



Homeland Security

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

OVERVIEW INFORMATION

FY 2011 Citizenship and Integration National Capacity Building Grant Program

Funding Opportunity Number: DHS-11-CIS-010-003
Modification # 1, January 24, 2011

Catalog of Federal Domestic Assistance (CFDA) Number(s): 97.010

Due Dates

Application Deadline: April 1, 2011

MODIFICATION NOTES:

The purpose of this modification is to correct:

1. the e-mail address for the DHS Grants Office (pages 2 and 38); and
2. the definition of Unauthorized Practice of Immigration Law (pages 51-52).



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

FY 2011 Citizenship and Integration National Capacity Building Grant Program

Funding Opportunity
DHS-11-CIS-010-003

OVERVIEW INFORMATION

General Information

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 approximately \$3,000,000 to eligible national, regional, or statewide organizations with multiple sites to build capacity among their affiliates/members to provide direct citizenship preparation services to Lawful Permanent Residents (LPRs). An anticipated five (5) grants of up to \$600,000 each will fund national, regional, or statewide organization program management costs, organizational capacity building costs, and technical assistance costs, as well as costs for affiliates/members to develop and implement sustainable 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.”

Principal applicants must propose four (4) sub-applicants within the grant application. 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 direct citizenship instruction and naturalization application services to LPRs. The four (4) sub-applicants may not be located in the same city or locality. DHS reserves the right to approve funding for some or all of the proposed sub-applicant programs.

USCIS/DHS Contacts:

USCIS Program Office (Office of Citizenship): Send all questions to citizenshipgrantprogram@dhs.gov. The Office of Citizenship staff will respond within five (5) business days. You may also refer to the Citizenship and Integration Grant Program Questions and Answers by going to www.uscis.gov/grants, and clicking on “Questions and Answers.”

DHS Grants Office: Stephanie Dawkins
Email: CisGrants@dhs.gov

Eligibility Information

Eligible principal applicants are national, regional, or statewide organizations with demonstrated recent experience providing capacity building and technical assistance to organizations to develop direct citizenship preparation programs. Eligible principal applicants must have proven subject-matter expertise in citizenship instruction and naturalization application services. Principal applicants must be public or private non-profit organizations with an established multi-site network of affiliates or members to serve as sub-applicants. Sub-applicants included by the principal applicant in this funding announcement are not eligible to apply for either of the Fiscal Year 2011 Citizenship and Integration Direct Services Grant Programs (DHS-11-CIS-010-001 and DHS-11-CIS-010-002).

Award Information

- **Anticipated Type of Award:** Grant
- **Estimated Number of Awards:** 5
- **Anticipated Funding Amount:** Subject to the availability of funds, DHS estimates that \$3,000,000 composed of five (5) grants of up to \$600,000 each will be available. The principal applicant may reserve up to \$150,000 of the total approved grant funding for their management and programmatic activities. The remaining up to \$450,000 shall be used to fund the four (4) sub-applicant direct citizenship

preparation programs. The maximum budget for each sub-applicant program is \$150,000.

- **Performance Period:** A mandatory two-year performance period from October 1, 2011 to September 30, 2013
- **Application Due Date** **April 1, 2011**
- **Anticipated Award Date:** September 2011
- **Period of Performance Start:** October 1, 2011
- **Maximum Grant Award:** \$600,000

FULL PROGRAM DESCRIPTION

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I. FUNDING OPPORTUNITY DESCRIPTION

PROGRAM DESCRIPTION:

The Office of Citizenship (OoC), within U.S. Citizenship and Immigration Services (USCIS), Department of Homeland Security (DHS), is charged with promoting the rights and responsibilities of citizenship. Naturalization is not only a benefit in itself, but also a mechanism to foster immigrant integration. Naturalization provides civic and economic opportunities for new citizens, and strengthens our communities and nation as a whole. Through preparing for naturalization, applicants will gain the tools to be vested citizens – ready to exercise their rights and meet their responsibilities as United States citizens.

The goals of this grant program are to expand the availability of high quality citizenship preparation programs across the nation through the creation of new programs within existing organizations, strengthen emerging citizenship preparation programs, and build long-term capacity of local organizations to provide direct citizenship preparation services to LPRs in communities most in need of those services. At the end of the grant performance period, the sub-applicant organizations should be well-prepared to manage and execute all aspects of successful citizenship instruction and naturalization application service programs.

Request for Proposals

The Citizenship and Integration National Capacity Building Grant Program offered through the Office of Citizenship will provide approximately \$3,000,000 to eligible national, regional, or statewide organizations with multiple sites to build capacity among their affiliates/members to provide direct citizenship preparation services to LPRs. An anticipated five (5) grants of up to \$600,000 each will fund national, regional, or statewide organization program management costs, organizational capacity building costs, and technical assistance costs, as well as costs for sub-applicants to develop and implement sustainable local citizenship preparation programs.

The principal applicant must propose four (4) sub-applicants to receive comprehensive organizational capacity building and technical assistance services tailored to their specific citizenship instruction and naturalization application service program development needs. The principal applicant may reserve up to \$150,000 of the grant funds for program management costs and for the costs associated with providing capacity building and technical assistance services to the sub-applicants. The remainder of the funds must be designated as part of the direct citizenship preparation program development budget for each of the four (4) sub-applicants. DHS reserves the right to approve funding for some or all of the principal applicant's proposed sub-applicants.

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

The principal applicant must be a national, regional, or statewide organization with an identified headquarters or central office from which network-wide activities are planned, controlled, and managed. The principal applicant's organization must include a pre-existing and established

multi-site network of offices, agencies, branches, affiliates, or members at which such activities are carried out. The principal applicant must have demonstrated recent experience providing capacity building and technical assistance to organizations to develop direct citizenship preparation programs. The principal applicant must also have proven subject-matter expertise in citizenship instruction and naturalization application services.

The principal applicant must:

- a. Select four (4) sub-applicants based on (a) an initial assessment of their need for, and potential to benefit from, the capacity building and technical assistance services provided by the principal applicant; and (b) the demonstrated need for expanded citizenship preparation services for LPRs in the sub-applicants' communities.
- b. Conduct a formal needs assessment of each sub-applicant after receiving the award.
- c. Create a Program Development Plan tailored to each sub-applicant's identified needs, which details how the sub-applicant will gain the technical knowledge and ability to develop and implement a direct citizenship preparation program and the capability to effectively manage the program in the future. After the OoC approves the principal applicant's Program Development Plan for each sub-applicant, they will become part of the official grant award document.
- d. Provide ongoing capacity building and technical assistance to sub-applicants during the implementation of the Program Development Plans.
- e. Provide overall programmatic and fiscal management of all grant-funded activities, including management of sub-applicants' program performance and outcomes based on their Program Development Plans.
- f. Conduct ongoing and final program evaluations, including tracking and reporting data.
- g. Ensure that sub-applicants verify and document that only LPRs receive services funded by this grant.

The Role of the Affiliate/Member (Sub-Applicant)

The selected four (4) sub-applicants are affiliates or members of the principal applicant's network with an identified need for assistance in developing a direct citizenship preparation program. The sub-applicant does not need to currently provide citizenship instruction and naturalization application services or have experience or expertise in these areas. However, the sub-applicant must have the potential, under the direction and with the assistance of the principal applicant, to build its capacity and expertise to develop, implement, and sustain a direct citizenship preparation program.

The role of the sub-applicant is to develop and implement a direct citizenship preparation program in conjunction with the principal applicant. The sub-applicant's citizenship preparation program that will be developed or strengthened through this grant funding must include:

1. **Citizenship instruction** to prepare LPRs for the civics and English (reading, writing, and speaking) components of the naturalization test. This must include both (a) U.S. history and government (i.e., civics) instruction; and (b) civics-focused English as a Second Language (ESL) instruction.

