with one (or more) of the CNCS focus areas:

- |                                               |                                                         |
|-----------------------------------------------|---------------------------------------------------------|
| <input type="checkbox"/> Capacity Building    | <input type="checkbox"/> Environmental Stewardship      |
| <input type="checkbox"/> Disaster Services    | <input type="checkbox"/> Healthy Future                 |
| <input type="checkbox"/> Economic Opportunity | <input type="checkbox"/> Veterans and Military Families |
| <input type="checkbox"/> Education            |                                                         |

Please fill in the performance measure information for each section.
<b>General Info</b>
Performance Measurement Title (3-4 words that describe the activity)
<b>Service Category</b>
<b>Strategies to Achieve Result</b> (describe the intervention that will lead to the outcome you are proposing. 1-2 paragraphs or max of 500 characters)
<b>Results</b> (the outputs and outcomes you intend to track for a particular activity)
<b>Result: Output</b> (Outputs are counts of the amount of service members or volunteers have completed, but do not provide information on benefits to or other changes in the lives of members and/or beneficiaries)
<b>Output Result Statement</b> (1-2 sentences stating the expected output)
<b>Indicator</b> (a specific, measurable item of information that specifies progress toward achieving a result)
<b>Target Description</b> (250 characters or less. Be sure to include how you determine what is counted in this target)

<b>Instruments</b> (describe instruments used to measure your output/outcome in 250 characters or less. e.g. behavior checklist, tally sheet, attitude questionnaire, interview protocol)
<b>Result: Intermediate Outcome</b> (Intermediate-outcomes specify changes that have occurred in the lives of members and/or beneficiaries, but are short of a significant benefit for them.)
<b>Intermediate Outcome Result Statement</b> (1-2 sentences stating the expected outcome)
<b>Indicator</b> (a specific, measurable item of information that specifies progress toward achieving a result)
<b>Target Description</b> (250 characters or less. Be sure to include how you determine what is counted in this target)
<b>Instruments</b> (describe instruments used to measure your output/outcome in 250 characters or less. e.g. behavior checklist, tally sheet, attitude questionnaire, interview protocol)
<b>Result: End Outcome</b> (End-outcomes specify changes that have occurred in the lives of members and/or beneficiaries that are significant)
<b>End Outcome Result Statement</b> (1-2 sentences stating the expected outcome)

<b>Indicator</b> (a specific, measurable item of information that specifies progress toward achieving a result)
<b>Target Description</b> (250 characters or less. Be sure to include how you determine what is counted in this target)
<b>Instruments</b> (describe instruments used to measure your output/outcome in 250 characters or less. e.g. behavior checklist, tally sheet, attitude questionnaire, interview protocol)
<b>Performance Measure Statement (summary)</b> Combine expected results and targets into one or two sentences in 1,000 characters or less.

## APPENDIX B: Budget Instructions

**Note:** Planning grant applicants may not engage AmeriCorps members; therefore, any costs associated with members are not allowable. .

**How to Begin:** Your detailed budget narrative must provide a full explanation of the proposed costs including their purpose, justification, and the basis of your calculations. Where appropriate, your calculations should be presented in an equation format, e.g., Two (2) staff traveling @ \$350/trip for 2 trips = \$1400; or, Salary \$60,000 @ 20% devoted to program = \$12,000.

### **Overview of Key Statutory and Regulatory Budget Requirements**

- Equipment costs must not exceed 10% of the total Corporation share.
- Administrative costs must not exceed 5% of the total Corporation funds requested.
- You may match with cash or in-kind contributions. The acceptable sources of matching funds are federal, state, local, private sector, and/or other funds in accordance with applicable AmeriCorps requirements.  
*Note:* Most federal funds are not authorized to be used as match for another federal grant. While the Corporation’s legislation permits the use of non-Corporation federal funds as match for the grantee share of the budget for operating and administrative costs, the determining factor is the other federal agency. You must ensure that your use of another federal agency’s funds as match for this national service program grant is permitted by the other agency.
- In the budget worksheet, you should clearly and specifically identify the source and total dollar amount of cash match from private, state and local, and federal funds, and the source and total amounts of in-kind support. All acronyms should be defined the first time they are used to reference non-Corporation programs and sources.
- Grantees are required to meet an overall matching rate that increases over time (see chart below). These matching requirements may be waived in limited circumstances (described in chart below at “Minimum Overall Share (Alternative)”. See 45 C.F.R. §§ 2521.35 – 2521.90 for the regulatory match and waiver requirements.

