



# Homeland Security

**U.S. Citizenship and Immigration Services  
Office of Citizenship**

## ***FY 2010 Citizenship and Integration National Capacity Building Grant Program***

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Funding Opportunity  
DHS-10-CIS-010-002

### **OVERVIEW INFORMATION**

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#### **General Information**

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**Applicable Catalog of Federal Domestic Assistance (CFDA) Number:**

**97.010**

**Program Title:**

**Citizenship and Integration National Capacity Building Grant Program**

**Synopsis of Program:**

The Citizenship and Integration National Capacity Building Grant Program offered through the Office of Citizenship (OoC), within U.S. Citizenship and Immigration Services (USCIS), Department of Homeland Security (DHS), will provide up to \$2,500,000 in federal funding to eligible national, regional, or statewide organizations with multiple sites to build capacity among their affiliates/members to promote immigrant integration through direct citizenship services to lawful permanent residents (LPRs). An anticipated five (5) competitively awarded grants of up to \$500,000 each will fund national, regional, or statewide organization program management activities, as well as organizational capacity building and technical assistance to affiliates/members to build or strengthen local citizenship preparation programs.

The national, regional, or statewide organization that submits the application will be referred to in this funding announcement as the “principal applicant.” The affiliates/members included in the proposal will be referred to as “sub-applicants.” Only a principal applicant may submit an application under this funding announcement.

USCIS will accept applications from eligible principal applicants who may propose two (2) to four (4) sub-applicants as program partners. The principal applicant should select the sub-applicants based on their need for, and potential to benefit from, the capacity building and technical assistance services provided by the principal applicant. The objective of this funding opportunity is to build the long-term capacity of sub-applicants to provide citizenship education and naturalization preparation services to LPRs. Each principal applicant must include at least two (2) sub-applicant proposals within its grant application. The two (2) to four (4) sub-applicants may not be located in the same city or locality. DHS reserves the right to approve funding for some, none, or all of the two (2) to four (4) proposed sub-applicant programs.

### **Mandatory Letter of Intent – Due March 26, 2010**

Principal applicants intending to apply for Fiscal Year 2010 funding under the Citizenship and Integration National Capacity Building Grant program, **must** send a letter of intent to apply for funding **by March 26, 2010** to [citizenshipgrantprogram@dhs.gov](mailto:citizenshipgrantprogram@dhs.gov) or by fax to 202-272-1356. **This is a mandatory requirement.** In the letter of intent, please include the name of the organization, address, contact name, email address, phone, and fax number. **Your application will not be considered for review unless you submit a letter of intent by Friday, March 26, 2010.**

To submit the **mandatory** letter of intent by email to [citizenshipgrantprogram@dhs.gov](mailto:citizenshipgrantprogram@dhs.gov) (preferred method):

Include “Citizenship and Integration National Capacity Building Grant Program Letter of Intent” and the name of your organization in the subject line of the email. You will receive a standard auto-reply message in response to your email submission. The standard auto-reply message will serve as a confirmation that your letter of intent was received by the USCIS Office of Citizenship. You **must** include the auto-reply confirmation message as a mandatory attachment to your grant application in the “Other Attachments” form. If you do not receive a standard auto-reply message in response to your email, call 202-272-1280.

To submit the **mandatory** letter of intent by fax to 202-272-1356:

Include “Citizenship and Integration National Capacity Building Grant Program Letter of Intent” and the name of your organization in the subject line of the letter, as well as the number of pages submitted. You will receive a standard reply confirmation fax that your letter of intent was received by the USCIS Office of Citizenship. You **must** include the confirmation fax as a mandatory attachment to your grant application in the “Other Attachments” form. If you do not receive a confirmation fax within 3 business days, call 202-272-1280.

### **USCIS/DHS Contacts:**

Program Officer: Jamie Diatta, 202-272-1280, [Jamie.Diatta@dhs.gov](mailto:Jamie.Diatta@dhs.gov)  
Grants Specialist: Tamara Marshall-Jones, 202-447-0737, [Tamara.Marshall-Jones@dhs.gov](mailto:Tamara.Marshall-Jones@dhs.gov)

## Eligibility Information

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National, regional, or statewide organizations with demonstrated experience in organizational capacity building and a proven capability to provide technical assistance and training related to preparing legal immigrants for citizenship are eligible to apply for funding as the principal applicant. Eligible principal applicants are public or private non-profit organizations with an established multi-site network of affiliates/members to serve as sub-applicants. Only principal applicants are eligible to submit an application under this funding announcement. Sub-applicants included in this funding announcement are not eligible to apply for the Fiscal Year 2010 Citizenship and Integration Direct Services Grant Program (DHS-10-CIS-010-003).

## Award Information

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- **Anticipated Type of Award:** Grant
- **Estimated Number of Awards:** 5
- **Anticipated Funding Amount:** Subject to the availability of funds, DHS estimates that \$2,500,000 composed of five (5) \$500,000 grants will be available. The principal applicant may reserve up to \$150,000 of the total approved grant funding for management and programmatic activities. The remaining up to \$350,000 shall be used to fund the two (2) to four (4) sub-applicant direct citizenship services programs. The maximum budget for a sub-applicant program is \$150,000.
- **Performance Period:** Up to two years
- **Anticipated Award Date:** September 2010

## Due Date

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**April 30, 2010**

## FULL PROGRAM DESCRIPTION

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## I. FUNDING OPPORTUNITY DESCRIPTION

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### PROGRAM DESCRIPTION:

The mission of the Office of Citizenship (OoC), within U.S. Citizenship and Immigration Services (USCIS), Department of Homeland Security (DHS), is to provide tools and resources to foster immigrant integration. The OoC promotes English language learning and education on the rights and responsibilities of citizenship.

The OoC provides information and resources to immigrants at key points on the path to integration: when they first become permanent residents, as they apply for citizenship, and when they become U.S. citizens. The primary focus of the OoC is the citizenship process.

The OoC provides educational resources, which include a variety of civics-based publications and training initiatives for immigrants, adult educators, and immigrant-serving organizations.

### Request for Proposals

The Citizenship and Integration National Capacity Building Grant Program offered through the USCIS Office of Citizenship will provide up to \$2,500,000 in federal funding to eligible principal applicants to build local capacity among sub-applicants to promote immigrant integration through direct citizenship services for lawful permanent residents (LPRs). An anticipated five (5) competitively awarded grants of up to \$500,000 each will fund the principal applicant's program management activities, organizational capacity building, and technical assistance to sub-applicants to build or strengthen citizenship preparation programs for LPRs.

USCIS will accept applications from principal applicants who may propose two (2) to four (4) sub-applicants to receive comprehensive and tailored organizational capacity building and technical assistance services. The principal applicant should select the sub-applicants based on an initial assessment of their need for, and potential to benefit from, the capacity building and technical assistance services provided by the principal applicant. The principal applicant should select sub-applicants based on the need for expanded citizenship preparation services for LPRs within specific local communities.

The objective of this funding opportunity is to increase the sustainability and effectiveness of sub-applicants, and to increase long-term capacity to provide citizenship education and naturalization preparation services to LPRs within communities most in need of these services. The sub-applicant local citizenship program that will be developed or strengthened through this grant funding **must** include a citizenship education component. This education component shall consist of citizenship or civics-focused English as a Second Language (ESL) instruction and citizenship instruction (U.S. history and government) to prepare LPRs for the civics, and English reading, writing, and speaking components of the naturalization test. In addition to the mandatory citizenship education component, grant funds **may** be used to provide naturalization application preparation services, including legal services (within the scope of authorized practice of immigration law) and case management services to support the naturalization application and interview process. Grant funds may be used for supporting resources for the local program (e.g.,

curriculum, textbooks/materials, student assessments, software, computers, etc.), outreach to inform eligible LPRs of local direct services offered through grant funded programs, and for staff and volunteer professional development and training. Grant funds also may be used for costs associated with Board of Immigration Appeals (BIA) recognition of the organization and accreditation (or renewal) of sub-applicant staff.

