

**DEPARTMENT OF LABOR****Employment and Training  
Administration****DEPARTMENT OF EDUCATION****Office of Vocational and Adult  
Education****School-to-Work Opportunities Act;  
Indian Program Development and  
Implementation Grants; Application  
Procedures**

**AGENCIES:** Employment and Training Administration, Labor. Office of Vocational and Adult Education, Education.

**ACTION:** Notice of availability of funds and solicitation for Indian Program Grant Applications (SGA).

**SUMMARY:** THIS NOTICE CONTAINS ALL OF THE NECESSARY INFORMATION AND FORMS NEEDED TO APPLY FOR GRANT FUNDING. This notice announces competitions for Indian Program Development and Implementation Grants to enable local partnerships to begin development or implementation of School-to-Work Opportunities initiatives that serve Indian youth and involve schools funded by the Bureau of Indian Affairs (BIA). The School-to-Work Opportunities initiatives funded under this competition will offer Indian youth access to School-to-Work Opportunities programs that will prepare them for first jobs in high-skill, high-wage careers and further postsecondary education and training.

**DATES:** Applications for grant awards will be accepted commencing May 22, 1997. The closing date for receipt of applications is July 21, 1997, at 4 p.m. (Eastern Time) at the address below. Telefacsimile (FAX) applications WILL NOT BE HONORED.

**ADDRESSES:** Applications shall be mailed to: U.S. Department of Labor, Employment and Training Administration, Division of Acquisition and Assistance, Attention: Ms. Laura Cesario, Reference: SGA/DAA 97-016, 200 Constitution Avenue NW, Room S-4203, Washington, D.C. 20210.

**FOR FURTHER INFORMATION CONTACT:** Ms. Laura Cesario, Division of Acquisition and Assistance, telephone: (202) 219-7300, ext. 111 (this is not a toll-free number). This solicitation will also be published on the Internet on the Employment and Training Administration's Home Page at <http://www/doleta.gov>.

**Part I: Supplementary Information***Section A. Purpose*

The Departments of Education and Labor are reserving funds appropriated for FY96 under the School-to-Work Opportunities Act (the Act) (Public Law 103-239) for a competition for Indian Program Grants authorized under Title II, Subtitle C of the Act. Grants under this competition will be awarded to local partnerships that serve Indian youth and involve Bureau of Indian Affairs (BIA) funded schools. Successful partnerships under this competition must demonstrate the capacity to either develop or implement local School-to-Work Opportunities initiatives serving Indian youth. Approximately \$750,000 is available for awards under this notice. The Departments expect to award approximately 4 development grants of about \$30,000 each and up to 7 implementation grants ranging in amounts between \$75,000 and \$100,000 each under this notice. Award decisions will be published on the Internet under the Department's Home Page at <http://www/doleta.gov>.

Local Partnerships may apply for either a development grant, an implementation grant, or both. The competitions have been structured to allow those partnerships that have been engaged in planning and development activities, including those funded under last year's solicitation, to apply for an implementation grant without jeopardizing their opportunities for receiving a development grant. However, local partnerships who intend to be considered for either a development or implementation grant competitions must submit separate applications for each competition. The amount of any award will be based on a number of factors, including the scope, quality, and comprehensiveness of the proposed initiative as well as the size of the population to be served.

The Departments intend to conduct future competitions for Indian Program Grants, on an annual basis, under the School-to-Work Opportunities Act of 1994. A local partnership may receive only one (1) development or implementation grant under this notice, with grant renewals for up to five years (award plus four option years) to be awarded based on availability of funds and the demonstrated progress of the grantee.

*Section B. Application Process***1. Eligible Applicants**

The definitions for "Local Partnership" and "Bureau-funded School" are included in this solicitation

due to their critical nature and their overall application in the eligibility determination. All other terms defined in the Act are hereby incorporated and applied to this solicitation.

**(A) Local Partnership Definition**

An entity that meets the definition of "local partnership," as defined below, proposes to serve Indian youth, and involves Bureau-funded schools, is eligible to apply for an Indian Program Grant for either development or implementation of School-to-Work Opportunities initiatives.