### **Consistency of Treatment**

	Years 1-3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10
Minimum Overall Share	24%	26%	30%	34%	38%	42%	46%	50%
Minimum Overall Share (Alternative)	N/A	N/A	N/A	N/A	29%	31%	33%	35%

For any cost to be allowable under a grant award based on an application for AmeriCorps program funding, the cost must be accorded consistent treatment using policies and procedures that apply uniformly to both the federal grant funded activities and to all other activities of the applicant.

### **Calculating the Corporation Cost per Member Service Year (MSY) – For operating grant applicants only**

An important factor in consideration of the proposed budget is the Corporation cost per MSY. One Member Service Year is equivalent to 1,700 hours of service. You may calculate your Corporation cost per MSY by dividing the Corporation’s share of budgeted grant costs by the number of Member Service Years you are requesting in your grant. You do not include child care or the cost of the education award a member may earn through serving with your program. The maximum cost per MSY that MSA will currently allow is \$13,830 (or \$13,430 for fixed-amount requests). If this figure is changed by CNCS, MSA will allow and/or require a similar adjustment during the full application process.

<u>Member Positions</u>	<u>Calculation</u>	<u>Total MSYs</u>
_____ Full Time (1700 hours)	_____ members x 1.000	= _____
_____ Half Time (900 hours)	_____ members x 0.500	= _____
_____ Reduced Half Time (675 hours)	_____ members x 0.3810	= _____
_____ Quarter Time (450 hours)	_____ members x 0.2646	= _____
_____ Minimum Time (300 hours)	_____ members x 0.2117	= _____

### **Budget Section I. Program Operating Costs**

Complete Section I, Program Operating Costs, of the Budget Worksheet by entering the “Total Amount,” “CNCS Share,” and “Grantee Share” for Parts A-J, as follows:

#### **A. Personnel Expenses**

List each staff position separately and provide salary and percentage of effort as percentage of FTE devoted to this award. Each staff person’s role listed in the narrative must be listed in the budget as either Corporation or Grantee share.

#### **B. Personnel Fringe Benefits**

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 or rate 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 separately. Holidays, leave, and other similar vacation benefits are not included in the fringe benefit rates but rather are absorbed into the personnel expenses (salary) budget line item.

#### **C. 1. Staff Travel**

Describe the purpose for which program operating staff will travel. Provide a calculation to include 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. The standard mileage reimbursement should not exceed the federal mileage rate. Only domestic travel is allowable.

*For example: 2 staff to attend National Conference on Service and Volunteering. \$300 airfare + \$50 ground transportation + (\$150 hotel x 3 nights) + (\$35 per diem x 3 days) = \$905 x 2 staff = \$1,810.*

#### **C. 2. Member Travel**

Describe the purpose for which members will travel. Provide a calculation to include costs for airfare, transportation, lodging, *per diem*, and other related expenses for members to travel outside their service location or between sites. Costs associated with local travel, such as bus passes to local sites, mileage reimbursement for use of car, etc., should be included in this budget category. Where applicable, identify the current standard reimbursement rate(s) of the organization for mileage, daily *per diem*, and similar supporting information.

#### **D. 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). Any items that do not meet this definition should be entered in E. Supplies below. Purchases of equipment are limited to 10% of the total Corporation funds requested. If applicable, show the unit cost and number of units you are requesting. Provide a brief justification for the purchase of the equipment.

### **E. Supplies**

Include the amount of funds to purchase consumable supplies and materials, including member service gear and equipment that does not fit the definition above. You must individually list any single item costing \$1,000 or more. Except for safety equipment, grantees may only charge the cost of member service gear to the federal share if it includes the AmeriCorps logo. Grantees may add the AmeriCorps logo to their own local program uniform items using federal funds. All safety gear may be charged to the federal share, regardless of whether it includes the AmeriCorps logo. All other service gear must be purchased with non-CNCS funds.

### **F. Contractual and Consultant Services**

Include costs for consultants related to the project's operations, except training or evaluation consultants, who will be listed in Sections G. and H., below.

#### **G. 1. Staff Training**

Include the costs associated with training staff on project requirements and training to enhance the skills staff need for effective project implementation, i.e., project or financial management, team building, etc. If using a consultant(s) for training, indicate the estimated daily rate.

#### **G. 2. Member Training**

Include the costs associated with member training to support them in carrying out their service activities, for example, orientation, project-specific skills such as age-appropriate tutoring strategies, CPR, or ecosystems and the environment. You may also use this section to request funds to support training in "Life After AmeriCorps." If using a consultant(s) for training, indicate the estimated daily rate.