After the grant award, principal applicants must conduct a comprehensive assessment of individual sub-applicant needs and propose a citizenship services program development plan for each of the sub-applicants that is reflective of the technical knowledge and subject matter expertise of the principal applicant, as well as the needs and potential of each sub-applicant.

**All** principal applicants **must** demonstrate, through their Project Narrative, experience and expertise in citizenship education services. If a principal applicant demonstrates, through its Project Narrative, experience and expertise in naturalization application preparation services, sub-applicant proposals also may include this type of direct services programming.

DHS reserves the right to approve funding for some, none, or all of the principal applicant's sub-applicant proposals.

### **The Role of the National, Regional, or Statewide Organization (Principal Applicant)**

The principal applicant will be responsible for overall programmatic and fiscal management of all grant-funded activities, including management of sub-applicant program performance and outcomes based on the training, technical assistance, and program development plan proposed in the grant application. In consultation with the OoC, the principal applicant must formulate capacity building, technical assistance, and program development plans based on the specific needs of each sub-applicant. The expected result is that each sub-applicant will subsequently build the organizational capacity and expertise to effectively manage its new or expanded direct citizenship services program for LPRs on their own, well beyond the performance period of the grant.

The principal applicant may reserve up to \$150,000 of the grant funds to meet its programmatic and fiscal management responsibilities, and for the costs associated with the capacity building and technical assistance services to the sub-applicants. The remainder of the funds must be designated as part of the direct citizenship services program development and implementation budget for each of the two (2) to four (4) sub-applicants.

The principal applicant shall use grant funds to assist its sub-applicants through capacity building and technical assistance in all the areas listed below. The level of emphasis placed on these four areas should be reflective of the needs of each of the sub-applicants, but at a minimum grant-funded efforts must result in functioning direct citizenship services programs in each of the sub-applicant sites. The activities listed below are examples and are not all inclusive.

- Organizational Development (mandatory)
  - Activities include strengthening board or management structure, building fiscal oversight capabilities, volunteer recruitment, training and development programs, staff professional development, and financial management training
- Citizenship Education Program Development (mandatory)
  - Activities include developing the staff expertise and qualifications, as well as the infrastructure to manage all aspects of a citizenship education program, such as teaching and learning resources, assessments, student recruitment, and student intake processes to ensure that only LPRs will receive services through this grant-funded program
- Naturalization Application Preparation Program Development (optional)
  - Activities include developing the staff expertise and qualifications, as well as the infrastructure to manage all aspects of a naturalization application preparation program, including client outreach, intake and referral processes, case management systems, and other processes to help LPRs complete the naturalization application and interview process
- Evaluation of Program Effectiveness (mandatory)
  - Activities include establishing a formal program evaluation process, developing data tracking and reporting systems, developing effective performance measures, identifying and incorporating best practices, assessing program outcomes, and replicating effective program models

Principal applicants that are awarded grant funding under this funding announcement (“principal awardees”) must comprehensively assess the needs and potential of the sub-applicants who are approved under the principal application (“sub-awardees”) and provide a plan detailing how the sub-awardee will gain the technical knowledge and ability to provide these services and the capability to effectively manage these programs in the future. Principal awardees must closely consult with the OoC during the development of the individual capacity building, technical assistance, and program development plans for each of its sub-awardees. The OoC will review and approve/reject these program development plans.

At the conclusion of the performance period, the principal awardee must conduct a formal program evaluation to analyze the capacity building and technical assistance activities and the gains achieved by the sub-awardees. This evaluation must include a report detailing best practices and lessons learned from the project, suitable for public dissemination. This evaluation is a mandatory requirement, which should be reflected in the principal applicant’s Project Narrative and budget proposal.

### **The Role of the Affiliate/Member Program (Sub-applicant)**

Under the direction of the principal applicant, the sub-applicant will build or strengthen citizenship education and naturalization application preparation programs (if applicable) for LPRs. The resulting program **must** include a citizenship education component, and **may** include naturalization application preparation services, along with correlated outreach to inform LPRs of

available grant-funded services. Funding may only be used to provide direct citizenship preparation services to LPRs.

The sub-applicant does not need to currently provide citizenship education and naturalization application preparation services or have experience or expertise in these areas. However, the sub-applicant must have the capability, under the direction and with the assistance of the principal applicant, to build its capacity and expertise in these areas.

**DEFINITIONS:**

For purposes of this funding opportunity, the following definitions apply.

**National, Regional, or Statewide Organization (Principal Applicant/Principal Awardee):** A national, regional, or statewide organization is an entity with an identified headquarters or central location at which certain activities are planned, controlled, or managed. It includes a pre-existing and established multi-site network of offices, agencies, branches, affiliates, or members at which such activities are carried out. The national, regional, or statewide organization is the principal applicant applying for the grant under this funding announcement. It is the organization proposing to provide overall programmatic and fiscal management of all grant-funded activities, including management of affiliate/member program performance and outcomes.

**Affiliate/Member Organization (Sub-applicant/Sub-awardee):** An affiliate/member organization is an entity or an organization within the pre-existing, established, and identifiable network of the national, regional, or statewide organization. Affiliate/member organizations may have legal or financial agreements with a national, regional, or statewide organization (e.g., may be legally incorporated under the same 501(c)(3) as the national, regional, or statewide organization).

**Organizational Capacity Building:** Organizational capacity building is a function of the national, regional or statewide organization to implement processes and activities critical to the long-term viability of its affiliate/member organizations by increasing the effectiveness of the affiliate/member’s programmatic activities and organizational operations. Organizational capacity building activities are designed to increase the affiliate/member’s sustainability, and enhance its ability to provide direct citizenship services to LPRs. Specific examples of organizational capacity building activities are included in Section I “The Role of the National, Regional, or Statewide Organization.”

**Technical Assistance:** Technical assistance refers to consultation and training that is specifically customized or tailored to the needs of the two (2) to four (4) affiliate/member organizations included in this application for grant funding. Technical assistance activities must produce measurable results for the organizations served. Specific examples of Technical Assistance activities are included in Section I “The Role of the National, Regional, or Statewide Organization.”

**The required elements for the proposal and how to submit a proposal are identified under Section IV. of this funding opportunity.**

## **Supplantation/Maintenance of Effort**

Requests for funds under this announcement shall not be used to take the place of activities described in the application that are currently supported with other funding. Also, grant funds shall not be used to support activities that are a normal part of the organization's operations.

## **II. AWARD INFORMATION**

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**A. Type of Award:** Grant

**B. Authority:** Public Law 111-83 (Department of Homeland Security Appropriations Act, 2010)

**C. Estimated Number of Awards:** 5

**D. Estimated Funding:** Subject to the availability of funds, DHS estimates that \$2,500,000 in grant funding will be available. DHS anticipates maximum grant awards of \$500,000 (direct and indirect costs) to each principal applicant.

**E. Performance Period:**

1. The Performance Period will be up to two years fully funded at the outset of the award.
2. Extensions to the Performance Period may be awarded, but are not guaranteed and will not include increased funding.