"Local Partnership" is defined in the Act to mean an entity responsible for School-to-Work Opportunities programs funded under this competition and that—

(a) Consists of tribal organizations responsible for economic development, employment, job training, and education (such as tribal business councils, local chapters of tribal business councils, tribal departments of education), employers (including tribal businesses or school-based enterprises where applicable), representatives of Bureau-funded schools and local postsecondary educational institutions (including representatives of area vocational education schools and tribal colleges where applicable), local educators (such as teachers, counselors, or administrators), representatives of labor organizations or nonmanagerial employee representatives, students and parents; and

(b) May include other entities, such as—

- (1) Employer organizations;
- (2) Community-based organizations;
- (3) National trade associations working at the local level;
- (4) Industrial extension centers;
- (5) Rehabilitation agencies and organizations;
- (6) Registered apprenticeship agencies;
- (7) Local vocational education entities;
- (8) Proprietary institutions of higher education (as defined in section 481(b) of the Higher Education Act of 1965 (20 U.S.C. 1088(b)) that meet the eligibility and certification requirements under Title IV of such Act (20 U.S.C. 1070 et seq.);
- (9) Local government agencies;
- (10) Parent organizations;
- (11) Teacher organizations;
- (12) Vocational student organizations;
- (13) Private industry councils established under sections 402 of the Job Training Partnership Act (29 U.S.C. 1512);

**(B) Involvement of Bureau of Indian Affairs' (BIA) Funded Schools**

In addition to meeting the definition of a "local partnership", applicants seeking funding under this notice must demonstrate that any funds awarded under this competition will be used to develop and/or implement initiatives serving Indian youth, and involving schools funded by the Bureau of Indian Affairs.

- Partnerships may demonstrate service to Indian youth and involvement by Bureau-funded schools by demonstrating that their proposed School-to-Work initiatives will provide direct services to students enrolled in Bureau-funded schools.

"Bureau-funded school" as defined in Section 1139 (3) of the "Education Amendments of 1978" means:

(a) A Bureau school—a Bureau of Indian Affairs-operated elementary or secondary day or boarding school or a BIA-operated dormitory for students attending a school other than a Bureau school.

(b) A contract school—an elementary or secondary school or a dormitory that receives financial assistance for its operation under a contract or agreement with the BIA under Section 102, 103(a), or 208 of the Indian Self-Determination and Education Assistance Act.

(c) A school for which assistance is provided under the Tribally Controlled Schools Act of 1988.

- However, the Departments recognize that there are several geographic areas throughout the country which contain high concentrations of Indian youth that are not served by the school systems supported by the Bureau of Indian Affairs. Partnerships that include non-Bureau-funded schools serving Indian youth may be eligible to apply for funding under certain circumstances. For example, involvement by a Bureau-funded school in a partnership may consist of a single Bureau-funded school being included within a partnership while other non-Bureau-funded schools serving Indian youth participate in those partnerships as well. Therefore, a partnership may be eligible to apply for funding even where included in the partnership are one or more non-Bureau-funded schools and the involvement of Bureau-funded schools consists of a collaborative, consultative, or close advisory relationship. In such a case, services are not necessarily provided directly to the Bureau-funded school's students, but there remains a measurable benefit to both the partnership and the Bureau-funded school or schools. Thus, a partnership meeting all other eligibility

requirements, including that of serving Indian youth, but located in a geographical area or State in which there are few, if any, Bureau-funded schools, may nonetheless be eligible for funding under this solicitation.

Applicants must provide convincing evidence that strategies devised and initiatives mounted will, in fact, meet the intent of establishing the collaborative, consultative or close advisory relationship which results in measurable benefits to the Bureau-funded school as stipulated by the Departments. Applicants establishing collaborative, consultative or advisory relationships with Bureau-funded school(s) within their partnerships are advised to develop mutually beneficial initiatives, activities and endeavors which are consistent with the parameters discussed in Title II of the Act and further illustrated in Part II, Section C of this solicitation.

In accordance with section 221 of the Act, only those applicants that provide sufficient information determining their eligibility against the criteria as stated above will be considered for funding under this solicitation. The Departments intend to pre-screen all applications against the aforementioned eligibility criteria prior to the panelists' review and will not consider any applications that do not contain the required assurances and determining information. Applicants will not have the opportunity to submit additional or revised information should a determination be made that the partnership does not meet the eligibility criteria.

Entities described in Section 501(c)(4) of the Internal Revenue Code that engage in lobbying activities are not eligible to receive funds under this SGA. The Lobbying Disclosure Act of 1995, Public Law No. 104-65, 109 stat. 691, that became effective January 1, 1996, prohibits the award of federal funds to these entities if they engage in lobbying activities.