### **H. Evaluation**

Include costs for project evaluation activities including additional staff time or subcontracts you did not budget under Section I. A. (Personnel Expenses), use of evaluation consultants, purchase of instrumentation and other costs specifically for this activity. This cost does not include the daily/weekly gathering of data to assess progress toward meeting performance measures, but is a larger assessment of the impact your project is having on the community, as well as an assessment of the overall systems and project design. Indicate daily rates of consultants, where applicable.

### **I. Other Operating Costs**

Allowable costs in this budget category should include when applicable:

- Criminal history background checks for all members and all employees who receive payment from the grant (federal or non-federal share). This must include a state check in Massachusetts as well as the state where the member resides at the time of application; a National Sex Offender Public Website Check (free at [www.nsopw.gov](http://www.nsopw.gov)); and FBI fingerprint background checks on all members and for employees who have occurring access to vulnerable population.
- Office space rental for projects operating without an approved indirect cost rate agreement that covers office space. If space is budgeted and it is shared with other projects or activities, the costs must be equitably pro-rated and allocated between the activities or projects. (For national office space, rental may be unallowable; applicants should refer to relevant OMB Circulars.)
- Utilities, telephone, internet and similar expenses that are specifically used for AmeriCorps members and AmeriCorps project staff, and are not part of the organizations indirect cost/administrative cost allocation pool.
- Recognition costs for members. List each item and provide a justification in the budget narrative. Gifts and/or food in an entertainment/event setting are not allowable costs.

**Budget Section II. Member Costs**

Member Costs are identified as “Living Allowance” and “Member Support Costs.”

**A. Living Allowance**

The narrative should clearly identify the number of members you are supporting by category (i.e., full-time, half-time, reduced half-time, quarter-time, minimum-time) and the amount of living allowance they will receive. Please refer to the chart below for minimum and maximum living allowance figures. Enter the total number of members you are requesting in each category. Enter the amount of the living allowance for each type of member. Enter the number of members for which you are not requesting funds for a living allowance, but for which you request education awards.

The chart below will help you to determine the number of MSYs you are requesting and the maximum CNCS funds your program may request.

<b>Term of Service</b>	<b>Minimum Number of Hours</b>	<b>Minimum Living Allowance</b>	<b>Maximum Living Allowance</b>	<b>MSY</b>
Full Time	1700	\$12,630	\$24,930	1.000
Half Time	900	N/A	\$13,199	.500
Reduced Half Time	675	N/A	\$9,899	.3810
Quarter Time	450	N/A	\$6,599	.2646
Minimum Time	300	N/A	\$4,400	.2116

**B. Member Support Costs**

Consistent with the laws of Massachusetts, you must provide members with the benefits described below.

- **FICA**

All projects must pay FICA for any member receiving a living allowance, even when the Corporation does not supply the living allowance, unless exempted by the IRS with accompanying documentation. In this case, this fact should be noted in the narrative and the applicant must be able to provide documentation to MSA with the full application. In the first column next to FICA, indicate the number of members who will receive FICA. Calculate the FICA at 7.65% of the total amount of the living allowance.

- **Worker’s Compensation**

- **Health Care**

You must offer health care benefits to full-time members in accordance with

AmeriCorps requirements. Except as stated below you may not pay health care benefits to less- than- full-time members with Corporation funds. You may choose to provide health care benefits to less-than- full-time members from other sources (i.e., non-federal). Less-than-full-time members who are serving in a full-time capacity for a sustained period of six weeks or more (such as a full-time summer project) are eligible for health care benefits. In your budget narrative, indicate the number of members who will receive health care benefits. The Corporation will not pay for dependent coverage.

- **Unemployment Insurance and Other Member Support Costs.**

Include any other required member support costs here. Some states require unemployment coverage for their AmeriCorps members. You may not charge the cost of unemployment insurance taxes to the Grant unless mandated by state law.

Note: Members are not eligible for unemployment in Massachusetts; therefore, applicants may not include unemployment insurance costs for members.

## **Budget Section III. Administrative/Indirect Costs**

### **A. Definitions**

Administrative costs are general or centralized expenses of the overall administration of an organization that receives Corporation funds and do not include particular project costs. For organizations that have an established indirect cost rate for federal awards, administrative costs are those costs that are included in the organization's indirect cost rate agreement. Such costs are generally identified with the organization's overall operation and are further described in Office of Management and Budget Circulars A-21, A-87, and A-122.