## **III. ELIGIBILITY INFORMATION**

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**A. Eligible Applicants**

National, regional, or statewide organizations with demonstrated experience in organizational capacity building and a proven capability to provide technical assistance and training related to preparing legal immigrants for citizenship are eligible to apply for funding as the principal applicant. Eligible principal applicants are public or private non-profit organizations with an established network of affiliates/members to serve as sub-applicants. Only principal applicants are eligible to submit an application under this funding announcement. Sub-applicants included in this funding announcement are not eligible to apply for the Fiscal Year 2010 Citizenship and Integration Direct Services Grant Program (DHS-10-CIS-010-003).

### ***Documentation of non-profit and/or public status***

Documentation of non-profit or public status of the applicant institution **must** be included in the application in the "Other Attachments" form. Applications that fail to meet eligibility criteria will be returned without review.

Any of the following constitutes acceptable proof of non-profit status:

- A reference to the applicant organization's listing in the Internal Revenue Service's (IRS) most recent list of tax-exempt organizations described in section 501(c)(3) of the IRS Code.
- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.
- Any of the items in the subparagraphs immediately above for a State or national parent organization and a statement signed by the parent organization that the applicant organization is a local non-profit affiliate.

The following constitutes acceptable proof of public status: A signed statement on official letterhead by an official authorized to apply for grant funds on behalf of the public entity shall suffice.

#### **B. Cost Sharing**

There is no cost share requirement for this program. However, projects that supplement government funding with in-kind contributions are encouraged. In addition, applicants may use their own funds to increase the capacity of the project. Applicants should clearly identify which budget items are to be supported by the federal grant and which are to be supported by in-kind contributions and/or other funding sources, together with an estimate of the value of these non-federal funding sources.

#### **C. Non-Responsive Applications**

Proposals with budgets exceeding the total award maximum of \$500,000 (direct and indirect costs) will not be considered for review. Proposals with budgets exceeding \$150,000 for the principal applicant's management and programmatic costs will not be considered for review. Individual sub-applicant program budgets with facility rental costs of more than 20% of their requested budget will not be considered for review. Proposals with Project Narratives exceeding 25 double-spaced pages as well as those that not address the required items in the specified order identified in Section IV.C.6.a-d will not be considered for review.

### **IV. APPLICATION AND SUBMISSION INFORMATION**

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Applicants must complete and include the following sections as part of their response to the announcement. It is the responsibility of the applicant to ensure that the application is complete. An application will be removed from consideration prior to review if it is incomplete.

**A. Address to Request Application Package**

Use the Grants.gov website to obtain application forms and instructions. Go to <http://www.grants.gov>, click “Apply for Grants,” and then click “Download a Grant Application Package and Instructions.” Enter the CFDA or the funding opportunity number, **97.010**, and click the “Download Application Package” button. Click the “download” link for this opportunity and then follow the prompts to download the application package and the instructions package (if applicable).

**B. How to Submit an Application**

**Applications must be submitted electronically through Grants.gov.**

To submit an application through Grants.gov, applicants must use Adobe Reader. **You must use a compatible version of Adobe Reader.** Adobe Reader is available from Grants.gov at no charge.

The applicant must have a DUNS number to submit an application through grants.gov. See the Grants.gov website for information on how to obtain a DUNS number. In addition, the applicant must be registered with the Central Contractor Registry (CCR) to submit an application through Grants.gov. See Grants.gov or [www.ccr.gov](http://www.ccr.gov) for information on how to register with the CCR.

The applicant must be registered, credentialed and authorized at Grants.gov to submit an application through Grants.gov. See the Grants.gov website for information on how to register, obtain a credential and become authorized.

DHS strongly encourages applicants to obtain or update all registrations, credentials and authorizations related to Grants.gov well in advance of the deadline for submission (April 30, 2010).

If the applicant encounters difficulties, please contact the Grants.gov Help Desk at 1-800-518-4726 to report the problem and obtain assistance with the system.

**We may request that you provide original signatures on forms at a later date.**

**C. Content and Form of Application**

You must complete the mandatory forms for this announcement, including the SF-424 (Application for Federal Assistance), SF-424A (Budget), and other forms in accordance with the application instructions on Grants.gov and additional instructions below. If submitting any information that is deemed proprietary, privileged or confidential commercial or financial information, please denote the beginning and ending of such information with asterisks (\*\*\*)

## MANDATORY FILES:

### 1. SF-424 – Application for Federal Assistance

Applicants must complete an SF-424 application form. This form may be completed while on the Grants.gov website or it can be completed offline in its entirety. NOTE: Applications submitted through Grants.gov must use the SF-424 provided by Grants.gov. The SF-424 application form can only be viewed and downloaded once Adobe Reader has been installed. The SF-424 application form on Grants.gov is formatted so applicants are only required to complete fields which are indicated with an asterisk (\*) and color coded. Once the application is complete, close the document (you will then be prompted to save changes or not).

### 2. SF-424A Budget

Lead applicants must complete one national budget in its entirety, along with separate budgets for each of the proposed sub-applicant projects. Applicants must provide budgets by object class (salaries, fringe, travel, indirect, etc.). **Funds may be requested as long as the item and amount are necessary to perform the proposed work and are not precluded by the cost principles or program funding restrictions (see Section IV.F for Eligible and Ineligible Funding Purposes).**

### 3. Budget Narrative (Justification) File(s)

- a. Attach each budget narrative/justification file, including separate budgets for each of the two (2) to four (4) proposed sub-applicant local citizenship services projects, and any subcontracts, to the form named “Budget Narrative-V1.1” in the application package. If you need to add more documents than this form will allow (i.e., subaward budgets), please use the “Other Attachments” form to attach the additional files (see below).

**The guidance below is general in nature. Refer to Section IV.F for Eligible and Ineligible Funding Purposes applicable to this program.**

- b. Budget detail is required for:

- i. PERSONNEL: Costs of employee salaries and wages.

Justification: Identify the project director or principal investigator, if known. For each staff person, provide the title, time commitment to the project (in months), time commitment to the project (as a percentage or full-time equivalent), annual salary, grant salary, wage rates, etc. Do not include the costs of consultants. Consultants are to be included under Contractual.

- ii. FRINGE BENEFITS: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate.

Justification: Provide the method used to calculate the proposed rate amount. If a fringe benefit has been negotiated with or approved by a cognizant Federal agency, provide a copy of the agreement. If no rate agreement exists, provide a breakdown of the amounts and percentages that comprise fringe benefit costs such as health insurance, FICA, retirement insurance, taxes, etc. Identify the base for allocating these fringe benefit expenses.

- iii. TRAVEL: Costs of project-related travel by employees of the applicant organization (do not include costs of sub-contractor or consultant travel).

Justification: For each proposed trip, provide the purpose, number of travelers, travel origin and destination, number of days, and a breakdown of costs for airfare, lodging, meals, car rental, and incidentals. The basis for the airfare, lodging, meals, car rental, and incidentals must be provided, such as past trips, current quotations, Federal Travel Regulations, etc. Do not include foreign travel.

- iv. EQUIPMENT: Any article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of (a) the capitalization level established by the organization for financial statement purposes, or (b) \$5,000. (Note: Acquisition cost means the net invoice unit price of an item of equipment, including the cost of any modifications, attachments, accessories, calibration and maintenance services, or auxiliary apparatus necessary to make it usable for the purpose for which it is acquired. Ancillary charges, such as taxes, duty, protective in-transit insurance, freight, and installation shall be included in or excluded from acquisition cost in accordance with the organization's regular written accounting practices.)

Justification: For each type of equipment requested, provide a description of the equipment, the cost per unit, the number of units, the total cost, and a plan for use on the project, as well as use or disposal of the equipment after the project ends. An applicant organization that uses its own definition for equipment should provide a copy of its policy or section of its policy which includes the equipment definition.