**2. Submission of Application**

Applicants must submit an original and three (3) copies of the application. The application shall consist of five distinct parts: (I) detachable description addressing the eligibility criteria, (II) budget, (III) abstract, (IV) program narrative, and (V) appendices. To ensure a comprehensive and expedient review, applicants must submit an application formatted as seen below:

**Table of Contents****I. Eligibility Requirements**

Part I must contain detailed information as described in Part I, Section B(1) of this notice and, for prescreening purposes, should be separate and easily detachable from the remainder of the application.

**II. Budget**

Part II shall contain the Standard Form (SF) 424, "Application for Federal Assistance," (Appendix A) and SF 424A, "Budget" (Appendix B). All copies of the 424 Form must have original signatures of the designated fiscal agent and must indicate in item 11 whether the application is to be considered for development or implementation funding. Applicants shall indicate on the SF-424 the organization's IRS status, if applicable. The Catalog of Federal Domestic Assistance number is 17.249. In addition, the budget shall include—on a separate page(s)—a detailed cost break-out of each line item on Budget Form 424A. Further, the Departments recommend that applicants break out line item costs illustrating those items charged under the administrative costs cap discussed in Part III of this notice.

**III. Abstract**

Part III shall consist of a one-page abstract summarizing the essential components and key features of the partnership's plan.

**IV. Program Narrative**

Part IV shall contain the program narrative that demonstrates the applicant's plan and capabilities in accordance with the evaluation criteria contained in this notice. Applicants must describe their plan in light of each of the Evaluation Criteria in Part III, Section B of this notice. No cost data or reference to price shall be included in this part of the application. Applicants must limit the program narrative section to no more than 40 double-spaced pages, on one side only. Applications that fail to meet the page limitation requirement will not be considered.

**V. Appendices**

All applicable appendices including letters of support, resumes and organizational charts should be included in this section. The safeguard assurance, as required under Part II, Section D, "Safeguards", of this notice, should be included in all applications as Appendix A. The Departments recommend that all appendix entries be cross-referenced back to applicable sections in the program narrative.

Applicants must limit the appendices to no more than 20 pages. Applications that fail to meet the page limitation requirement will not be considered.

### 3. Late Applications

Any application received after the exact date and time specified for receipt at the office designated in this notice will not be considered, unless it is received before awards are made and it—

(a) Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of applications (e.g., an application submitted in response to a solicitation requiring receipt of applications by the 20th of the month must have been mailed/post marked by the 15th of that month); or

(b) Was sent by the U.S. Postal Service Express Mail Next Day Service to addressee not later than 5:00 P.M. at the place of mailing two working days prior to the date specified for receipt of applications. The term “working days” excludes weekends and Federal holidays.

The term “post marked” means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service.

### 4. Hand-Delivered Applications

It is preferred that applications be mailed at least five days prior to the closing date. To be considered for funding, hand-delivered applications must be received by 4:00 P.M., Eastern Time, on the closing date.

TELEGRAPHED AND/OR FAXED APPLICATIONS WILL NOT BE HONORED. Failure to adhere to the above instructions will be a basis for a determination of nonresponsiveness. Overnight express mail from carriers other than the U.S. Postal Service will be considered hand-delivered applications and MUST BE RECEIVED by the above specified date and time.

### 5. Period of Performance

The period of performance will be twelve (12) months from the date of award by the Department of Labor. Since all awards must be made by September 30, 1997 under this competition, the Departments recommend that all applicants use September 30, 1997–October 31, 1998 as both budgetary and project award periods.

### 6. Option to Extend

These Indian Program Grants may be extended for up to four additional years at the discretion of the Federal Government, based upon the availability of funds and the demonstrated progress of the grantee under this School-to-Work Opportunities initiative. While the Departments encourage grantees funded for developmental initiatives during last year's competition to apply for Implementation funding, it remains the Departments' desire to continue the developmental investment until a partnership is ready to successfully compete and receive Implementation funding under this initiative.

Consistent with the School-to-Work Opportunities Act, the Departments expect that over time, Federal funds, added to this grant, will decrease. Funds awarded under this notice are considered “venture capital” for the establishment of School-to-Work Opportunities systems serving Indian youth. Likewise, local partnerships will eventually assume responsibility for maintaining School-to-Work Opportunities systems with other Federal, State and local resources.