#### **Administrative costs include:**

- Costs for financial, accounting, auditing, contracting or general legal services, except in unusual cases whether they are specifically approved in writing by the Corporation as project costs.
- Costs for internal evaluation, including overall organization's management improvement costs (except for independent and internal evaluations of the project evaluations that are specifically related to creative methods of quality improvement).
- Costs for general liability insurance that protects the organization(s) responsible for operating a project, other than insurance costs solely attributable to the project.
- Costs of space, base utilities, and communication (telephone, fax, and Internet) that support administrative personnel.
- Administrative costs may also include that portion of salaries and benefits of the project's director and other administrative staff not attributable to the time spent in support of a specific project. The principles that pertain to the allocation and documentation of personnel costs are stated in the OMB circulars that are incorporated in Corporation regulations [45 CFR 2541.220(b)].

#### **Administrative costs do not include the following allowable expenses directly related to a project (including their operations and objectives), such as:**

- Allowable direct charges for members, including living allowances, insurance payments made on behalf of members, training, and travel.
- Costs for staff (including salary, benefits, training, and travel) who recruit, train, place, or supervise members or who develop materials used in such activities, if the purpose is for a specific project objective.
- Costs for independent evaluations and any internal evaluations of the project that are related specifically to creative methods of quality improvement.
- Costs, excluding those already covered in an organization's indirect cost rate, attributable to staff that work in a direct project support, operational, or oversight capacity, including, but not limited to: support staff whose functions directly support project activities; staff who coordinate and facilitate single or multi-site project activities; and staff who review, disseminate, and implement Corporation guidance and policies directly relating to a project.
- Space, facility, and communications costs allocated specifically to AmeriCorps project operations, excluding those costs that are already covered by an organization's indirect costs rate.
- Other allowable costs, excluding those costs that are already covered by an organization's indirect cost rate, specifically approved by the Corporation as directly attributable to a project.

### **B. Options for Calculating Administrative/Indirect Costs**

Applicants choose one of two methods to calculate allowable administrative costs – a Corporation fixed percentage method or a federally approved indirect cost rate method. Regardless of the option chosen, the Corporation's share of administrative costs is limited by statute to 5% of the total Corporation funds actually expended under this grant.

#### **1. Corporation Fixed Percentage Method**

The Corporation fixed rate allows you to charge administrative costs up to a cap without a federally approved indirect cost rate and without documentation supporting the allocation. If you choose the Corporation Fixed Percentage Method (Section III.A.) you may charge, for administrative costs, a

fixed 5% of the total of the Corporation funds expended. In order to charge this fixed 5%, the grantee match for administrative costs may not exceed 10% of all direct cost expenditures.

Applicants using this method may calculate these figures in the following way:

- **Corporation Share:** Multiply the sum of the Corporation funding shares of Sections I and II by 0.0526. This is the maximum amount you can request as Corporation share. Enter this amount as the Corporation share for Section III A.
- **Grantee Share:** Then multiply the total (both Corporation and grantee share) of Sections I and II by 10% (0.10) and enter this amount as the grantee share for Section III. A.
- **Sum:** Enter the sum of the Corporation and grantee shares under Total Amount.

## 2. Federally Approved Indirect Cost Rate Method

If you have a Federally Approved Indirect Cost (IDC) rate and choose to use it, the IDC rate will constitute documentation of your administrative costs including the 5% maximum payable by the Corporation. Specify the Cost Type for which your organization has current documentation on file, i.e., Provisional, Predetermined, Fixed, or Final indirect cost rate. Supply your approved IDC rate (percentage) and, importantly, the base upon which this rate is calculated (direct salaries, salaries and fringe benefits, etc.). It is at your discretion whether or not to claim your entire IDC rate to calculate administrative costs. If you choose to claim a lower rate, please include this rate under the Rate Claimed field. Applicants who are choosing to use a federally approved indirect cost rate amount in their budget will need to submit the current approved indirect cost rate agreement with their full application later in the process.

Applicants using this method may calculate these figures in the following way:

- **Total:** Determine the base amount of direct costs to which you will apply the IDC rate, including both the Corporation and Grantee's shares, as prescribed by your established rate agreement (i.e., based on salaries and benefits, total direct costs, or other). Then multiply the appropriate direct costs by the rate being claimed. This will determine the total amount of indirect costs allowable under the grant.
- **Corporation Share:** Multiply the sum of the Corporation funding share in Sections I and II by 0.0526. This is the maximum amount you can claim as the Corporation share of indirect costs.
- **Grantee Share:** Subtract the amount calculated in step b (the Corporation administrative share) from the amount calculated in step a (the Indirect Cost total). This is the amount the applicant can claim as grantee share for administrative costs.