2. **Naturalization application services**, within the scope of authorized practice of immigration law, to support the naturalization application and interview process.

National Capacity Building Program Phases

Below are the three (3) major phases of the National Capacity Building Grant Program that will occur after the grant award. The phases begin when the performance period commences. While these activities do not start until after receiving the award, the principal applicant should include these requirements as planned activities in the Project Plan (see Section IV.C.7).

Phase 1: Needs Assessment and Program Development Plan

Needs Assessment

In the first quarter of the performance period, the principal applicant must conduct a formal needs assessment of each sub-applicant. First, the principal applicant must develop a **needs assessment tool** (e.g., survey or questionnaire) and conduct an assessment of each sub-applicant. Before beginning the needs assessment, the principal applicant must obtain approval of the needs assessment tool from OoC no later than **October 31, 2011**. After completing the needs assessment of all sub-applicants, the principal applicant must submit a **needs assessment report** to OoC by **November 30, 2011**.

Program Development Plan

After completing the formal needs assessment process, the principal applicant must use this information to create a **Program Development Plan** for each sub-applicant, which specifies the capacity building and technical assistance activities required to meet each sub-applicant's identified needs in the areas of citizenship instruction and naturalization application services program development and implementation. The Program Development Plan should be reflective of the technical knowledge and subject matter expertise of the principal applicant, as well as the needs and potential of each sub-applicant. The objective of the Program Development Plan is for each sub-applicant to develop their organizational capacity and subject matter expertise to effectively manage its direct citizenship preparation program for LPRs beyond the performance period of the grant. Program Development Plans are due prior to the end of the first quarter of the performance period, no later than **December 31, 2011**. The OoC will review and approve/reject these Program Development Plans. Once the Program Development Plans have been approved, they will become part of the official grant award document.

The principal applicant must use its subject-matter expertise and capacity building experience to address the sub-applicants' identified program development needs in the following four areas:

- a. **Organizational Development:** This may include strengthening fiscal oversight capabilities; enhancing volunteer recruitment and training; improving staff

- professional development; acquiring financial management systems; providing assistance obtaining non-profit status documentation; improving record keeping and data collection systems; or any other activities to enable sub-applicants to manage and sustain a direct citizenship preparation program.
- b. Citizenship Instruction Program Development:** This may include developing the staff expertise and qualifications to provide citizenship instruction; recruiting and training a qualified project manager; and strengthening the infrastructure to implement and manage all aspects of a citizenship instruction program, such as teaching and learning resources, student assessments, student recruitment, and student intake processes to ensure that only LPRs will receive services through this grant-funded program.
 - c. Naturalization Application Services Program Development:** This may include developing the staff expertise and qualifications to provide naturalization application services; recruiting and training a qualified project manager; and strengthening the infrastructure to implement and manage all aspects of a naturalization application services program, such as client outreach, intake and referral processes, case management systems, and other activities to help LPRs complete the naturalization application and interview process.
 - d. Program Evaluation Development:** This may include establishing a formal program evaluation process and assessing program outcomes; developing data tracking, analysis and reporting methods; developing effective performance measures; identifying and incorporating promising practices; and replicating effective program models.

Phase 2: Capacity Building, Technical Assistance, and Direct Services Program Implementation

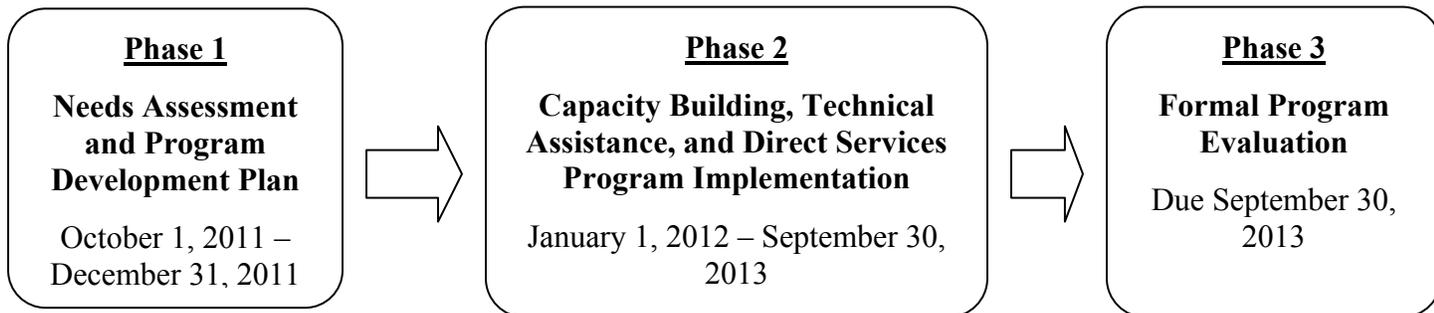
Phase 2 will cover most of the performance period. In this phase, the principal applicant will implement the Program Development Plans by providing capacity building and technical assistance tailored to the specific needs of each sub-applicant. The capacity building activities should increase the sustainability of the sub-applicant's direct citizenship preparation program and enhance its ability to manage an effective direct citizenship preparation program. The principal applicant should provide technical assistance in the form of consultation and training that is specifically tailored to the needs of the selected four (4) sub-applicants, as identified in the needs assessment and defined in the Program Development Plans. Technical assistance activities must produce measurable results for the organizations served. Sub-applicant citizenship instruction and naturalization application services must continue to be provided through the end of the performance period.

Phase 3: Final Program Evaluation

The principal applicant must conduct a formal program evaluation to analyze the effectiveness of the capacity building and technical assistance activities and the gains achieved by the sub-applicants, based on a comparison of the identified needs and the capacity and expertise demonstrated at the conclusion of the performance period. This

evaluation must include a report detailing promising practices and lessons learned from the project, suitable for public dissemination. This evaluation is a mandatory requirement, which should be adequately described in the principal applicant's Project Narrative and Project Plan. This final program evaluation is due **September 30, 2013**.

See below for a representation of the phases:



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

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. Grant funds shall not be used to support activities that are a normal part of the organization's operations.

II. AWARD INFORMATION

A. Type of Award: Grant

B. Authority: Public Law 111-83 (Department of Homeland Security Appropriations Act, 2010); Public Law 111-242 (Continuing Appropriations Act of 2011).

C. Estimated Number of Awards: 5

D. Estimated Funding: Subject to the availability of funds, DHS estimates that \$3,000,000 in grant funding will be available. DHS anticipates maximum grant awards of \$600,000 (direct and indirect costs) to each principal applicant.

E. Performance Period:

1. The performance period is **two years** fully funded at the outset of the award.

2. Extensions to the performance period may be granted, but are not guaranteed and will not include increased funding.

F. Data Universal Numbering System (DUNS) and Central Contractor Registration (CCR) Requirement

NEW REQUIREMENTS: Final guidance provided by the Office of Management and Budget (OMB) in a Federal Register notice on September 14, 2010 established requirements for all financial assistance applicants, recipients and sub-recipients to maintain and use a DUNS number, and to require that applicants maintain a registration in the CCR.