### 7. Reporting Requirements/Deliverables

If awarded a grant, the local partnership will be required to provide the following:

#### 1. Quarterly and Final Reports

- Quarterly financial reports as required by the grant award documents;
- Quarterly narrative reports on progress made and problems encountered in accomplishing the proposed plan and that indicate, where relevant, the corrective action(s) proposed to address developmental or implementation problems; and
- Annual reports at year-end on the activities and accomplishments of the local partnership's School-to-Work Opportunities initiative.

#### 2. Deliverables

- At a minimum, preparing an assessment of accomplishments and results at each program year-end suitable for dissemination to other Indian communities and partnerships.
- Acting as a host to outside visitors from other Indian communities or local partnerships interested in developing and implementing School-to-Work Opportunities initiatives in settings with similar characteristics.

## Part II. Program Description

### Section A. Background

The United States is the only industrialized nation that lacks a

comprehensive and coherent system to help its youth acquire the knowledge, skills, abilities, and information about the labor market necessary to make an effective transition from school to career-oriented work. Three-fourths of America's high school students do not attain four-year college degrees. Many of them do not possess the basic academic and occupational skills necessary for entry into high-skill, high-wage careers in the changing workplace or to pursue further education. The School-to-Work Opportunities Act of 1994 created a national framework for high-quality, statewide school-to-work transition systems that enable young Americans to identify and navigate paths to productive and progressively more rewarding roles in the workplace.

Partnerships serving Indian youth face particular challenges in implementing School-to-Work Opportunities initiatives:

1. High unemployment and relatively few high-skill, high-wage employment opportunities often characterize the areas to be served, making it more difficult to secure employer participation, work-based learning opportunities, and career-track jobs for Indian youth who complete a School-to-Work Opportunities program. Therefore, creative strategies must be developed to make full use of the capacity of local institutions to include a variety of alternative work-based learning environments (ie. tribal businesses, school-based enterprises and entrepreneurial training) and to support intensive efforts to enhance diverse employer involvement. Partnerships should strive to engage employers by offering them a range of opportunities for participating in the design and implementation of School-to-Work Opportunities systems, including membership on councils and partnerships; assistance in setting standards; designing curriculum and determining outcomes; providing worksite experience for teachers; helping to recruit other employers; and providing worksite experience for students, such as mentoring, job shadowing, unpaid work experiences, supported work experiences, and paid work experiences.

2. High dropout rates, unequal access to quality educational experiences and the lack of relevant information regarding career options often plague such high challenge, remote service areas. School-to-Work Opportunities initiatives can offer alternative learning environments, creative approaches to academic and technical subjects and relevant and engaging school-based and work-based activities that can encourage

Indian youth to remain in school until completion. To achieve such objectives, School-to-Work systems need to engage youth as early as possible. Career awareness and exploration activities allow Indian youth exposure to a range of high-skill, high-wage careers, the level of skills and abilities necessary in such occupations, and insight into the relevance of classroom education and the overall value of learning. Further, professional development and stakeholder education remains a critical piece towards the building of School-to-Work systems. In-service training programs and outreach initiatives are essential towards developing relevant and engaging curriculum, teaching methodologies and assessments which let students make the critical connections between the classroom environment and the world of work.

3. Economic and geographic factors may create uneven educational and employment opportunities among Indian youth, thus requiring that careful consideration be given to enhancing both the access and availability of opportunities. Therefore, partnerships are encouraged to link School-to-Work initiatives with existing educational reform strategies, workforce development initiatives and economic development plans. By doing so, partnerships will initiate School-to-Work systems capable of equipping tribal youth with the skills and abilities to take high-skill, high-wage positions within tribal government, targeted tribal industries, or outside of the tribe in the larger labor market. Further, communities with highly skilled, highly trained youth will aid the success of tribal economic development initiatives through the encouragement of entrepreneurial ventures and the recruitment of targeted industries and employers interested in developmental ventures on tribal lands.