**REQUIRED: State Commission 2% Set-Aside** Regardless of the method used to calculate administrative costs, the Massachusetts Service Alliance will set aside a portion of the Corporation share to use in administering its subgrantees. This amount must not exceed a two-fifth share of the maximum 5% Corporation share (i.e., allocating 2% as set aside for administering subgrantees and the remaining 3% for other administrative costs). When using this option, the subgrantee's portion must not exceed the remaining 3% portion of the maximum Corporation share. Both the commission and subgrantee portions of the Corporation share of administrative costs should be requested in the subgrantee's budget.

Applicants should calculate the Commission 2% Set-Aside in the following way:

- **Corporation Share:** Multiply the sum of the Corporation shares of Sections I and II by 3.16% (i.e. 0.0316). This is the maximum amount that the subgrantee can request as the Corporation share of administrative costs. Enter this amount in the line item Subgrantee Share Amount under the Corporation share for Section III.A. or Section III.B.
- **Commission Share:** Multiply the sum of the Corporation shares of Sections I and II by 2.1% (i.e. 0.021). This amount is the total that MSA will retain to administer the subgrant. Enter this amount in the line item Commission Share Amount under the Corporation share for Section III.A. or Section III.B.

### Source of Match

Within this box, enter the total amount of cash and in-kind match under columns for "Private," "State and/or local," and "Federal." Then, for each amount entered, identify the source of the matching funds or in-kind

contributions by entering text under “Sources.” Be sure to define any non-Corporation acronyms the first time they are used.

**Increasing Grantee Overall Share of Total Budgeted Costs**

Grantees are required to meet an overall matching rate that increases over time. You have the flexibility to meet the overall match requirements in any of the three budget areas, as long as the minimum match of 24% for the first three years, and the increasing minimums in years thereafter, are maintained. These matching requirements may be waived in limited circumstances. See 45 C.F.R. §§ 2521.35 – 2521.95 for the specific regulatory match and waiver requirements.

## APPENDIX C: Budget Analysis Checklist

Below is a checklist to help you make certain that you submit an accurate budget narrative and budget that meets AmeriCorps requirements.

<b>In Compliance?</b>	<b>Section I. Program Operating Costs</b>
Yes___ No ___	Costs charged under the personnel line item directly relate to the operation of the AmeriCorps project? Examples include costs for staff that recruit, train, place, or supervise members as well as manage the project.
Yes___ No ___	Staff indirectly involved in the management or operation of the applicant organization is funded through the administrative cost section (Section III.) of the budget? Examples of administrative costs include central management and support functions.
Yes___ No ___	Staff fundraising expenses are not charged to the grant? You may not charge AmeriCorps staff members' time and related expenses for fundraising to the federal or grantee share of the grant. Expenses incurred to raise funds must be paid out of the funds raised. Development officers and fundraising staff are not allowable expenses.
Yes___ No ___	Positions in the budget are described in the narrative?
Yes___ No ___	The types of fringe benefits to be covered in the costs of benefit(s) for each staff position are described? 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?
Yes___ No ___	The purpose for all staff and member travel is clearly identified?
Yes___ No ___	You have budgeted funds for staff travel to CNCS sponsored meetings in the budget narrative under Staff Travel?
Yes___ No ___	Funds to pay relocation expenses of AmeriCorps members are not in the federal share of the budget?
Yes___ No ___	Funds for the purchase of equipment (does not include general use office equipment) are limited to 10% of the total grant amount?
Yes___ No ___	All single equipment items over \$5000 per unit are specifically listed?
Yes___ No ___	Justification/explanation of equipment items is included in the budget narrative?
Yes___ No ___	All single supply items over \$1000 per unit are specifically listed?
Yes___ No ___	You only charged to the federal share of the budget member service gear, with the exception of safety equipment, that includes the AmeriCorps logo?
Yes___ No ___	Does the budget reflect adequate budgeted costs for project evaluation?
Yes___ No ___	Have you provided budgeted costs for background checks of all members and grant-funded staff that are covered in positions per 45 CFR 2522.205? Have you budgeted costs for FBI fingerprinting and check costs for all members and grant-funded staff with recurring access to vulnerable populations?
Yes___ No ___	Are all items in the budget narrative itemized and justified?
<b>In Compliance?</b>	<b>Section II. Member Costs (not allowable for planning grant applicants)</b>
Yes___ No ___	Are the living allowance amounts correct? Full-time AmeriCorps members must receive at least the minimum living allowance indicated in the budget instructions.