- v. SUPPLIES: Costs of all tangible personal property other than that included under the equipment category.

Justification: Specify general categories of supplies and their costs. Show computations and provide other information which supports the amount requested.

- vi. CONTRACTUAL: Costs of all contracts for services and goods except for those that belong under other categories such as equipment, supplies, construction, etc. Include third party evaluation contracts (if applicable) and contracts with secondary recipient organizations.

Justification: Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Identify proposed subaward/sub-contractor work and the cost of each subaward/sub-contractor. Provide a detailed budget for each subawardee that is expected to perform work estimated to be \$25,000 or more, or 50% of the total work effort, whichever is less. **The sub-awardee budget(s) should provide the same level of detail as that of the applicant (i.e., by Object Class Category/Cost Classification).** In addition, the following information must be provided:

Subcontracts – Identify each planned subcontractor and its total proposed budget. Each subcontractor's budget and supporting detail should be included as part of the applicant's budget narrative. In addition, the applicant shall provide the following information for each planned subcontract: a brief description of the work to be subcontracted; the number of quotes solicited and received, if applicable; the cost or price analysis performed by the applicant; names and addresses of the subcontractors tentatively selected and the basis for their selection; e.g., unique capabilities (for sole source subcontracts), low bidder, delivery schedule, technical competence; type of contract and estimated cost and fee or profit; and, affiliation with the applicant, if any.

Recipient may be required to make pre-award review and procurement documents available to DHS, including request for proposals or invitations for bids, independent cost estimates, etc. This may include procurements expected to exceed the simplified acquisition threshold fixed at 41 USC 403(11) (currently set at \$100,000) and

expected to be awarded without competition or only one bid or offer is received in response to a solicitation.

Sub-awardees – Identify each planned subawardee and its total proposed budget. Each sub-awardee’s budget and supporting detail should be separate from the applicant’s budget narrative.

All required flow down provisions in the award must be included in any subcontract or sub-award.

- vii. OTHER DIRECT COSTS: Any other items proposed as direct costs. Provide an itemized list with costs, and state the basis for each proposed item.
- viii. INDIRECT COSTS: Provide a copy of the latest rate agreement negotiated with a cognizant Federal agency. If the applicant organization is in the process of initially developing or renegotiating a rate, upon notification that an award will be made, it should immediately develop a tentative indirect cost rate proposal based on its most recently completed fiscal year, in accordance with the cognizant agency's guidelines for establishing indirect cost rates, and submit it to the cognizant agency. Applicants awaiting approval of their indirect cost proposals may also request indirect costs. When an indirect cost rate is requested, those costs included in the indirect cost pool should not also be charged as direct costs to the award. Also, if the applicant is requesting a rate which is less than what is allowed under the program, the authorized representative of the applicant organization must submit a signed acknowledgement that the applicant is accepting a lower rate than allowed.

#### **4. Certifications/Assurances**

- a. Applicants must submit:
  - i. SF-424B – Assurances – Non-construction Programs; and
  - ii. Certification Regarding Lobbying. If paragraph two of the certification applies, then complete and submit the SF-LLL Disclosure of Lobbying which is provided as an optional form in the application package.
- b. By signing and submitting an application under this announcement, the applicant is providing: Certification Regarding Drug-Free Workplace Requirements (see Attachment B); Certification Regarding Debarment, Suspension, and Other Responsibility Matters – Primary Covered

Transactions (see Attachment C); and Certification that the applicant is not delinquent on any Federal debt.

**5. Project Abstract/Summary (one page maximum)**

Provide a summary description, not to exceed one page, suitable for dissemination to the public. This summary must not include any proprietary/confidential information. The summary must identify the following using the headers (in bold) and the order below:

- **Organization Legal Name**
- **Organization Legal Address** (street, city/state)
- **Authorized Official** (name, title, address, phone number, and email address)
- **Point of Contact** for the Application (name, title, address, phone number, and email address)
- **Type of Organization** (e.g., community/faith-based organization, public school, adult education organization, etc.)
- **Total Federal Funding Requested**
- **Legal Name, Location, and Budget of Each Proposed Sub-applicant Site Project** (two to four)
- **Program Purpose and Outcomes** (describe the project purpose, the local need, and what outcomes you will achieve with the grant funding)

Attach the Project Abstract/Summary to the “Project Abstract-V1.1”

**6. Project Narrative (25 double-spaced page maximum)**

Use this section to provide a comprehensive description of all aspects of the proposed project – both the national capacity building and technical assistance elements and the development and implementation of the local direct citizenship services programs – addressing all required elements of the evaluation criteria.

Items 6.a. – 6.d. are the **mandatory elements** that must be included in the Project Narrative portion of your application. **You must follow the order specified below, using the title headings provided below to identify each element.**

**An application that does not include each required element listed in the order specified in this section and/or is in excess of 25 double-spaced pages will be deemed non-responsive and will not be considered.**

- For duplication and scanning purposes, please ensure that the application can be printed on 8 ½” x 11” single-sided paper.
- Use double-spacing.
- Font size must be at least 12 point, preferably Times New Roman font.
- Margins must be at least one (1) inch at the top, bottom, left and right of the

paper.

- The Project Narrative is limited to a total of 25 pages, which should be numbered consecutively “1” of “25” etc.
- Attach the completed Project Narrative to the “Project V1.1” form.

**a. *NATIONAL PROGRAM APPROACH***

Use this section to provide a comprehensive description of the proposed scope and detail of the program design and how the organizational capacity building, technical assistance, and sub-applicant program development activities will be accomplished and evaluated. Elements to cover include:

- How the principal applicant plans to comprehensively assess the needs and potential of the sub-applicant programs and, in close consultation with the USCIS Office of Citizenship, formulate tailored strategies to meet those needs through grant-funded activities.
- How the principal applicant will build capacity and provide technical assistance in the areas of organizational development, citizenship education program development, naturalization application preparation services program development (if applicable), and evaluation of local program effectiveness.
- How the principal applicant plans to review sub-applicant progress throughout the period of performance and take necessary action to ensure successful development and implementation of local citizenship programs.
- How the principal applicant will conduct a formal final program evaluation to determine whether the project achieved its stated objectives and the methodology that will be used to determine if the sub-applicant’s identified needs were met through grant-funded activities at the end of the period of performance.

**b. *NATIONAL ORGANIZATION CAPABILITIES***

Use this section to demonstrate the organization’s capability to successfully manage and implement all aspects of the grant-funded project, including how the principal applicant is qualified to provide organizational capacity building and technical assistance, including relevant subject matter expertise.

For this section of the application, the applicant should:

- Give a brief overview of the organization’s experience in providing organizational capacity building and technical assistance in the area of citizenship education, and (if proposing for sub-applicant programs) naturalization application preparation services. Indicate whether this is current or past experience. Include a description of any related programs (if past, indicate dates) and program achievements.
- Describe the organization’s experience managing grant-funded projects (federal and non-federal).
- Explain the organization’s experience measuring, tracking, evaluating, and reporting outcomes related to capacity building and technical assistance activities.
- Identify and provide résumés for all key personnel who will work on the grant project. At a minimum, the principal applicant’s Program Manager and the sub-applicant’s Program Manager(s) are considered key personnel. For key positions that are vacant, provide position descriptions and a target start date. For key personnel currently on staff, describe that individual’s current role within the organization.
- Provide the principal applicant’s organization chart and description of the organization’s management structure and how the organization is equipped to provide programmatic and fiscal management (include any financial management and reporting systems) of the grant project.