1. Pursuant to 2 CFR Part 25, any entity applying through this Funding Opportunity Announcement (FOA) that is not exempt under 2 CFR 25.110 is required to:
 - a. Be registered in the CCR prior to submitting an application or plan;
 - b. Provide its DUNS number in each application or plan it submits to DHS. A DUNS number is the nine-digit number established and assigned by Dun & Bradstreet, Inc. (D&B) to uniquely identify business entities. You may obtain a DUNS number from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>); and
 - c. Maintain an active CCR registration with current information at all times during which it has an active award or an application or plan under consideration by DHS. To remain registered in the CCR database after the initial registration, you must review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate, and complete.
2. Effect of non-compliance.
 - a. Applicant: If, at time of award, the intended recipient has not complied with the requirements to provide a DUNS number and maintain an active CCR registration with current information, DHS will determine that the applicant is not qualified to receive an award; and will use that determination as a basis for making an award to another applicant.
 - b. Sub-recipients: A sub-recipient is any entity that receives sub-awards directly from a recipient of DHS awards; and is accountable to the award recipient for the use of the federal funds provided by the sub-award.
 - i. Applicants that receive awards must notify potential sub-recipients that no entity may receive a sub-award from the applicant unless the proposed sub-recipient has provided its DUNS number to the applicant.

- ii. Applicants that receive awards may not make a sub-award to an entity unless the proposed sub-recipient has provided its DUNS number to the applicant.
 - iii. DHS will request the DUNS number(s) of proposed sub-recipients when an applicant has been selected for funding. DHS reserves the right to limit, restrict or otherwise place special conditions on an award under this Funding Opportunity Announcement to ensure that sub-recipients have DUNS numbers.
3. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.

G. Federal Financial Accountability and Transparency Act (FFATA) Sub-award and Executive Compensation Reporting Requirement

NEW REQUIREMENTS: Interim final guidance provided by OMB in a Federal Register notice on September 14, 2010 established requirements for recipients' reporting of information on sub-awards and executives' total compensation, as required by the Federal Funding Accountability and Transparency Act of 2006. This guidance applies to all entities that apply for or receive DHS awards, or receive sub-awards under those awards, with certain exemptions, and exceptions.

1. Exemption: If, in the previous tax year, your organization had gross income, from all sources, under \$300,000, you are exempt from the requirements to report sub-awards, and the total compensation of the five most highly compensated executives of any sub-recipient. DHS reserves the right to request authoritative documentation that would support a request to exercise this exemption.
2. Exception: 2 CFR 170.110 provides an exception from the executive compensation reporting requirements by a primary award recipient, or a sub-recipient's organization (in the case of reporting executive compensation for sub-recipient executives).

None of the requirements regarding reporting names and total compensation of an entity's five most highly compensated executives apply unless in the entity's preceding fiscal year, it received:

- a. 80 percent or more of its annual gross revenue in federal procurement contracts (and sub-contracts) and federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); **AND**
- b. \$25,000,000 or more in annual gross revenue from federal procurement contracts (and sub-contracts) and federal financial assistance awards subject to the Transparency Act, as defined at 2 CFR 170.320; **AND**

- c. The public does not have access to information about the compensation of the senior executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986.

DHS reserves the right to request authoritative documentation that would support a request to exercise this exception.

Reporting of sub-awards is still required even if your organization meets these tests:

3. Sub-award reporting: Unless your organization is exempt from reporting (see 1 above), you must report **each** action that obligates \$25,000 or more in federal funds for a sub-award to an entity. The \$25,000 threshold does not include Recovery funds (as defined in the American Recovery and Reinvestment Act of 2009, Pub. L. 111–5). You will report sub-award information at <http://www.fsrs.gov>.
4. Reporting Executive Compensation - Primary award recipient. If your organization does not meet all of the requirements for the exception (see 2 above), you must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year. You will report this information as part of your registration profile at <http://www.ccr.gov>.
5. Reporting Executive Compensation – Sub-award recipients. For each sub-award recipient that does not meet all of the requirements for the exception (see 2 above), you must report the names and total compensation of each of the sub-recipient’s five most highly compensated executives for the sub-recipient’s preceding completed fiscal year. You will report sub-award recipient executive compensation information at <http://www.fsrs.gov>.
6. All prime recipients awarded through this Funding Opportunity Announcement who do not have an exemption under 2 CFR 170.110 are required to have the necessary processes and systems in place to comply with the reporting requirements. DHS encourages you to visit www.fsrs.gov, which is the reporting portal for sub-recipient and executive compensation information. In addition, www.usaspending.gov has many resources available on the sub-recipient and executive compensation reporting requirements.
7. All new grant and cooperative agreement awards issued by DHS will contain an award term that implements the OMB guidance.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants

Eligible principal applicants are national, regional, or statewide organizations with demonstrated recent experience providing capacity building and technical assistance to organizations to develop direct citizenship preparation programs. Eligible principal applicants must have proven subject-matter expertise in citizenship instruction and naturalization application services. Principal applicants must be public or private non-profit organizations with an established multi-site network of affiliates or members to serve as sub-applicants. Sub-applicants included by the principal applicant in this funding announcement are not eligible to apply for either of the Fiscal Year 2011 Citizenship and Integration Direct Services Grant Programs (DHS-11-CIS-010-001 and DHS-11-CIS-010-002).

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

An application will be deemed non-responsive and **not considered for review** if:

1. The total requested funding exceeds the grant award maximum of \$600,000 (including direct and indirect costs);
2. The facility rental costs for the principal applicant exceed 20% of the total funding requested for the principal applicant;
3. The facility rental costs for any sub-applicant exceed 20% of the total funding requested for that sub-applicant;
4. The Project Narrative exceeds 20 double-spaced pages (the page limit does not include any of the “Other Attachments” or forms);
5. The Project Narrative does not include one or more of the specified headings in the specified order identified in Section IV.C.6.;
6. The application does not include one or more of the required forms or documents listed under Section IV.C. The required forms and documents are:
 - a. Form SF-424 – Application for Federal Assistance
 - b. Form SF-424A – Budget
 - c. Form SF-424B – Assurances – Non-Construction Programs
 - d. Certification Regarding Lobbying
 - e. Budget Narrative for the principal applicant and all sub-applicants

- f. Project Abstract
- g. Project Narrative
- h. Project Plan
- i. Documentation of non-profit or public status for the principal applicant

IV. APPLICATION AND SUBMISSION INFORMATION

A. How to Find an 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 funding opportunity number DHS-10-CIS-010-003 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 **principal applicant and all proposed sub-applicants must have a DUNS number** to submit an application through Grants.gov. In addition, the principal applicant must be registered with the Central Contractor Registry (CCR) and must be authorized at Grants.gov in order to submit an application through Grants.gov. See Grants.gov for information on how to obtain a DUNS number, how to register with the CCR, and how to obtain authorization. DHS strongly encourages applicants to obtain or update all registrations related to Grants.gov **well in advance of the April 1, 2011 deadline.**

If the applicant encounters difficulties, contact the Grants.gov Help Desk at 1-800-518-4726 to report the problem and obtain assistance with the system. The Help Desk is available 24 hours a day, seven days a week.

For assistance with using Grants.gov, click here for the Grants.gov Applicant User Guide: <http://grants.gov/assets/ApplicantUserGuide.pdf>. Click here for additional applicant resources: <http://grants.gov/applicants/resources.jsp>.

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

C. **Content and Form of Application**

Principal applicants must submit all required forms and required documents as listed in this section. Applications missing any of the required forms or documents listed in this section will be deemed non-responsive and will not be considered for review.

REQUIRED FORMS:

Complete the required forms listed below and other forms in accordance with the application instructions on Grants.gov. If submitting any information that is deemed proprietary, privileged or confidential commercial or financial, please denote the beginning and ending of such information with asterisks (***)

1. Form SF-424 – Application for Federal Assistance

Complete the SF-424 application form. This form may be completed 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. Form SF-424A – Budget

Applicants must complete the budget in its entirety. 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).**

Additional guidance on how to complete the Form SF-424A can be found at: http://www.grants.gov/assets/DraftInstructionsSF424%20A_DOL.pdf.