Under this competition, federal funds will be used as "venture capital" to establish School-to-Work Opportunities systems serving Indian youth. Local partnerships applying for development grants should be ready to use funds to involve Bureau-funded schools in establishing cooperative linkages and planning innovative methods of providing School-to-Work services for Indian youth. Local partnerships applying for implementation grants should be ready to implement School-to-Work initiatives involving Bureau-funded schools by building on and enriching existing promising programs such as tech-prep education, career academies, youth apprenticeship, school-based enterprises, job training and previous related efforts funded by

the BIA. However, the purpose of funding under the School-to-Work Opportunities initiative is not simply to augment existing programs, but rather to build systems that provide opportunities for all students to achieve the benefits and outcomes of the School-to-Work Opportunities initiative. Building comprehensive systems will likely involve a combination of enhancing existing programs, establishing linkages among them, and developing an effective framework that connects both existing and new programs in a meaningful way. Through involvement in the School-to-Work Indian Program Grants, tribal organizations are expected to build over time the kind of School-to-Work Opportunities Systems that best meet their needs.

#### *Section B. Objectives*

The School-to-Work Opportunities initiative provides for a substantial degree of State and local flexibility and experimentation, but all State systems, individual local initiatives and Indian Program initiatives will share several common features and basic program components as required by the School-to-Work Opportunities Act of 1994. A School-to-Work Opportunities initiative under this competition must include the following common features and basic program components:

1. The basis of the School-to-Work Opportunities system is—

- (a) The integration of school-based learning and work-based learning;
- (b) The integration of academic and occupational learning; and
- (c) The establishment of effective linkages between secondary and postsecondary education.

2. School-to-Work Opportunities systems will—

- (a) Provide participating students with the opportunity to complete career majors;
- (b) Incorporate the system components described below (school-based learning, work-based learning, and connecting activities);
- (c) Provide participating students, to the extent practicable, with strong experience in and understanding of all aspects of the industry the students are preparing to enter; and
- (d) Provide all students with equal access to the full range of such system components (including both school-based and work-based learning components) and related activities, such as recruitment, enrollment, and placement activities, except that nothing in this notice shall be construed to provide any individual with an entitlement to services.

3. School-to-Work Opportunities initiatives must incorporate three basic program components:

(a) School-Based Learning, that includes—

- Career awareness and career exploration and counseling (beginning at the earliest possible age, but not later than the 7th grade) in order to help students and school dropouts who may be interested to identify, and select or reconsider, their interests, goals, and career majors, including those options that may not be traditional for their gender, race, or ethnicity;
  - Initial selection by interested students and school dropouts of a career major not later than the beginning of the 11th grade;
  - A program of study designed to meet the same academic content standards established for all students, including, where applicable, standards established under the Goals 2000: Educate America Act, and to meet the requirements necessary to prepare a student and school dropouts for postsecondary education and the requirements necessary to earn a skill certificate;
  - A program of instruction and curriculum that integrates academic and vocational learning (including applied methodologies and team-teaching strategies), and incorporates instruction, to the extent practicable, in all aspects of an industry, appropriately tied to the career of a participant;
  - Regularly scheduled evaluations involving ongoing consultation and problem solving with students and school dropouts to identify their academic strengths and weaknesses, academic progress, workplace knowledge, goals, and the need for additional learning opportunities to master core academic and vocational skills; and
  - Procedures to facilitate the entry of students and school dropouts participating in a School-to-Work Opportunities initiative into additional training or postsecondary education programs, as well as to facilitate the transfer of the students and school dropouts between education and training programs.
- (b) Work-based learning, that includes—
- (1) Mandatory activities—
    - Work experience;
    - A planned program of job training and work experiences (including training related to pre-employment and employment skills to be mastered at progressively higher levels) that are coordinated with learning in the school-based learning component described above and are relevant to the career

majors of students and school dropouts lead to the award of skill certificates;

- Workplace mentoring;
- Instruction in general workplace competencies, including instruction and activities related to developing positive work attitudes, and employability and participative skills; and
- Broad instruction, to the extent practicable, in all aspects of the industry.

(2) Permissible activities—Such component may include such activities as paid work experience, job shadowing, school-sponsored enterprises, or on-the-job training.