Note: Résumés for current key personnel and position descriptions for vacant key positions are limited to one page each and should be attached to the “Other Attachments” form of the application package. The principal applicant’s organization chart also should be attached to the “Other Attachments” form.

**c. LOCAL PROGRAM APPROACH**

Use this section to provide information about each of the two (2) to four (4) sub-applicants and the rationale for including these sites as part of the project proposal. Clarify whether grant funds will support the creation of new local classes/services or the strengthening of existing local classes/services.

Explain, with supporting information, why each site has been selected for capacity building and technical assistance, to include:

- Community need for citizenship services in the sub-applicant’s geographic location, including the types of citizenship services otherwise available in the community, and a description and estimated

number of LPRs expected to be served through the direct services programs developed or strengthened under this grant opportunity (include any emphasis on underserved populations).

- An initial assessment of the needs of the two (2) to four (4) sub-applicants and their potential to gain the capability to develop and manage a citizenship services program in the long-term.
- An organization chart and description of each sub-applicant organization, including size, management and staffing (including any use of volunteers) structure, services currently provided, and interaction, if any, with the local USCIS field office.

Note: Once implemented, this citizenship services program must include a citizenship education component consisting of citizenship or civics-focused English as a Second Language (ESL) instruction and citizenship instruction (U.S. history and government) to prepare LPRs for the civics, English reading, writing, and speaking components of the naturalization test. In addition to the mandatory citizenship education component, funds may be used to provide naturalization application preparation services to LPRs and correlated outreach to inform LPRs of services. *In anticipation, you must demonstrate how each of the two (2) to four (4) sub-applicants will verify the LPR status of immigrants served with grant funds.*

Note: Attach the sub-applicant organization charts to the “Other Attachments” form.

***d. PROJECT PLAN AND BUDGET***

Use this section to define and describe the strategy to ensure the project will be successfully implemented and will achieve stated performance outcomes. Provide a graphic representation (e.g., timeline or milestone chart) to depict project plan phases by quarter, which should be attached to the “Other Attachments” form.

For the purposes of the project work plan, use the following project phases to build a detailed project timeline: (1) Planning/Assessment, (2) Capacity Building and Technical Assistance Services (3) Implementation of Sub-applicant Service Delivery Programs, and (4) Evaluation of Outcomes.

For each of the four project phases listed above, include the following elements and a description of how these elements will ensure that the project achieves the anticipated performance results:

- Activities and Responsible Staff

- Milestones, Performance Measures, and Outcomes
- Budget Allocation

**7. Other Required Attachments**

Attach the following items to the “Other Attachments V1.1” form.

- a. USCIS confirmation of submission of the **mandatory** letter of intent.
- b. Documentation of non-profit and/or public status.
- c. Negotiated Fringe Benefit Agreements or, if no agreements exist, the amounts and percentages of all items that comprise the fringe rate, and the basis for allocation, if separate from the Indirect Cost Rate Agreement (if applicable).
- d. Indirect Cost Rate Agreements (if applicable).
- e. Résumés of key personnel (one page each) or job description for key positions if vacant.
- f. Organization chart of the principal applicant.
- g. Organization chart of each sub-applicant included in the project proposal.
- h. Project plan phases graphic representation.
- i. A list of other Federal Grant programs from which your organization currently receives funding or for which it has applied in Federal Fiscal Year 2010.
- j. Annual operating budget for the principal applicant.
- k. Annual operating budget for each proposed sub-applicant organization.

**D. Submission Dates and Times**

Application Closing Date: April 30, 2010

**E. Intergovernmental Review**

This program is subject to Executive Order 12372, “Intergovernmental Review of Federal Programs.” When comments are submitted directly to DHS, they should be transmitted electronically to [Tamara.Marshall-Jones@dhs.gov](mailto:Tamara.Marshall-Jones@dhs.gov) (if unable to transmit electronically please contact the DHS Grants Office at (202) 447-0737 for alternative transmission instructions).

The official list, including addresses of the jurisdictions that have elected to participate in E.O. 12372 can be found on the following URL:

<http://www.whitehouse.gov/omb/grants/spoc.html>

**F. Eligible and Ineligible Grant Funding Purposes**

**1. Eligible Funding Purposes**

- a. DHS grant or cooperative agreement funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award.
- b. Funds shall be used to provide services to immigrants with LPR status.
- c. Funds designated for sub-applicant programs can only be used to provide direct services to LPRs. Proposed grant-funded activities must include an education component consisting of citizenship or civics-focused English as a Second Language (ESL) instruction and citizenship instruction (U.S. history and government) and supporting resources (e.g., curriculum, textbooks/materials, student assessments, software, computers, etc.) to prepare LPRs for the civics and English reading, writing, and speaking portions of the naturalization test. In addition to the mandatory education component, funds may be used to provide naturalization application preparation services, including legal services (within the scope of authorized practice of immigration law) and case management services to support the naturalization application and interview process.
- d. Funds may be used for outreach to inform eligible LPRs of services offered through funded programs.
- e. Funds may be used for staff and volunteer professional development and training, including the costs of teacher training activities and professional memberships.
- f. Sub-applicant program facility rental costs not to exceed more than 20% of the approved sub-applicant budget.
- g. Principal applicant grant management and programmatic costs not to exceed \$150,000.
- h. Costs associated with BIA recognition of organizations and accreditation (or renewal) of staff as long as the organization proposes to provide naturalization application preparation services.
- i. Student transportation costs for participants attending set classes.
- j. Child care costs to assist eligible participants attend classes.
- k. Travel funds to cover the cost of a two-day grantee workshop in the Washington, DC area.
- l. Equipment purchases should be directly related to the provision of services (e.g., computers for classroom instruction or for a language lab).
  - Prior to the purchase of equipment in the amount of \$5,000 or more per unit cost, the Recipient must obtain the written approval from DHS.
  - The Recipient shall maintain an annual inventory, which will include a brief description of the item, serial number and amount of purchase for equipment purchased with grant/cooperative agreement funds, or received under a grant or

cooperative agreement, and having a \$5,000 or more per unit cost. The inventory must also identify the subaward under which the equipment was purchased.

- Maintenance and insurance will be the responsibility of the Recipient.
- Title of equipment will remain with the Recipient until closeout when disposition will be provided in writing by DHS within 120 days of submission of final reports.

## **2. Ineligible Funding Purposes**

- a. Cost-sharing or matching funds for other Federal grants, lobbying, or intervention in Federal regulatory or adjudicatory proceedings. In addition, Federal funds may not be used to sue the Federal government or any other government entity.
- b. Immigration/naturalization application fees.
- c. Costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.
- d. Profit/Fee is not allowable except when subcontracting for routine goods and services with commercial organizations.
- e. Foreign travel is not allowable under this funding opportunity.
- f. Construction costs and purchase of real property under this funding opportunity.
- g. Pre-award costs.
- h. Funding for direct reimbursement of proposal development.

## **V. REVIEW PROCESS AND SELECTION CRITERIA**

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### **A. Review Process**

DHS will conduct an initial review of applications to determine the eligibility, completeness, and responsiveness of the application. If an applicant is determined to be ineligible or an application is deemed incomplete/non-responsive, DHS will notify the applicant. All eligible and complete/responsive applications will be reviewed as described below:

1. USCIS will assemble reviewers which may include both Federal and non-Federal reviewers to review the eligible proposals. Reviews of submitted proposals will be conducted either on site or by remote review.

At a minimum, two (2) technical reviewers will review each eligible proposal against the published evaluation criteria. The reviewers will assign points and provide summary comments and overall ratings based on the published evaluation criteria. Copies of all proposals are available for inspection by all of the members of the technical review panel upon request.