3. Certifications/Assurances

Principal applicants must submit:

a. Form SF-424B – Assurances – Non-Construction Programs; and

b. 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.

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.

REQUIRED DOCUMENTS:

4. Budget Narrative (Double-spaced, no page limit)

Provide a budget narrative for the principal applicant and a **separate budget narrative** for each of the four (4) sub-applicants. Attach each budget narrative to the form named “Budget Narrative” in the application package. **The sub-applicant budget narrative should provide the same level of detail as that of the principal applicant.** If you need to add more documents than this form will allow (i.e., sub-applicant budgets), please use the “Attachments” form to attach the additional files.

Show the total of all requested federal grant funds (not to exceed \$600,000). This total should match the total listed in the Project Abstract. This total should **not** include any in-kind costs. The in-kind contribution total should be listed separately. Funds reserved for the principal applicant’s costs should not exceed \$150,000.

Refer to Section IV.F for Eligible and Ineligible Funding Purposes applicable to this program.

Provide budget information in the order listed below. Budget detail is required for:

- a. **In-Kind Costs**: The dollar value assigned to non-cash donations to the project. These donations may be in the form of space, supplies, salaries, etc. The costs should be calculated at the verifiable fair-market value.
- b. **Personnel**: Costs of employee salaries and wages. Identify the project manager, if known. For each staff person, provide the title, time commitment to the project as a percentage of a full-time equivalent (FTE), annual salary, grant funded salary, wage rates, etc. Do not include the costs of consultants. Consultants are to be included under Contractual.
- c. **Fringe Benefits**: Costs of employee fringe benefits unless treated as part of an approved indirect cost rate. 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.

- d. **Travel:** Costs of project-related travel by employees of the principal applicant organization (do not include costs of sub-contractor or consultant travel). 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.

NOTE: The principal applicant must include costs for **one** staff member from the principal applicant and **one** staff member from each sub-applicant to attend a **mandatory** two-day grant recipient orientation training in Washington, D.C. The principal applicant must also include costs for at least one site visit to each sub-applicant organization.

- e. **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. 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

NOTE 1: 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.

NOTE 2: 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 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 sub-award 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.

- f. **Supplies**: Costs of all tangible personal property other than that included under the equipment category. Specify general categories of supplies and their costs. Show computations and provide other information which supports the amount requested.
- g. **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.

Demonstrate that all procurement transactions will be conducted in a manner to provide, to the maximum extent practical, open and free competition. Identify proposed sub-contractor work and the cost of each sub-contractor. Provide a detailed budget for each sub-contractor that is expected to perform work estimated to be \$25,000 or more, or 50% of the total work effort, whichever is less.

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

NOTE: Organizations may propose to sub-contract specific tasks that the organization does not have the expertise to perform. However, the sub-applicants must directly provide the citizenship instruction, and the principal applicant must demonstrate its ability to successfully manage all aspects of the grant-funded project, including financial management.

- h. Other Direct Costs:** Any other items proposed as direct costs. Provide an itemized list with costs, and state the basis for each proposed item.
- i. 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.

NOTE: If no indirect cost rate agreement is included, no indirect costs should be listed in the proposed budget.

5. Project Abstract (three single-spaced page maximum)

Provide the information requested below in a separate document suitable for public dissemination. The abstract must not include any proprietary/confidential information. Attach the Project Abstract to the "Project Abstract" form.

A. Provide the following information for the principal applicant:

- 1. Organization Legal Name**
- 2. Organization Legal Address** (Number and street, city, state, zip code)
- 3. Head of the Organization** (Name, title, address, phone number, email address)
- 4. Authorized Official**, the person at the organization authorized to sign to receive award (Name, title, address, phone number, email address)
- 5. Grant Project Manager**, the person who will manage the operations of the grant project and will serve as USCIS' primary point of contact (Name, title, address, phone number, email address)
- 6. Type of Organization** (e.g., community-based organization, faith-based organization, state government agency, etc.)
- 7. Project Description** (250 words or less) Provide a short summary of the following:
 - The principal applicant's qualifications and experience to implement this program;
 - The proposed four (4) sub-applicants and locations (city and state);
 - Proposed grant project activities and desired outcomes.

8. **Total Federal Funding Requested** (Not to exceed \$600,000)
9. **Total Federal Funding Requested for Principal Applicant** (Not to exceed \$150,000)
10. **Congressional District of Principal Applicant** (based on the legal address of the organization)
11. **Estimated Total Number of LPR Students to be Enrolled in Citizenship Classes** Provide a total for all sub-applicants.
12. **Estimated Total Number of LPR Clients to be Served with Naturalization Legal Services** Provide a total for all sub-applicants.
13. **Number of Full-Time Equivalent (FTEs) for Principal Applicant** Provide the number of intended grant-funded FTEs for the principal applicant. Include part-time work paid for with grant funds as percentages of FTEs.

B. Provide the following for each of the four (4) sub-applicants:

1. **Organization Legal Name**
2. **Organization Legal Address** (number and street, city, state, zip)
3. **Sub-Applicant Project Manager**, the person who will manage the operations of the grant project and will serve as USCIS' primary point of contact (Name, title, address, phone number, email address)
4. **Total Federal Funding Requested** (Not to exceed \$150,000)
5. **Geographic Areas/Communities** where services will be provided
6. **Congressional District of Sub-Applicant** (based on the legal address of each organization)
7. **Countries of Origin** of most LPRs to be served
8. **Number of Full-Time Equivalent (FTEs) for Sub-Applicants** Provide the number of intended grant-funded FTEs. Include part-time work as percentages of FTEs.

6. Project Narrative (20 double-spaced page maximum)

Use this section to provide a comprehensive description of all aspects of the proposed program, addressing all required elements in response to the evaluation criteria. Items 6.a. – 6.c. below are the **mandatory elements** that must be included in the Project Narrative. **You must follow the order specified below, using the title headings provided below to identify each element.**

Required Headings:

- a. Sub-Applicant and Community Need
- b. National Capacity Building Program Design
- c. Principal Applicant's Organizational Qualifications and Experience

An application that does not include each required element listed in the order provided in this section and/or is in excess of 20 double-spaced pages will be deemed non-responsive and will not be considered.

Format Requirements

- Include the title “Project Narrative” at the top of the first page.
- Ensure that the application can be printed on 8 ½” x 11” single-sided paper.
- Use double-spacing.
- Do not include any marks from the “Track Changes” tool in Microsoft Word.
- 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.
- Project narrative pages must be numbered “1” of “XX.”
- Pages should be numbered consecutively and are limited to a total of 20 pages.
- Attach the completed Project Narrative to the “Project Narrative Attachment” form.

Required Project Narrative Sections

a. Sub-Applicant and Community Need

Use this section to provide a justification for the selection of each of the four (4) sub-applicants. The justification should be based on the need in each sub-applicant’s community for citizenship preparation services and the sub-applicant’s organizational and program development needs.