	Note: Programs in existence prior to September 21, 1993 may offer a lower living allowance than the minimum. If such a program chooses to offer a living allowance, it is exempt from the minimum requirement, but not from the maximum requirement. Projects are not required to provide less-than-full-time members living allowances, but if they do, they must comply with the living allowance requirements listed in the budget instructions.
Yes___ No___	Living allowances are not paid on an hourly basis? They may be calculated using service hours and program length to derive a weekly or biweekly distribution amount. The distribution should occur in equal increments that are not based on the specified number of hours served.
Yes___ No___	Is FICA calculated correctly? All projects must pay FICA for any member receiving a living allowance. Unless exempted by the IRS, projects must calculate FICA at 7.65% of the total amount of the living allowance.
Yes___ No___	Is the Worker's Compensation calculation correct? Massachusetts requires Worker's Compensation coverage for all AmeriCorps members.
Yes___ No___	Health care is provided for qualified full-time AmeriCorps members only? Projects must provide health care coverage to all full-time members who do not have adequate health care coverage at the time of enrollment or who lose coverage due to participation in the project. In addition, projects must provide coverage if a full-time member loses coverage during the term of service through no deliberate act of his/her own. If projects already carry minimum benefits at a reasonable cost, they may use existing policies to cover members. The federal share will not cover health care costs for family members. Note: Projects may choose to provide health care to less-than-full-time members if the member is serving in a full-time capacity for six weeks or more.

<b>In Compliance?</b>	<b>Section III. Administrative/Indirect Costs</b>
Yes___ No___	Applicant has chosen Option A – Corporation fixed percentage method and the maximum federal share of administrative costs does not exceed 3% of the total federal funds budgeted? To determine the federal administrative share that the applicant may access, multiply the sum of Section I and Section II CNCS funds by 0.0316.
Yes___ No___	Applicant has chosen Option B – federally approved indirect cost rate method and documentation on file? Administrative costs budgeted include the following: (1) indirect costs such as legal staff, central management and support functions; (2) costs for financial, accounting, audit, internal evaluations, and contracting functions; (3) costs for insurance that protects the entity that operates the project; and (4) the portion of the salaries and benefits of the director and any other project administrative staff not attributable to the time spent in direct support of a specific project.
Yes___ No___	Is Commission 2% Set Aside included? To determine the Commission Set Aside, multiple the sum of Section I and Section II CNCS funds by 0.021.
Yes___ No___	For all matching funds, the source(s), the type of contribution (cash or in-kind), the amount (or an estimate), and the intended purpose are clearly. Is the total amount of cash and/or in-kind derived from private, state and local, and federal funds stated?

<b>In Compliance?</b>	<b>Match</b>
Yes___ No___	Does the budget meet the minimum overall match required?
Yes___ No___	For all matching funds, the source (private, state and local, and federal), the type of contribution (cash or in-kind), and the amount (or an estimate) of match are clearly identified in the narrative and in the Source of Match box?

## **APPENDIX D: Assurances and Certifications**

(Authorize and submit section)

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### **Instructions**

**By signing and submitting this application, as the duly authorized representative of the applicant, you certify that the applicant will comply with the Assurances and Certifications described below.**

**a) Inability to certify**

Your inability to provide the assurances and certifications listed below will not necessarily result in denial of a grant. You must submit an explanation of why you cannot do so. We will consider your explanation in determining whether to enter into this transaction. However, your failure to furnish an explanation will disqualify your application.

**b) 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.

**c) 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.

**d) Definitions**

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. An applicant shall be considered a “prospective primary participant in a covered transaction” as defined in the rules implementing Executive Order 12549. You may contact us for assistance in obtaining a copy of those regulations.