2. The highest ranked applications will be forwarded for final funding review.

3. After the technical review and before making final funding decisions, DHS may contact the highest ranking applicants to seek clarification and to negotiate technical and programmatic aspects of the proposal prior to making an award.
4. DHS's designated Selection Authority (SA) will make a final funding decision based upon the results of the evaluation, availability of funds, any funding priorities and program policy factors, and the overall goals of the Citizenship and Integration National Capacity Building Grant Program.
5. **Confidentiality and Conflict of Interest.** Technical and cost proposals submitted under this funding opportunity will be protected from unauthorized disclosure in accordance with applicable laws and regulations. DHS may use one or more support contractors in the logistical processing of proposals. However, proposal selection and award decisions are solely the responsibility of DHS personnel.

DHS screens all panelists for potential conflicts of interest. To determine possible conflicts of interest, DHS requires potential reviewers to complete and sign conflicts of interest and nondisclosure forms. DHS will keep the names of submitting institutions and individuals, as well as the substance of the proposals confidential except to reviewers, and will destroy any unsuccessful proposals after one year following the funding decision.

6. DHS strongly discourages, and will not consider, any materials submitted by or on behalf of the applicant other than those materials specifically requested in this funding opportunity announcement.
7. DHS will notify all applicants electronically of funding decisions. Unfunded applicants may send a written request to [citizenshipgrantprogram@dhs.gov](mailto:citizenshipgrantprogram@dhs.gov) to receive a written summary of reviewer comments related to each of the evaluation criteria, along with the points awarded to the application for each of the evaluation criteria within 60 days. Additional information beyond that described here will not be provided.

**B. Evaluation Criteria**

DHS will use the following criteria to evaluate those submitted applications deemed eligible and complete.

1. **National Program Approach (20)**

- The approach to comprehensively assess and address the needs of each sub-applicant<sup>1</sup>. (5)
- The extent to which the applicant describes a comprehensive and feasible approach to provide individualized organizational capacity building and technical assistance in the areas of: organizational development, citizenship education program development, naturalization application preparation services program development (if applicable), and evaluation of local program effectiveness. (5)
- The extent to which the applicant demonstrates a plan to measure sub-applicant progress during the project period and to reassess and tailor activities as necessary to ensure project goals are met. (5)
- The extent to which the applicant has a plan to formally evaluate and report on the success of the project, including a method to assess whether the identified needs of the sub-applicant were addressed. (5)

2. **National Organization Capabilities (35)**

- The extent to which the applicant has current or recent past experience successfully and effectively providing capacity building and technical assistance services similar to those defined in the funding announcement. (10)
- The degree to which the organization has a sound management and fiscal structure including: well-defined roles for administrators and staff, established financial management systems, and a commitment to ongoing staff and volunteer development and training to ensure effective program implementation. (10)
- The extent to which the applicant identifies and demonstrates that qualifications, capabilities, and educational background of the key personnel (in particular the principal applicant and sub-applicant Project Managers) who will manage and implement all aspects of the program are relevant and will contribute to the success of program goals and objectives. (10)
- The extent to which the applicant has experience managing grant-funded programs. (5)

3. **Local Program Approach (25)**

- The extent to which the applicant justifies the selection of the two (2) to four (4) sub-applicant programs, based on
  - A demonstration of the specific community need for citizenship services. (10)

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<sup>1</sup> As part of this application, the principal applicant must provide an initial assessment of needs of the two (2) to four (4) sub-applicants. If selected for funding, the principal applicant must perform a comprehensive needs assessment that will form the basis of individualized capacity building and technical assistance services.

- An initial assessment of each sub-applicant’s need and how it will benefit from and sustain these activities. (10)
- An explanation of each sub-applicant organization’s current structure and programs and how these grant-funded services will complement and improve existing services or programs. (5)

4. **Project Plan and Budget (20)**

- The extent to which the principal applicant clearly defines performance standards and provides a plan to track, report, and evaluate performance outcomes. (5)
- The extent to which project activities and milestones are well-defined and can realistically be completed within the grant cycle. (5)
- The extent to which the principal applicant is able to correlate the program’s budget to the program design and implementation timeline, including how it is sufficient to support program activities and is linked to desired outputs and outcomes. (5)
- The extent to which principal applicant’s administrative/management costs are balanced with funds designated for sub-applicant program development. (5)

C. **Selection Factors**

Proposals are generally awarded in the numerical order in which they are ranked. However, the DHS Source Selection official may consider the following program policy factors to achieve program balance when making an award: (a) whether a proposal, when balanced with other potential awards, represents a diverse population; (b) whether a proposal, when balanced with other potential awards, represents a diverse geographic area; (c) whether a proposal, when balanced with other potential awards, does not substantially duplicate other proposals submitted in response to this announcement; (d) whether a proposal, when balanced with other potential awards, represents diverse community sizes (i.e., city, locality, or service area) and, (e) whether a proposal, when balanced with other potential awards, generally reflects a mixture of both traditional immigrant receiving communities and new immigrant gateways.

**VI. AWARD ADMINISTRATION INFORMATION**

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A. **Notice of Award**

A grant will be executed by a DHS Grants Officer authorized to obligate DHS funding.

B. **Administrative and National Policy Requirements**

Awards under this announcement are subject to the following administrative and national policy requirements.

1. **Administrative and Cost Principles.** The following Administrative and Cost Principles, as applicable, apply to the award:
  - a. OMB Circular A-110, relocated to 2 CFR Part 215, “Uniform Administrative Requirements for Grants and Cooperative Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations.”
  - b. 44 CFR Part 13, “Uniform administrative requirements for grants and cooperative agreements to State and local governments.”
  - c. OMB Circular A-87, Relocated to 2 CFR Part 225, “Cost Principles for State, Local, and Indian Tribal Governments.”
  - d. OMB Circular A-21, relocated to 2 CFR Part 220. “Cost Principles for Educational Institutions.”
  - e. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations.”

These publications may be viewed at:

[http://www.whitehouse.gov/omb/grants/grants\\_circulars.html](http://www.whitehouse.gov/omb/grants/grants_circulars.html)

2. **Nondiscrimination.** The award is subject to the following terms:
  - a. TITLE VI OF THE CIVIL RIGHTS ACT OF 1964. As amended, provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. Title VI also extends protection to persons with limited English proficiency. (42 U.S.C. 2000d et seq.)
  - b. TITLE IX OF THE EDUCATION AMENDMENTS OF 1972. Provides that no person in the United States shall, on the basis of sex, be excluded from participation in, be denied benefits of, or be subject to discrimination under any education program or activity receiving Federal financial assistance. (20 U.S.C. 1681 et seq.)
  - c. THE AGE DISCRIMINATION ACT OF 1975. Provides that no person in the United States shall, on the basis of age, be excluded from participation in, be denied benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (42 U.S.C. 6101 et seq.)
  - d. SECTION 504 OF THE REHABILITATION ACT OF 1973. Provides that no otherwise qualified individual with a disability in the United States, shall, solely by reason of his/her disability, be excluded from participation in, be denied

benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. (29 U.S.C. 794)

- e. THE AMERICANS WITH DISABILITIES ACT OF 1990 ("ADA"). Prohibits discrimination on the basis of disability in employment (Title I), state and local government services (Title II), places of public accommodation and commercial facilities (Title III). (42 U.S.C. 12101-12213)