Provide sound data to support your claims. Describe:

- The need for citizenship instruction and naturalization application services in the sub-applicants’ geographic locations, including the types of citizenship preparation services otherwise available in the community. Provide details on any targeted underserved populations (i.e., low income, low education level, age, etc.)
- The sub-applicant organizations, including size, management structure, and services currently provided. Attach a current organizational chart for each sub-applicant to the “Other Attachments” form.
- The organizational and program development needs of the four (4) sub-applicants and their potential to expand and manage a citizenship preparation program in the long-term.

b. National Capacity Building Program Design

Describe the proposed national capacity building program design. Explain how the program design meets the identified sub-applicant and community needs. **NOTE:** Once implemented, the sub-applicants' citizenship preparation program must include both citizenship instruction and naturalization application services. Describe:

- The organizational and oversight relationship between the principal applicant and the sub-applicants. Specify the reporting and accountability structure, demonstrating what mechanisms are in place to ensure the sub-applicants will fulfill the performance terms defined by the principal applicant. Include information on policies related to responsibility for staffing and program decisions, along with financial accountability.
- The principal applicant's plan, intended methodology, and approximate timeline to (1) develop a needs assessment tool (e.g., questionnaire or survey); (2) conduct a formal needs assessment of each sub-applicant and submit a needs assessment report to OoC; and (3) create specific Program Development Plans to meet each sub-applicant's identified needs.
- The principal applicant's plan to develop sub-applicants' intake procedures to ensure that **sub-applicants will verify and document that only LPRs receive services funded through this grant opportunity.**
- The principal applicant's plan to review sub-applicants' progress throughout the period of performance and take necessary action to ensure successful development and implementation of sub-applicant direct citizenship preparation programs.
- Planned staffing structure for the principal applicant and sub-applicants. Provide position descriptions, including required qualifications, and/or résumés for the key personnel who will manage the grant project. Key personnel includes the principal applicant's project manager and each sub-applicant's project manager. For key positions that are vacant, provide a target start date. For key personnel currently on staff, describe that individual's current role within the organization. **Note:** Résumés for key personnel and position descriptions for vacant positions are limited to one page each and should be attached to the "Other Attachments" form of the application package.
- The principal applicant's plan to conduct a formal final program evaluation to analyze the effectiveness of capacity building and technical assistance activities and the gains achieved by the sub-

applicants, based on a comparison of the identified needs and the capacity and expertise demonstrated at the conclusion of the performance period. Include the methodology that will be used to determine if the sub-applicants' identified needs were met through grant-funded activities at the end of the performance period.

- Planned location of sub-applicants' classes and the program environment, including ADA compliance. If the sub-applicant site is not ADA compliant, explain what steps the sub-applicant will take to comply.
- Anticipated outcomes of the program.

c. **Principal Applicant's Organizational Qualifications and Experience**

Demonstrate the principal applicant's qualifications and experience to implement and manage all aspects of the grant-funded project. Provide the information below for the principal applicant only. Describe:

- The principal applicant's recent experience providing organizational capacity building and technical assistance in the areas of citizenship instruction and naturalization application services program development. Include recent experience conducting organizational needs assessments. Describe recent program achievements. Indicate dates.
- The principal applicant's recent experience and expertise in citizenship instruction and naturalization application services.
- The principal applicant's qualifications to provide technical assistance in the area of naturalization application services and to implement the authorized practice of immigration law for all sub-applicants. Include any recent experience assisting affiliates/members, or other organizations with BIA recognition.
- The principal applicant's recent experience measuring, tracking, evaluating, and reporting outcomes related to capacity building and technical assistance activities.
- The principal applicant's recent experience recruiting, training, and utilizing volunteers to provide or support citizenship instruction and naturalization application services.
- The principal applicant's recent experience managing grant-funded projects.

- The principal applicant’s leadership and management structure. Attach a current organizational chart in “Other Attachments.”
- The principal applicant’s ability to provide fiscal management of the grant project. Include any financial management/reporting systems.

7. Project Plan

Provide a project plan that outlines the principal applicant’s planned activities and anticipated outcomes by quarter. Use a spreadsheet or a table format that has rows and columns. The project plan should be attached to the “Attachments” form.

Include planned activities for the two-year performance period. The performance period starts October 1, 2011 and ends September 30, 2013. The quarterly dates for FY 2011 are as follows:

Year 1

- Quarter 1: October 1, 2011 to December 31, 2011
- Quarter 2: January 1, 2012 to March 31, 2012
- Quarter 3: April 1, 2012 to June 30, 2012
- Quarter 4: July 1, 2012 to September 30, 2012

Year 2

- Quarter 1: October 1, 2012 to December 31, 2012
- Quarter 2: January 1, 2013 to March 31, 2013
- Quarter 3: April 1, 2013 to June 30, 2013
- Quarter 4: July 1, 2013 to September 30, 2013

Divide the project plan into the three main phases:

Phase 1: Needs Assessment and Program Development Plan

**Phase 2: Capacity Building, Technical Assistance, and Direct Services
Program Implementation**

Phase 3: Formal Program Evaluation

Provide **Planned Activities** for each phase as described below:

- **Phase 1:** Activities related to the formal sub-applicant needs assessment and Program Development Plan.
- **Phase 2:** Capacity building and technical assistance activities related to organizational development, citizenship instruction program development, naturalization application services program development, and program evaluation development. Because the formal needs assessment has not yet been conducted, list activities in Phase 2 that focus on ongoing monitoring and evaluation of the sub-applicants.

- **Phase 3:** Activities related to the formal program evaluation.

For each planned activity, provide the **quarter (and month, if appropriate)** when the activity will take place and the **staff responsible** for each activity

Under planned activities, include the following **major milestones**: develop needs assessment tool, conduct formal needs assessment of each sub-applicant, complete needs assessment report, complete and submit the Program Development Plan, sub-applicants begin citizenship instruction classes and begin offering naturalization application services, and conduct final program evaluations.

See below for a sample project plan for Phase 1:

| <i>SAMPLE PROJECT PLAN</i> | | | | |
|----------------------------|--|---------|----------|--------------------|
| Phase 1 | Planned Activities | | | |
| | Activity | Quarter | Month | Staff Responsible |
| | Hire Program Manager | 1 | October | Executive Director |
| | Develop needs assessment tool | 1 | October | Program Manager |
| | Solicit feedback from OoC on tool | 1 | October | Program Manager |
| | Conduct needs assessment of all sub-awardees | 1 | November | Program Manager |
| | Complete needs assessment report and submit to OoC | 1 | November | Program Manager |
| | Complete program development plans | 1 | December | Program Manager |
| | Submit final program development plans to OoC for approval | 1 | December | Program Manager |

8. Documentation of Non-profit and/or Public Status

The principal applicant must provide documentation of non-profit and/or public status. (NOTE: The sub-applicants do **not** need to provide documentation of non-profit and/or public status for an award to be made. The acquisition of non-profit or public status for sub-applicants is an acceptable and encouraged outcome of the grant program.) Any of the following constitutes acceptable proof of non-profit status:

- A reference to the principal 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 principal 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 principal applicant organization is a local non-profit affiliate.
- A signed statement on official letterhead by an official authorized to apply for grant funds on behalf of the public entity shall suffice.

9. Other Attachments

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

- a. Résumés of key personnel or job description for key positions if vacant (one page each).
- b. Memorandum of Understanding (MOU) between the principal applicant and sub-applicants outlining the relationship between the organizations for the purpose of the grant project. The MOU must be signed by all parties. The MOU should be attached to the “Other Attachments” form of the application package. The letter of agreement or MOU should clearly describe the scope of work to be performed, roles, responsibilities, and agreed upon activities, including remuneration, and other terms and conditions that structure or define the relationship (e.g., in-kind services, dollars, staff, space, equipment, etc.). DHS reserves the right to contact all organizations listed in the application prior to making an award.
- c. Current organizational chart for the principal applicant and all sub-applicants that shows the leadership and staff structures.
- d. 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.
- e. Indirect Cost Rate Agreements.

- f. A list of other federal grant programs from which the principal applicant currently receives funding or for which it has applied in federal Fiscal Year 2011.

D. Submission Dates and Times

Application Closing Date: **April 1, 2011 at 11:59 pm EDT** (Eastern Daylight Time)

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 citizenshipgrantprogram@dhs.gov. If unable to transmit electronically, please contact the DHS Grants Office at (202) 447-0495.