(c) Connecting Activities, that include—

- Matching students and school dropouts with the work-based learning opportunities of employers;
- Providing, with respect to each student and school dropout, a school site mentor to act as a liaison among the student and the employer, school, teacher, school administrator, and parent of the student, and, if appropriate, other community partners;
- Providing technical assistance and services to employers, including small- and medium-sized businesses, and other parties in—

(A) Designing school-based learning components as described above, work-based learning components as described above, and counseling and case management services; and

(B) Training teachers, workplace mentors, school site mentors, and counselors;

- Providing assistance to schools and employers to integrate school-based and work-based learning and integrate academic and occupational learning into the program;
- Encouraging the active participation of employers, in cooperation with local education officials, in the implementation of local activities described in this Part as school-based learning, work-based learning, or connecting activities;

(A) Providing assistance to participants who have completed the program in finding an appropriate job, continuing their education, or entering into an additional training program; or

(B) Linking the participants with other community services that may be necessary to assure a successful transition from school to work;

- Collecting and analyzing information regarding post-program outcomes of participants in the School-to-Work Opportunities initiative, to the extent practicable and appropriate for Indian programs, on the basis of socioeconomic status, gender, and disability, and on the basis of whether

the participants are students with limited-English proficiency, school dropouts, disadvantaged students, or academically talented students; and

- Linking youth development activities under the School-to-Work Opportunities initiative with employer and industry strategies for upgrading the skills of their workers.

#### *Section C. Examples of Allowable Activities*

Funds awarded under this competition to a partnership serving Indian youth and involving Bureau-funded schools may be used only for activities undertaken to develop or implement the local partnership's plan that will provide opportunities for Indian youth to participate successfully in a School-to-Work Opportunities initiative.

##### **1. Development Grants**

Eligible partnerships that have not fully developed a plan for the implementation of a School-to-Work Opportunities system may apply for development grants. These funds may support a wide range of planning and development activities. These grants are designed for situations in which an eligible partnership may not be ready to move forward with implementation of a School-to-Work Opportunities initiative, but intends to compete for implementation grants in future rounds of competition. Eligible partnerships seeking development grants must describe the planning and development activities for the School-to-Work Opportunities initiative that the partnership proposes to undertake during the 12-month grant period. The plan should include activities funded from this grant as well as from other sources. Examples of development activities that may be conducted with funds awarded under an Indian Program Grant are similar to those stipulated under section 205 of the Act and as illustrated below—

1. Initiating a planning process aimed at building a School-to-Work Opportunities initiative;

2. Identifying or establishing an appropriate structure to administer a School-to-Work Opportunities initiative;

3. Further expanding eligible partnerships as defined in this notice to participate in the design, development and administration of the School-to-Work Opportunities initiative;

4. Building consensus among local stakeholders and supporting planning and development activities to provide guidance in creating the School-to-Work Opportunities plan;

5. Initiating pilot projects to test key components of program design such as designing and testing common intake systems for students participating in School-to-Work Opportunities initiatives, and determining methods to integrate program data bases;

6. Analyzing current statutory, regulatory and administrative impediments to the creation of a School-to-Work Opportunities initiative;

7. Assessing staff training and development needs for participation in a School-to-Work Opportunities initiative;

8. Preparing the strategic plan required for submission of a proposal for an implementation grant. The plan should describe the progress expected to be achieved in the planning and development process by the end of the 12-month grant period. This should include expected "next steps."

##### **2. Implementation Grants**

Eligible partnerships that have developed and are ready to implement a plan for a School-to-Work Opportunities initiative may apply for implementation grants. These funds may be used to support a wide range of activities providing School-to-Work Opportunities for Indian youth. Examples of implementation activities that may be conducted with funds awarded under an Indian Program Grant are similar to those stipulated in section 215 of the Act and as illustrated below:

1. Recruiting and providing assistance to employers, including small- and medium-sized businesses, tribal businesses and school-based enterprises, to provide the work-based learning components in the School-to-Work Opportunities initiative;

2. Establishing consortia of employers, including tribal businesses and school-based enterprises, to support the School-to-Work Opportunities initiative and provide access to jobs related to the career majors of students;

3. Supporting or establishing intermediaries (selected from among the members of the local partnership) to perform the connecting activities described above in Part II. B., "Objectives," and to provide assistance to Indian youth in obtaining jobs and further education and training;

4. Designing or adapting innovative school curricula that can be used to integrate academic, vocational, and occupational learning, school-based and work-based learning, and secondary and postsecondary education for all students in the area served;

5. Providing training to work-based and school-based staff on new curricula, student assessments, student guidance,

and feedback to the school regarding student performance in connection with the School-to-Work Opportunities Initiative;