**3. Certifications and Assurances.** Certifications and assurances regarding the following apply:

- a. LOBBYING. Section 319 of Public Law 101-121 prohibits the use of funds in lobbying members and employees of Congress, as well as employees of Federal agencies, with respect to the award or amendment of any Federal grant, cooperative agreement, contract, or loan. DHS has codified restrictions upon lobbying at 6 CFR Part 9. (31 U.S.C. 1352)
- b. DRUG-FREE WORKPLACE ACT. Requires the recipient to publish a statement about its drug-free workplace program and give a copy of the statement to each employee (including consultants and temporary personnel) who will be involved in award-supported activities at any site where these activities will be carried out. Also, place(s) where work is being performed under the award (i.e., street address, city, state and zip code) must be maintained on file. The recipient must notify the Grants Officer of any employee convicted of a violation of a criminal drug statute that occurs in the workplace. (41 U.S.C. 701 et seq.)
- c. DEBARMENT AND SUSPENSION. Executive Orders (E.O.) 12549 and 12689 provide protection from fraud, waste, and abuse by debarring or suspending those persons that deal in an irresponsible manner with the Federal government. The recipient must certify that they are not debarred or suspended from receiving Federal assistance.
- d. FEDERAL DEBT STATUS. The recipient may not be delinquent in the repayment of any Federal debt. Examples of relevant debt include delinquent payroll or other taxes, audit disallowances, and benefit overpayments. (OMB Circular A-129)

**4. Trafficking in Persons**

- a. Provisions applicable to a Recipient that is a private entity.
  - i. The Recipient, Recipient's employees, subrecipients under the Award, and subrecipients' employees may not—
    - (A) Engage in severe forms of trafficking in persons during the period of time that the Award is in effect;

- (B) Procure a commercial sex act during the period of time that the Award is in effect; or
    - (C) Use forced labor in the performance of the Award or subawards under the Award.
  - ii. DHS may unilaterally terminate the Award, without penalty, if the Recipient or a subrecipient that is a private entity—
    - (A) Is determined to have violated a prohibition in paragraph a.i. of this section; or
    - (B) Has an employee who is determined by DHS to have violated a prohibition in paragraph a.i. of this section through conduct that is either—
      - (1) Associated with performance under the Award; or
      - (2) Imputed to the Recipient or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement).”
- b. Provision applicable to a Recipient other than a private entity. DHS may unilaterally terminate the Award, without penalty, if a subrecipient that is a private entity—
  - i. Is determined to have violated an applicable prohibition in paragraph a.i. of the Award this section; or
  - ii. Has an employee who is determined by DHS to have violated an applicable prohibition in paragraph a.i of this section through conduct that is either—
    - (A) Associated with performance under the Award; or
    - (B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement).”
- c. Provisions applicable to any Recipient.

- i. The Recipient and subrecipient must inform DHS immediately of any information the Recipient or subrecipient receives from any source alleging a violation of a prohibition in paragraph a.i. of this section.
  - ii. DHS' right to terminate unilaterally that is described in paragraph a.ii or b of this section:
    - (A) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
    - (B) Is in addition to all other remedies for noncompliance that are available to DHS under the Award.
  - iii. The Recipient must include the requirements of paragraph a.i of this section in any subaward the Recipient makes to a private entity.
- d. Definitions. For purposes of the Award:
- i. "Employee" means either:
    - (A) An individual employed by the Recipient or a subrecipient who is engaged in the performance of the project or program under the Award; or
    - (B) Another person engaged in the performance of the project or program under the Award and not compensated by the Recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
  - ii. "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
  - iii. "Private entity:"
    - (A) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25.
    - (B) Includes:
      - (1) A non-profit organization, including any non-profit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(2) A for-profit organization.

- iv. “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

**5. Information and Data Quality.** Congress, through OMB, has instructed each Federal agency to implement Information Quality Guidelines designed to “provide policy and procedural guidance for ensuring and maximizing the quality, objectivity, utility, and integrity of information, including statistical information, disseminated by Federal agencies.” Information quality procedures may apply to data generated by grant or cooperative agreement recipients if those data are disseminated as described in the Guidelines. The Office of Management and Budget (OMB) Circular A-110 has been revised to provide public access to research data through the Freedom of Information Act (FOIA) under some circumstances. Data that is (1) first produced in a project that is supported in whole or in part with Federal funds and (2) cited publicly and officially by a Federal agency in support of an action that has the force and effect of law (i.e., a regulation) may be accessed through FOIA. If such data are requested by the public, DHS must ask for it, and the awardee must submit it, in accordance with A-110 and applicable regulations at 40 C.F.R. 30.36.

**6. Acknowledgement of DHS Support.** DHS’s full or partial support must be acknowledged in journal articles, oral or poster presentations, news releases, interviews with reporters and other communications. Any documents developed under an award under this announcement that are intended for distribution to the public or inclusion in a scientific, technical, or other journal shall include the following statement:

This publication [article] was developed under DHS Agreement No. \_\_\_\_\_ awarded by the U.S. Department of Homeland Security. The views and conclusions contained in this document are those of the authors and should not be interpreted as necessarily representing the official policies, either expressed or implied, of the U.S. Department of Homeland Security. The Department of Homeland Security does not endorse any products or commercial services mentioned in this publication.

**7. Use of DHS Seal and Non-Endorsement.** Recipient shall acquire DHS approval prior to using the DHS seal. DHS funding of projects under an award does not equate to DHS’s endorsement of such projects.

## C. **Reporting Requirements**

### 1. **Financial Reports**

- a. The Recipient shall submit quarterly financial reports (SF 425, Federal Financial Report) to the DHS Grants Officer within 30 days after the end of each reporting

period. Reports are due January 30, April 30, July 30, and October 30. Reports shall be submitted via email to [DHS-GrantReports@dhs.gov](mailto:DHS-GrantReports@dhs.gov) (include the DHS grant number in the subject line of the email.).

- b. The Recipient is required to submit a quarterly Cash Transaction Report (SF 272) to the Department of Health and Human Services Division of Payment Management.
- c. The Recipient is required to submit a Final Federal Financial Report (SF 425) to the DHS Grants Officer within 90 days after the expiration date of the Performance Period.

## **2. Performance Reports**

- a. Quarterly Performance Reports. The Recipient shall submit quarterly performance reports to the DHS Grants Officer within 30 days after the end of each reporting period. Reports are due January 30, April 30, July 30, and October 30. Reports shall be submitted via email to [DHS-GrantReports@dhs.gov](mailto:DHS-GrantReports@dhs.gov) (include the DHS grant number in the subject line of the email).
- b. The OoC will provide grant awardees with a Performance Report template, which will include the following general elements: a comparison of actual accomplishments against the approved project activities, milestones, measures, and outcomes for the quarter; documentation of the status of budgeted versus actual expenditures, in accordance with the project plan. Grantees should be prepared to report on the following for each sub-applicant program:
  - Capacity building and technical assistance provided to sub-applicant programs in the area of organizational development, citizenship education program development, naturalization application preparation program development (if applicable), and evaluation of program effectiveness.
  - Specific examples of expanded organizational capacity to offer services to LPRs (for example: BIA recognition/accreditation, newly trained volunteers or staff to provide additional class offerings or services, any staff professional development activities, improved data collection and client tracking systems).
  - Outreach strategies employed to inform LPRs about services offered through the program.
  - The number of individuals reached through outreach strategies.
  - The number of LPRs served by the citizenship education component.
  - The number of LPRs given naturalization application preparation services (if applicable).
  - A description of lessons learned with a discussion of what could have been done differently and the challenges encountered and addressed.
- c. The Final Performance Report shall be submitted to the DHS Grants Officer no later than 90 days after the expiration date of the Performance Period. The Final

Performance Report shall include any best practices related to direct service provision to LPRs.