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

DHS grant funds may only be used for the purpose set forth in the agreement, and must be consistent with the statutory authority for the award. Grant funds may be used for the following purposes:

- a. To provide services to **LPRs only**, regardless of race, color, national origin, or religion.
- b. Resources to support citizenship instruction, including purchase of curriculum, textbooks/materials, student assessments, software, computers, etc.
- c. Professional development and training for staff and/or volunteers related to the provision of citizenship instruction and/or naturalization application services.
- d. The facility rental costs for the principal applicant exceed 20% of the total funding requested for the principal applicant;
- e. The facility rental costs for any sub-applicant exceed 20% of the total funding requested for that sub-applicant;
- f. Costs associated with BIA recognition of organizations and accreditation (or renewal) of staff. This includes training costs related to BIA recognition and accreditation.
- g. Transportation costs for students attending grant-funded citizenship classes. Transportation funds provided to students must match the students’ individual transportation costs. Sub-applicants must have a system to track how transportation funds are used.

- h. Reimbursement of transportation costs for volunteers participating in grant-funded activities. Volunteers may **not** receive a general transportation stipend. Transportation funds provided to volunteers must match the volunteers' individual transportation costs.
- i. Child care costs to assist eligible participants attend grant-funded classes.
- j. Travel costs for **one** staff member from the principal applicant and **one** staff member from each sub-applicant to attend a **mandatory** two-day grant recipient training orientation in the Washington, D.C. area.
- k. Equipment purchases directly related to the provision of services (e.g., computers for classroom instruction or for a language lab).
- l. Costs associated with the acquisition of public and/or non-profit status for sub-applicants.

2. Ineligible Funding Purposes

Grant funds may **not** be used for the following 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. USCIS 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.
- f. Construction costs and purchase of real property under this funding opportunity.
- g. Pre-award costs.
- h. Funding for direct reimbursement of proposal development.
- i. Costs for food or refreshments.
- j. Incentive items or gift cards.
- k. General volunteer stipends.
- l. Living allowances for any national volunteer service program participants.

V. REVIEW PROCESS AND SELECTION CRITERIA

A. Review Process

DHS will conduct an initial review of applications to determine the eligibility and responsiveness of the application. If an applicant is determined to be ineligible or an application is determined to be non-responsive, DHS will notify the applicant. All 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 applications. Reviews of applications will be conducted either on site or by remote review.
2. Teams of technical reviewers will review each eligible application against the published evaluation criteria. The reviewers will assign points and provide summary comments and overall ratings based on the published evaluation criteria. USCIS staff will conduct a post review quality control of the scores and comments to ensure that every eligible application receives full and fair consideration.
3. An internal review panel consisting of USCIS staff will review the highest ranked applications and make final funding recommendations. The internal review panel may take applications out of rank order in consideration of program balance factors, policy priorities, and Citizenship and Integration Grant Program past performance (if applicable). (See Section V.C.)
4. USCIS may perform additional review of the principal applicant and the sub-applicants and/or their key personnel. This may include publicly available materials and/or government databases and may have a bearing on award outcome.
5. 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 application prior to making an award.
6. **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 applications. However, funding recommendations and final award decisions are solely the responsibility of DHS personnel.

DHS screens all technical reviewers 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 destroy any unsuccessful applications after one year following the funding decision.

7. 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.
8. DHS will notify all applicants electronically of funding decisions. Unfunded applicants may send a written request to 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 applications deemed eligible and responsive. Applicants can receive up to 100 points.

- 1. Sub-Applicant and Community Need for Services (20 Points)**
The extent to which the principal applicant demonstrates, and provides evidence for, the sub-applicants' need for capacity building and technical assistance and the community's need for citizenship instruction and naturalization application services.
- 2. National Capacity Building Program Design (25 Points)**
The extent to which the principal applicant proposes a sound and comprehensive program design, inclusive of all three program phases, to meet the capacity building and technical assistance needs of the sub-applicants to provide direct citizenship preparation services.
- 3. Principal Applicant's Organizational Qualifications and Experience (30 Points)**
The extent to which the principal applicant demonstrates the organization's capability to carry out all aspects of the grant-funded project, based on (a) sufficient recent experience and success providing capacity building and technical assistance services in the areas of citizenship instruction and naturalization application services program development; (b) subject matter expertise in citizenship instruction and naturalization application services; and (c) a sound management and fiscal structure.
- 4. Project Plan (10 Points)**
The extent to which the project plan is clearly presented and demonstrates an appropriate and feasible strategy to implement the grant project and achieve stated outcomes.
- 5. Budget Narrative (10 Points)**
The extent to which the proposed budget is clearly presented, well-balanced, and reflects all proposed activities stated in the project narrative.
- 6. Overall Quality (5 Points)**
The extent to which the overall application is organized, clearly presented, and well-written.

C. Strategic Program Priorities

Based on the recommendations of the internal review panel, the DHS Source Selection Official may consider the following factors when making an award:

- 1. Program Balance Factors**, including:
 - a. Whether an application, when balanced with other potential awards, represents a diverse population;
 - b. Whether an application, when balanced with other potential awards, represents a diverse geographic area;
 - c. Whether an application, when balanced with other potential awards, does not substantially duplicate other applications; and
 - d. Whether an application, when balanced with other potential awards, represents diverse community sizes (i.e., city, locality, or service area).

“Other potential awards” may include those under all three of the Citizenship and Integration Grant Program funding opportunity announcements (DHS-11-CIS-010-001, DHS-11-CIS-010-002, and DHS-11-CIS-010-003).

- 2. Policy Priorities**, including:
 - a. Whether an application includes plans to provide services to high-need or underserved populations;
 - b. Whether an application includes cost-sharing to maximize the impact of federal grant funds; and
 - c. Whether an application includes plans for program sustainability.
- 3. The past performance of a previous Citizenship and Integration Grant Program recipient (if applicable).**

VI. AWARD ADMINISTRATION INFORMATION

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

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.) For further guidance see [75 FR 34465](#).
- 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, sub-recipients under the Award, and sub-recipients' 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 sub-awards under the Award.
- ii. DHS may unilaterally terminate the Award, without penalty, if the Recipient or a sub-recipient 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 sub-recipient 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 (Non-procurement).”
- b. Provision applicable to a Recipient other than a private entity. DHS may unilaterally terminate the Award, without penalty, if a sub-recipient 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 sub-recipient 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 (Non-procurement).”
- c. Provisions applicable to any Recipient.
 - i. The Recipient and sub-recipient must inform DHS immediately of any information the Recipient or sub-recipient receives from any source alleging a violation of a prohibition in paragraph a.i. of this section.

- ii. DHS's 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 sub-award 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 sub-recipient 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 principal applicant is required to submit quarterly financial reports (SF 425, Federal Financial Report) to the DHS Grants Officer within 30 days after the end of each quarter. Reports are due January 30, April 30, July 30, and October 30. Reports shall be submitted via email to DHS-GrantReports@dhs.gov (include the DHS grant number in the subject line of the email).

- b. The principal applicant 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 principal applicant 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 principal applicant is required to submit quarterly performance reports to the DHS Contacts listed in section VII of this announcement within 30 days after the end of each quarter. Reports are due January 30, April 30, July 30, and October 30. Reports shall be submitted via email to DHS-GrantReports@dhs.gov (include the DHS grant number in the subject line of the email).

The Office of Citizenship will provide grant recipients with a Quarterly Performance Report template. The principal applicant should be prepared to collect and report the following data for each quarter:

- The number of LPRs enrolled in citizenship classes;
- The number of LPRs provided naturalization eligibility screening;
- The number of naturalization applications submitted;
- The number of students who pass the naturalization test;
- The number of naturalized students/clients;
- Countries of origin of LPRs served.