**e) Assurance requirement for subgrant 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.

**f) Assurance inclusion in subgrant 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.

**g) Assurance of subgrant 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.

**h) Non-assurance in subgrant 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.

**i) 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.

**ASSURANCES**

As the duly authorized representative of the applicant, I certify, (to the best of my knowledge) and belief, 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 program costs) to ensure proper planning, management, and completion of the program 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 position 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 all rules regarding prohibited activities, including those stated in applicable NOFA or NOFO, grant provisions, and program regulations, and will ensure that no assistance made available by the Corporation will be used to support any such prohibited activities.
6. 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 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
7. 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) sections 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 National and Community Service Act of 1990 or the Domestic Volunteer Services Act, as amended; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
8. 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 program purposes regardless of federal participation in purchases. 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.

10. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C 276a and 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 sub-agreements.
11. 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.
12. 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 program 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).
13. 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.
14. 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-l et seq.).
15. 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.
16. 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.
17. 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.
18. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984, as amended, and OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations.
19. Will comply with all the requirements of Subpart C of 45 CFR Part 2542, implementing E.O. 1259, regarding restrictions on doing business with suspended, debarred, and otherwise disqualified entities.
20. Will comply with all the requirements for providing a drug-free workplace on a continuing bases as set out in Subpart B of 45 CFR Part 2545, implementing sections 5151-5160 of the Drug-Free Workplace Act of 1988 (P.L. 100-690).
21. Will provide, in the design, recruitment, and operation of any AmeriCorps program, for broad-based input from – (1) the community served and potential participants in the program; and (2) community-based agencies with a demonstrated record of experience in providing services and local labor organizations representing employees of service sponsors, if these entities exist in the area to be served by the program;
22. Will, prior to the placement of participants, consult with the appropriate local labor organization, if any, representing employees in the area who are engaged in the same or similar work as that proposed to be carried out by an AmeriCorps program, to ensure compliance with the

- nondisplacement requirements specified in section 177 of the NCSA;
23. Will, in the case of an AmeriCorps program that is not funded through a State, consult with and coordinate activities with the State Commission for the State in which the program operates.
  24. Will comply with all applicable requirements of all other federal laws, executive orders, regulations, application guidelines, and policies governing this program.

## **CERTIFICATIONS**

### **1. 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:

- (a) 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 any agency, a member of Congress, an officer of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, renewal, amendment or modification of any federal grant, or cooperative agreement;
- (b) 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 grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all tiers (including subawards, subgrants, contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**2. Compliance with the Lobbying Disclosure Act of 1995.** As the duly authorized representative of the applicant, I certify, to the best of my knowledge and belief, that neither the undersigned nor any of its operating sites is an organization described in Section (501)c(4) of the Internal Revenue Code of 1986, 26 U.S.C. § 501c(4) that engages in lobbying activities.

**Assurances and Certifications**

**Assurance signature: NOTE: Sign this form and include in the application.**

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**SIGNATURE:** By signing this assurances page, you certify that you agree to perform all actions and support all intentions in the Assurances section.

**Organization Name:** \_\_\_\_\_

**Program Name:** \_\_\_\_\_

**Authorized Representative (name):** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**CERTIFICATION signature: NOTE: Sign this form and include in the application.**

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**Before you start:** Before completing Certification, please read the Certification Instructions.

**SIGNATURE:** By signing this Certification page, you certify that you agree to perform all actions and support all intentions in the Certification sections of this application. The three Certifications are:

- Certification: Debarment, Suspension and Other Responsibility Matters
- Certification: Drug-Free Workplace
- Certification: Lobbying Activities

**Legal Applicant:** \_\_\_\_\_

**Program Name:** \_\_\_\_\_

**Authorized Representative (name):** \_\_\_\_\_

**Title of Authorized Representative:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_

## **APPENDIX E: SUPPLEMENTARY CERTIFICATIONS**

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As the duly authorized representative of the applicant, I certify on behalf of the applicant as follows:

A. The applicant acknowledges that a portion of any funding to the applicant will be provided by the Commonwealth of Massachusetts under the terms of an AmeriCorps grant award between the Division of Career Services in Executive Office of Labor and Workforce Development (the "Division") of the Commonwealth of Massachusetts and Massachusetts Service Alliance, Inc. ("MSA") and that, as required under said grant award, funding to the applicant by MSA will be subject to the terms of that grant award and the Commonwealth Terms and Conditions as issued by the Executive Office for Administration and Finance, the Office of the Controller, and the Operational Services Division of the Commonwealth of Massachusetts.

B. Without limitation of the foregoing, the applicant agrees to, and shall comply with, the following provisions if the applicant receives an AmeriCorps grant award from MSA:

1. Confidentiality. The applicant shall comply with M.G.L. c. 66A if the applicant becomes a "holder" of "personal data". The applicant shall also protect the physical security and restrict any access to personal or other Division data in the applicant's possession, or used by the applicant in the performance of an AmeriCorps grant award, which shall include, but is not limited to the Division's public records, documents, files, software, equipment or systems.