## VII. DEPARTMENT OF HOMELAND SECURITY CONTACTS

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### A. Program Officer

Jamie Diatta  
Office of Citizenship  
U.S. Citizenship and Immigration Services  
Department of Homeland Security  
20 Massachusetts Avenue, NW, Room 5200  
Washington, DC 20529-2010  
Phone: 202-272-1280  
E-mail: [Jamie.Diatta@dhs.gov](mailto:Jamie.Diatta@dhs.gov)

### B. Grants Officer

Larry Thompkins  
Department of Homeland Security  
Attn: Office of Procurement Operations/Grants and Financial Assistance  
Division, Mail Stop 0115, Room 3051  
245 Murray Lane, SW  
Washington, DC 20528-0115  
Phone: 202-447-5529  
E-mail: [Larry.Thompkins@dhs.gov](mailto:Larry.Thompkins@dhs.gov)

## VIII. OTHER INFORMATION

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### A. Copyright and Data Rights

- 1. Copyright:** The Recipient may publish, or otherwise exercise copyright in, any work first produced under this Agreement unless the work includes information that is otherwise controlled by the government (e.g., classified information or other information subject to national security or export control laws or regulations). For scientific, technical, or other copyrighted work based on or containing data first produced under this Agreement, including those works published in academic, technical or professional journals, symposia proceedings, or similar works, the Recipient grants the government a royalty free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for government purposes in all such copyrighted works. The Recipient shall affix the applicable copyright notices of 17 U.S.C. 401 or 402, and an acknowledgment of government sponsorship (including award number) to any work first produced under this Agreement.

## 2. Data Rights:

General Requirements. The Recipient grants the Government a royalty free, nonexclusive and irrevocable license to reproduce, display, distribute copies, perform, disseminate, or prepare derivative works, and to authorize others to do so, for Government purposes in:

- a. Any data that is first produced under this Agreement and provided to the Government; or
- b. Any data owned by third parties that is incorporated in data provided to the Government under this Agreement.

“Data” means recorded information, regardless of form or the media on which it may be recorded.

Requirements for subawards. The Recipient agrees to include in any subaward made under this Agreement the requirements of the Copyright and Data Rights paragraphs of this article and of 37 C.F.R. 401.14.

### **B. Technology Transfer**

Recipient agrees to work with the technology transfer component of recipient’s institution to engage in technology transfer and commercialization activities associated with recipient’s research using the funding received under an assistance agreement issued pursuant to this announcement.

Attachment A

**FY 2010 Citizenship and Integration National Capacity Building Grant Program  
Application Submission Checklist**

Use the checklist below as a guide when preparing your application:

	SECTION	ITEM
	Overview Information	Mandatory Letter of Intent due <b>March 26, 2010</b>
	IV.C.1.	SF-424-Application for Federal Assistance
	IV.C.2.	SF 424A-Budget
	IV.C.3.	Budget Narrative (Justification) File(s)
	IV.C.4.	Certifications/Assurances <ul style="list-style-type: none"> <li>• SF-424B-Assurances-Non-construction Programs</li> <li>• Certification Regarding Lobbying</li> <li>• Certification Regarding Drug-Free Workplace Requirements</li> <li>• Certification Regarding Debarment, Suspension, and Other Responsibility Matters</li> </ul>
	IV.C.5.	Program Abstract/Summary (one page maximum)
	IV.C.6.	Project Narrative – include: <ol style="list-style-type: none"> <li>a. National Program Approach</li> <li>b. National Organization Capabilities</li> <li>c. Local Program Approach</li> <li>d. Project Plan and Budget               <ul style="list-style-type: none"> <li>• Maximum 25 double-spaced pages</li> <li>• Pages must be numbered “1” of “25”</li> </ul> </li> </ol>
	IV.C.7.	Other Required Attachments <ul style="list-style-type: none"> <li>• Copy of USCIS confirmation of receipt of mandatory Letter of Intent (see Overview Information)</li> <li>• Documentation of non-profit and/or public status (Section III.A.)</li> <li>• Negotiated Fringe Benefit Agreement (if applicable) (Section IV.C.3.b.ii.)</li> <li>• Indirect Cost Agreement (if applicable) (Section IV.C.3.b.viii.)</li> <li>• Résumés of key personnel (one page each) or position descriptions for vacant key positions (one page each) (Section IV.C.6.b.)</li> <li>• Principal applicant’s organization chart (Section IV.C.6.b.)</li> <li>• Each sub-applicant’s organization chart (Section IV.C.6.c.)</li> <li>• Project plan phases graphic representation (Section IV.C.6.d.)</li> <li>• A list of other Federal Grant programs from which your organization currently receives funding or for which it has applied in Federal Fiscal Year 2010 (Section IV.C.7.i.)</li> <li>• Annual operating budget for the principal applicant (Section IV.C.7.j.)</li> <li>• Annual operating budget for each sub-applicant (Section IV.C.7.k.)</li> </ul>

## Attachment B

### CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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This certification is required by the regulations implementing Sections 5151-5160 of the Drug-Free Workplace Act of 1988 (P.L. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.).

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1. **By signing and/or submitting this application for a grant or cooperative agreement, the awardee is providing the certification set out below.**
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant or cooperative agreement. If it is later determined that the awardee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal government, may take action authorized under the Drug-Free Workplace Act.
3. For awardees other than individuals, Alternate I applies.
4. For awardees who are individuals, Alternate II applies.
5. Workplaces under grants or cooperative agreements, for awardees other than individuals, need not be identified on the certification. If known, they may be identified in the assistance agreement application. If the awardee does not identify the workplaces at the time of application, or upon award, if there is no application, the awardee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the awardee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the assistance agreement takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the assistance agreement, the awardee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Awardees' attention is called, in particular, to the following definitions from these rules:

*Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);*

*Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;*

*Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;*

*Employee means the employee of a awardee directly engaged in the performance of work under a grant or cooperative agreement, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant or cooperative agreement; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant or cooperative agreement and who are on the awardee's payroll. This definition does not include workers not on the payroll of the awardee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the awardee's payroll; or employees of subrecipients or subcontractors in covered workplaces).*

## **Certification Regarding Drug-Free Workplace Requirements**

### Alternate I. (Awardees Other Than Individuals)

- A. The awardee certifies that it will or will continue to provide a drug-free workplace by:
- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the awardee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - b. Establishing an ongoing drug-free awareness program to inform employees about –
    1. The dangers of drug abuse in the workplace;
    2. The awardee's policy of maintaining a drug-free workplace;
    3. Any available drug counseling, rehabilitation, and employee assistance programs; and
    4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - c. Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (a);
  - d. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant or cooperative agreement, the employee will --
    1. Abide by the terms of the statement; and
    2. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
  - e. Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant or cooperative agreement activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant or cooperative agreement;
  - f. Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --

1. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
3. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
4. The awardee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant or cooperative agreement:

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

\_\_\_ Check if there are workplaces on file that are not identified here.

**B. Alternate II. (Awardees Who Are Individuals)**

- a. The awardee certifies that, as a condition of the grant or cooperative agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant or cooperative agreement;
- b. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant or cooperative agreement activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant or cooperative agreement.

## Attachment C

### CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

This certification is required by the Department of Homeland Security implementing Executive Orders 12549 and 12689, Debarment and Suspension.

#### Instructions for Certification

1. **By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4,

debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency may terminate this transaction for cause or default.

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

1. The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

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

**1. Instructions for Certification**

2. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
3. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
4. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
6. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
7. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and No procurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.