The principal applicant should also be prepared to provide narrative reports on program accomplishments, progress meeting goals, challenges in meeting goals, staff and/or organizational development activities, student assessment and progress, outreach activities, and volunteer recruitment and training.

- b. Final Performance Report. The Final Performance Report shall be submitted to the DHS Contacts listed in section VII of this announcement no later than 90 days after the expiration date of the Performance Period. The Final Performance Report shall include total data for the year (as specified above), program accomplishments and challenges, and any promising practices related to direct citizenship preparation service provision to LPRs, with emphasis on underperforming and underserved immigrant populations identified during the performance period.

3. External Evaluation

DHS plans to conduct a formal evaluation of the Citizenship and Integration Grant Program. As part of this formal program evaluation, grant recipients may be required

to permit DHS, upon reasonable notice, to review grant-related records and to interview the organization and its clients regarding the program, and to respond in a timely and accurate manner to DHS requests for information relating to their grant program.

D. Monitoring

DHS will conduct monitoring of grant recipients during the grant performance period. Monitoring may include site visits and/or desk monitoring. If selected for a site visit, grant recipients will be required to provide unrestricted, timely access to any books, files, or other records that are pertinent to the grant. In addition, grant recipients must provide DHS monitors timely and reasonable access to grant recipients' personnel for interviews and must facilitate arrangements for interviews with LPRs who received services funded by this grant program.

VII. DEPARTMENT OF HOMELAND SECURITY CONTACTS

USCIS Program Office (Office of Citizenship): Send all questions to citizenshipgrantprogram@dhs.gov. The Office of Citizenship staff will respond within five (5) business days. You may also refer to the Citizenship and Integration Grant Program Questions and Answers by going to www.uscis.gov/grants, and clicking on "Questions and Answers."

DHS Grants Office: Stephanie Dawkins
Email: CisGrants@dhs.gov

VIII. OTHER INFORMATION

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 sub-awards. The Recipient agrees to include in any sub-award 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 2011 Citizenship and Integration National Capacity Building Grant Program
Application Submission Checklist**

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

|  | Section | Page # | Non-Responsive if Missing? | Required Attachment |
|---|-----------|--------|----------------------------|--|
| | | | | <u>Forms:</u> |
| | IV.C.1. | 15 | YES | Form SF-424-Application for Federal Assistance |
| | IV.C.2. | 15 | YES | Form SF 424A-Budget |
| | IV.C.3. | | | <u>Certifications/Assurances:</u> |
| | IV.C.3.a. | 15 | YES | Form SF-424B-Assurances-Non-Construction Programs |
| | IV.C.3.b. | 15 | YES | Certification Regarding Lobbying |
| | | | | <u>Required Documents:</u> |
| | IV.C.4. | 16 | YES | Budget Narrative (double-spaced, no page limit) |
| | IV.C.5. | 19 | YES | Project Abstract (3 single-spaced page maximum) |
| | IV.C.6. | 20 | YES | Project Narrative (20 double-spaced page maximum) |
| | | 21 | YES | <i>Heading a: Sub-Applicant and Community Need for Services</i> |
| | | 21 | YES | <i>Heading b: Capacity Building Program Design</i> |
| | | 23 | YES | <i>Heading c: Principal Applicant's Organizational Qualifications and Experience</i> |
| | | 24 | YES | Project Plan |
| | IV.C.7. | 25 | YES | Documentation of Non-profit and/or Public Status |
| | IV.C.8. | | | <u>Other Attachments:</u> |
| | IV.C.8.a. | 26 | NO | Résumés of key personnel (one page each) or position descriptions for vacant key positions (one page each) |
| | IV.C.8.b. | 26 | NO | Memorandum of Understanding (MOU) between principal applicant and selected sub-applicants |
| | IV.C.8.c. | 26 | NO | Current organization chart for the principal applicant and all sub-applicants |
| | IV.C.8.d. | 26 | NO | Negotiated Fringe Benefit Agreement (if applicable) |
| | IV.C.8.e. | 26 | NO | Indirect Cost Agreement (if applicable) |
| | IV.C.8.f. | 27 | NO | A list of other federal grant programs from which the principal applicant currently receives funding or for which it has applied in federal Fiscal Year 2011 |

Attachment B

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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.).

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.

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.

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.

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.

FY 2011 Citizenship and Integration Grant Program Glossary

| TERM | DEFINITION |
|-----------------------------------|--|
| ADA Compliance | Compliant with the American Disabilities Act. For additional information, please see: 41 USC §12101, et seq. |
| Affiliate/Member | Under the National Capacity Building Grant, the primary applicant proposes to build the capacity of its affiliates or members (referred to as sub-applicants). The affiliate or members are defined by a pre-existing, established and ongoing relationship with the applicant. The relationship between the sub-applicants and the principal applicant must extend beyond the grant performance period. |
| Authorized Practice of Law | The term <i>authorized practice of immigration law</i> refers to an individual or organization that has the training or education necessary to provide accurate and current legal advice on immigration-related matters. Typically, this is limited to BIA Accredited Representatives who work for BIA Recognized Organizations, or an attorney who is a member in good standing of the “bar” of a U.S. state. According to the U.S. Department of Justice, “other qualified representatives” may represent immigrants in immigration court. For further details on the definition of “other qualified representatives”, refer to the Department of Justice’s Fact Sheet titled Who Can Represent Aliens in Immigration Proceedings , available on the Department of Justice’s webpage. See also <i>Unauthorized Practice of Immigration Law</i> . |
| BIA | The Board of Immigration Appeals. The BIA is a division of the Department of Justice’s Executive Office of Immigration Review. The BIA is the highest administrative body for interpreting and applying immigration laws. The Board has been given nationwide jurisdiction to hear appeals from certain decisions rendered by Immigration Judges and by District Directors of the Department of Homeland Security (DHS) in a wide variety of proceedings in which the government of the United States is one party and the other party is either an alien, a citizen, or a business firm. In addition, the Board is responsible for the recognition of organizations and accreditation of representatives requesting permission to practice before DHS, the Immigration Courts, and the Board. ¹ |
| BIA Accreditation | An employee of a BIA Recognized organization may apply for BIA Accreditation. This status is conferred upon qualified individuals who are able to demonstrate through the application process that they possess the necessary qualifications to represent an immigrant in immigration matters. Individuals may receive full or partial accreditation. Full Accreditation allows the representative to represent the immigrant before DHS, Immigration Courts, and the Board. Partial Accreditation allows the representative to represent aliens before DHS only. ² |

¹ *Board of Immigration Appeals*, Executive Office of Immigration Review, Department of Justice, <http://www.justice.gov/eoir/biainfo.htm>.