6. Establishing, in schools participating in a School-to-Work Opportunities initiative, a graduation assistance program to assist at-risk students, low-achieving students, and students with disabilities, in graduating from high school, enrolling in postsecondary education or training, and finding or advancing in jobs;

7. Providing career exploration and awareness services, counseling and mentoring services, college awareness and preparation services, and other services (beginning at the earliest possible age, but not later than the 7th grade) to prepare students for the transition from school to work;

8. Providing supplementary and support services, including child care and transportation, when such services are necessary for participation in a local School-to-Work Opportunities initiative;

9. Conducting or obtaining an in-depth analysis of the local labor market and the generic and specific skill needs of employers to identify high-demand, high-wage careers to target;

10. Integrating school-based and work-based learning into existing job training programs for school dropouts;

11. Establishing or expanding school-to-apprenticeship programs in cooperation with registered apprenticeship agencies and apprenticeship sponsors;

12. Assisting participating employers, including small- and medium-sized businesses, tribal businesses and school-based enterprises, to identify and train workplace mentors and to develop work-based learning components;

13. Promoting the formation of partnerships between Bureau-funded schools and other elementary and secondary schools (including middle schools) and local businesses as an investment in future workplace productivity and competitiveness;

14. Designing local strategies to provide adequate planning time and staff development activities for teachers, school counselors, related services personnel, and school site mentors, including opportunities outside the classroom that are at the worksite;

15. Enhancing linkages between after-school, weekend, and summer jobs, career exploration, and school-based learning;

16. Obtaining the assistance of organizations and institutions that have a history of success in working with school dropouts and at-risk and disadvantaged youths in recruiting such Indian youth who are at-risk or school

dropouts to participate in a local School-to-Work Opportunities initiative;

17. Conducting outreach to all students in a language and manner that most appropriately and effectively meets their needs and responds to the needs of their community;

18. Experimenting with providing work-based learning opportunities both inside and outside the Indian community;

19. Developing, in conjunction with Title I of the Elementary and Secondary Schools Act or other funds, improvements in the Bureau-funded and other elementary and middle schools that serve the Indian community in order to reduce the long-term dropout rate of Indian youth;

20. Developing and implementing techniques that will increase the college enrollment of Indian youth in the targeted area;

21. Utilizing complementary initiatives within the targeted area such as comprehensive sports and recreation programs, after-school programs, and community development activities;

22. Encouraging Indian youth to design and initiate innovative work-based learning activities operated within a school setting; and

23. Developing and implementing school-based and work-based learning and connecting activities that are related to the tribal organization's economic development plan.

#### *Section D. Safeguards*

The Departments apply the following safeguards to School-to-Work Opportunities programs funded under this competition:

1. No student in a School-to-Work Opportunities system shall displace any currently employed worker (including a partial displacement, such as a reduction in the hours of non-overtime work, wages, or employment benefits).

2. No School-to-Work Opportunities program shall impair existing contracts for services or collective bargaining agreements, and no program under this competition that would be inconsistent with the terms of a collective bargaining agreement shall be undertaken without the written concurrence of the labor organization and employer concerned.

3. No student participating in a School-to-Work Opportunities program shall be employed or fill a job—

a. When any other individual is on temporary layoff, with the clear possibility of recall, from the same or any substantially equivalent job with the participating employer; or

b. When the employer has terminated the employment of any regular employee or otherwise reduced its

workforce with the intention of filling the vacancy so created with a student.

4. Students shall be provided with adequate and safe equipment and safe and healthful workplaces in conformity with all health and safety requirements of Federal, State, and local law.

5. Nothing in this notice shall be construed so as to modify or affect any Federal or State law prohibiting discrimination on the basis of religion, gender, age, or disability.

6. Funds awarded under this competition shall not be expended for wages of students or workplace mentors participating in any part of a School-to-Work Opportunities system.

7. The grantee shall implement and maintain such other safeguards as the Departments may deem appropriate in order to ensure that School-to-Work Opportunities participants are afforded adequate supervision by skilled adult workers, or to otherwise further the purposes of school-to-work.

An applicant must provide an assurance, as appendix A, that the foregoing safeguards will be implemented and maintained throughout the school-to-work system.