2. Record-keeping and Retention, Inspection of Records. The applicant shall maintain records, books, files and other data as specified in an AmeriCorps grant award and in such detail as shall properly substantiate claims for payment under an AmeriCorps grant award, for a minimum retention period of seven (7) years beginning on the first day after the final payment under a an AmeriCorps grant award, or such longer period as is necessary for the resolution of any litigation, claim, negotiation, audit or other inquiry involving a an AmeriCorps grant award. The Division and MSA shall have access, as well as any parties identified under Executive Order 195, during the applicant's regular business hours and upon reasonable prior notice, to such records, including on-site reviews and reproduction of such records at a reasonable expense.

3. Assignment. The applicant may not assign or delegate, in whole or in part, or otherwise transfer any liability, responsibility, obligation, duty or interest under an AmeriCorps grant award, with the exception that the applicant shall be authorized to assign present and prospective claims for money due to the applicant pursuant to an AmeriCorps grant award in accordance with M.G.L. c. 106, §9-318. The applicant must provide sufficient notice of assignment and supporting documentation to enable MSA to verify and implement the assignment. Payments to third party assignees will be processed as if such payments were being made directly to the applicant, and these payments will be subject to intercept, offset, counterclaims or any other rights which are available to the Division or the Commonwealth of Massachusetts or MSA against the applicant.

4. Subgrant by Applicant. Any subgrant entered into by the applicant for the purposes of fulfilling the obligations under an AmeriCorps grant award must be in writing, authorized in advance by MSA and consistent with and subject to the provisions of the AmeriCorps grant award. Subgrants will not relieve or discharge the applicant from any duty, obligation, responsibility or liability arising under an AmeriCorps grant award. MSA is entitled to copies of all subgrants and shall not be bound by any provisions contained in a subgrant to which it is not a party.

5. Affirmative Action, Non-Discrimination in Hiring and Employment. The applicant shall comply with all federal and state laws, rules and regulations promoting fair employment practices or prohibiting employment discrimination and unfair labor practices and shall not discriminate in the hiring of any applicant for employment nor shall any qualified employee

be demoted, discharged or otherwise subject to discrimination in the tenure, position, promotional opportunities, wages, benefits or terms and conditions of their employment because of race, color, national origin, ancestry, age, sex, religion, disability, handicap, sexual orientation or for exercising any rights afforded by law. The applicant commits to purchasing supplies and services from certified minority or women-owned businesses, small businesses or businesses owned by socially or economically disadvantaged persons or persons with disabilities.

6. Indemnification. Unless otherwise exempted by law, the applicant shall indemnify and hold harmless the Commonwealth of Massachusetts, including the Division, MSA and their respective agents, officers and employees (collectively, the "Indemnitees") against any and all claims, liabilities, and costs for any personal injury or property damages, patent or copyright infringement or other damages that any of the Indemnitees may sustain which arise out of or in connection with the applicant's performance of a an AmeriCorps grant award, including but not limited to the negligence, reckless or intentional conduct of the applicant, its agents, officers, employees or subcontractors. The applicant shall at no time be considered an agent or representative of the Division, the Commonwealth of Massachusetts or MSA. After prompt notification of a claim by any of the Indemnitees, the applicant shall have an opportunity to participate in the defense of such claim and any negotiated settlement agreement or judgment. Neither the Commonwealth of Massachusetts, nor the Division, nor MSA shall not be liable for any costs incurred by the applicant arising under this paragraph.

7. Waivers. Forbearance or indulgence in any form or manner by the applicant or MSA shall not be construed as a waiver, nor in any way limit the legal or equitable remedies available to that party. No waiver by either party of any default or breach shall constitute a waiver of any subsequent default or breach.

C. The applicant agrees that in the event that funding to MSA from the Division is modified or terminated so as to impair the ability of MSA to continue any funding to the applicant as awarded, MSA may upon notice to the applicant modify or terminate its funding to the applicant.

**SUPPLEMENTARY CERTIFICATIONS**

**NOTE: Sign this form and include in the application.**

By signing this Certification page, you certify that you agree on behalf of the applicant to comply with all Certifications in Appendix D.

**Organization Name:**

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**Program Name:**

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**Name and Title of Authorized Representative:**

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**Signature:**

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**Date:**

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