² *Recognition and Accreditation Program Overview*. Executive Office of Immigration Review, Department of Justice. http://www.justice.gov/eoir/statpub/raroster_files/RA_Overview_%202010-10-07.pdf

| TERM | DEFINITION |
|---|--|
| BIA Recognition | A non-profit religious, charitable, social service, or similar organization established in the United States and recognized as such by the Board of Immigration Appeals may designate a representative or representatives to practice before the Department of Homeland Security, the Board of Immigration Appeals, and the Immigration Courts, or before the DHS alone ² (See 8 C.F.R. §§ 292.2, 1292.2.) To obtain BIA Recognition, an organization must only charge nominal fees and must demonstrate adequate knowledge, information and experience. See also: <i>BIA Accreditation</i> , <i>Authorized Practice of Immigration Law</i> , and <i>Unauthorized Practice of Immigration Law</i> . |
| CBO | Community-based organization; usually a non-profit organization |
| Central Contractor Registration (CCR) | The Central Contract Registration (CCR) is a Web-enabled government wide application that collects, validates, stores, and disseminates business information about the federal government's trading partners in support of the contract award, grants and the electronic payment processes. |
| Citizenship Instruction | Instruction to help LPRs prepare for the civics and English (reading, writing and speaking components) components of the naturalization test. This includes U.S. history and government (i.e., civics) and civics-focused ESL. |
| Civics-focused ESL | English as a Second Language (ESL) instruction that incorporate civics and citizenship concepts and vocabulary into all lessons, and generally equip students with an improved understanding of civics and citizenship in addition to building upon English language skills. |
| Cost Sharing | Cost sharing occurs when a grant recipient contributes its own financial, human or material resources towards achieving grant program objectives. Under the FY 2011 USCIS Citizenship and Integration Grant Program, cost sharing is encouraged but not required. Any organization plans to offer cost sharing should include the proposed contribution in its proposed budget and clearly label the resource as a cost sharing contribution. |
| Data Universal Numbering System (DUNS) | The Data Universal Number System (DUNS) number is a unique nine-character number that identifies community based organizations. It is a tool of the federal government to track how federal money is distributed. |
| Direct Costs | Per OMB Circular A-21, Section D.1., direct costs are costs that can be identified specifically with a particular sponsored project, and institutional activity, or that can be directly assigned to activities relatively easy with a high degree of accuracy. Examples include salaries of staff assigned to a specific project, materials and supplies, and travel. |
| ESL | English as a Second Language. Also referred to as ELL (English Language Learners) and ELT (English Language Training). |
| FOA | Funding Opportunity Announcement. The FOA is a document stating the terms of the grant award. Information contained in an FOA includes: the kinds of projects the awards will fund, the required information to include in the proposal, guidelines for writing the proposal, evaluation criteria, the deadline for proposal submissions, and other relevant information. |

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| Fringe Benefit Rate Agreement | The fringe benefit rate is expressed as a percentage of salary and the dollar amount is calculated by applying the appropriate fringe benefit percentage rate to each employee’s salary to be charged to the project. |
| FY | Fiscal Year. The federal government’s fiscal year runs from October 1 to September 30. |
| Indirect Costs | Per OMB Circular A-21, Section E.1., indirect costs are costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with one particular project, and institutional activity, or any other institutional activity. Examples include utilities, general office supplies, and salaries of staff who support multiple programs and initiatives. |
| Indirect Cost Rate Agreement | An agreement that evidences the rate at which an organization will request reimbursement for indirect costs incurred during the day to day operations of a federal grant program. |
| Low-Income | A household income at or below the Department of Health and Human Services poverty guidelines of \$16, 450 for a family of four. |
| LPRs | Lawful Permanent Residents, also known as “green card holders.” Recipients of the FY 2011 grant can use grant funds to serve only LPRs. |
| Memorandum of Understanding (MOU) | A memorandum of understanding (MOU) is a formal agreement between two parties that defines each party's rights and responsibilities. |
| Naturalization Application Services | Legal services, within the scope of authorized practice of immigration law, provided to LPRs to support the naturalization application and interview process. Services may include: naturalization eligibility screening and advice, N-400 preparation and submission, and interview preparation. |
| Non-Responsive Application | An application that does not meet one or more of the requirements listed in Section III.C. Applications that are determined to be non-responsive will not be reviewed. |
| Partner Organization | Applicants may include a partner organization in their proposal. The partner may provide a portion of the direct services or some other contribution to the applicant’s proposed grant project. A partner organization is considered a “sub-applicant” if the organization will receive a portion of the grant funding to provide additional or complementary direct services. The primary applicant must provide the citizenship instruction. The partner organization may provide additional citizenship instruction, naturalization legal services, or both. |
| Performance Period | The performance period is a set amount of time, determined by the awarding agency, in which the grant recipient is able to access grant funds and performs all-grant related tasks. The performance period is October 1, 2011 through September 30, 2013. |
| Principal Applicant | Under the National Capacity Building Grant, there are principal applicants and sub-applicants. The principal applicant must be a state, regional or national organization with a pre-determined structure of affiliates or members. The principal applicant is the one submitting the grant proposal. |
| Quarter Dates | The quarterly dates for the first year of the grant program are as follows: |

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| | <p>Quarter 1: October 1, 2011 to December 31, 2011 Quarter 2: January 1, 2012 to March 31, 2012 Quarter 3: April 1, 2012 to June 30, 2012 Quarter 4: July 1, 2012 to September 30, 2012</p> <p>The quarterly dates for the second year of the grant program are as follows:</p> <p>Quarter 1: October 1, 2012 to December 31, 2012 Quarter 2: January 1, 2013 to March 31, 2013 Quarter 3: April 1, 2013 to June 30, 2013 Quarter 4: July 1, 2013 to September 30, 2013</p> |
| Recent Experience | Experience within the past five (5) years. |
| Sub-applicant | For the National Capacity Building Grant Program only: The principal applicant's four (4) selected affiliate/member organizations are sub-applicants. There must be a Memorandum of Understanding (MOU) signed by the principal applicant and all sub-applicants. See also: <i>Memorandum of Understanding</i> . |
| Sub-awardee | For the Direct Services Grant Programs only: A sub-awardee is a partner organization that receives a portion of grant funds from the grant recipient in order to provide direct citizenship preparation services. There must be a Memorandum of Understanding (MOU) signed by the applicant and sub-awardee. The sub-awardee must have a DUNS number. See also: <i>Memorandum of Understanding and Partner Organization</i> . |
| Targeted Underserved Immigrant Communities | Immigrant populations that the applicant has identified as having a particularly high need for services in the community. Some examples include low income populations, populations with a low education level, and immigrants of certain ages and groups. |
| Unauthorized Practice of Immigration Law (UPIL) | <p>The term unauthorized practice of immigration law generally refers to the provision of legal advice and/or representation regarding immigration matters by an individual who is not an attorney or an accredited representative. This term can apply to overtly fraudulent practices, such as individuals who intentionally misrepresent themselves to be attorneys and collect fees. The term can equally apply to well-intentioned individuals who wish to help immigrants obtain benefits by providing legal advice regarding the requirements to naturalize and/or the naturalization process, but who are not authorized to give such advice under DHS regulations.</p> <p>The best way to avoid working with an individual or organization that is engaged in the unauthorized practice of immigration law is to ensure that only the following types of individuals provide or supervise naturalization legal services under the DHS Citizenship and Integration Grant Programs:</p> <p>(1) An attorney who is eligible to practice in and a member in good standing of the bar of the highest court of any State, possession, territory, or Commonwealth of the United States, or of the District of Columbia, and is not under any order suspending, enjoining, restraining, disbaring, or</p> |

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| | <p>otherwise restricting him or her in the practice of law, or (2) A Board of Immigration Appeals (BIA)-Accredited Representative who is affiliated with a BIA Recognized Organization NOTE: The person providing or supervising the naturalization legal services may be either on or offsite.</p> <p>The term “practice” as used in discussions regarding “unauthorized practice of immigration law” means “the act or acts of any person appearing in any case, either in person or through the preparation or filing of any brief or other document, paper, application, or petition on behalf of another person or client before or with DHS.” See 8 CFR 1.1(i). DHS regulations further define the term “preparation, constituting practice” to mean “the study of the facts of a case and the applicable laws, coupled with the giving of advice and auxiliary activities, including the incidental preparation of papers, but does not include the lawful functions of a notary public or service consisting solely of assistance in the completion of blank spaces on printed DHS forms, by one whose remuneration, if any, is nominal and who does not hold himself or herself out as qualified in legal matters or in immigration and naturalization procedure.” See 8 CFR § 1.1(k).</p> |