#### *Section E. Waivers*

Under Title V of the Act, the Secretaries may waive certain Federal requirements that impede the ability of a State or local partnership to carry out the purposes of the Act. Only local partnerships in States with approved School-to-Work Opportunities plans may apply for waivers. A local partnership that seeks a waiver should contact its State School-to-Work Contact to determine what documentation is required and to whom it should be sent. In May, 1995, the National School-to-Work Opportunities Office issued a document entitled "School-to-Work Opportunities Waiver and Plan Approval Process Questions and Answers." This document contains answers to many of the questions that localities may have when preparing their waiver requests. Local Partnerships interested in applying for waivers should contact the National School-to-Work Opportunities Office or their State School-to-Work Contact for a copy of the waiver document.

### **Part III. Indian Program Grants Competition Requirements**

#### *Section A. Administrative Cost Cap*

The Departments are applying the 10 percent cap on administrative costs contained in section 215(b)(6) of the Act to local partnerships receiving implementation grants directly under this competition. Section 215(b)(6) of

the Act applies the 10 percent administrative cap to subgrants received by local partnerships from a State. The Departments have concluded that applying the 10 percent cap to local partnerships under this competition is consistent with the Act's intent and its broader limitations on administrative costs.

#### Definition

All definitions in the Act apply to local School-to-Work Opportunities systems funded under this and future Indian Program Grant competitions. Since the Act does not contain a definition of the term "administrative costs" as used in section 217 of the Act, the Departments will apply the following definition to this and future competitions for Indian Program Grants.

The term "administrative costs" means the activities of a local partnership that are necessary for the proper and efficient performance of its duties under the Indian Program Grant pursuant to the School-to-Work Opportunities Act and that are not directly related to the provision of services to participants or otherwise allocable to the program's allowable activities listed in Title II of the Act. Administrative costs may be either personnel or non-personnel costs, and may be either direct or indirect. Costs of administration include those costs that are related to this grant in such categories as—

A. Costs of salaries, wages, and related costs of the grantee's staff engaged in—

- Overall system management, system coordination, and general administrative functions;
- Preparing program plans, budgets, and schedules, as well as applicable amendments;
- Monitoring of local initiatives, pilot projects, subrecipients, and related systems and processes;
- Procurement activities, including the award of specific subgrants, contracts, and purchase orders;
- Developing systems and procedures, including management information systems, for ensuring compliance with the requirements under the Act;
- Preparing reports and other documents related to the Act;
- Coordinating the resolution of audit findings;

B. Costs for goods and services required for administration of the School-to-Work Opportunities system;

C. Costs of system-wide management functions; and

D. Travel costs incurred for official business in carrying out grants

management or administrative activities.

#### Section B. Evaluation Criteria

Under the School-to-Work Opportunities Indian Program Grants competition announced in this notice, a careful evaluation of applications will be made by technical review panel(s). Each panelist will evaluate the applications against the criteria listed below. The government may elect to award grant(s) without discussions with the offerer(s). In such situations, an award based on the offerer's signature on the SF-424 constitutes a binding offer.

#### Evaluation Criteria: Development Grants

The Government will use the following evaluation criteria and associated point values in evaluating applications for *development grants*:

*Evaluation Criterion 1: Vision of a local School-to-Work Opportunities initiative incorporating the elements described in Part II of this notice.*

*Points: 30.*

*Considerations:* In applying this criterion, reviewers will consider:

1. How well does the vision of an integrated delivery system for School-to-Work Opportunities incorporate the common features and basic system components described in Part II of this notice?

2. How clearly are the problems and/or inefficiencies of current programs and approaches understood and articulated?

3. How clearly does the partnership articulate how it envisions integrating promising existing programs into a comprehensive School-to-Work Opportunities system?

4. How well does this vision incorporate realistic strategies to ensure that "all students" have opportunities to participate in School-to-Work initiatives?

5. How well does the vision address the needs of the tribal economic development plan and the local labor market within which the targeted area is located?

6. How well does the vision convey the partnership's connection between the proposed School-to-Work Opportunities system and overall education reform?

*Evaluation Criterion 2: Approach to collaboration, planning and development.*

*Points: 30.*

*Considerations:* In applying this criterion, reviewers will consider:

1. Does the eligible partnership include all of the required

representatives as defined in Part I, section B.1 of this notice?

2. Whether other appropriate officials and organizations necessary to achieve the objectives of the application are also represented.

3. To what extent will employers and representatives of workers participate in the development of the plan?

4. Are the roles and responsibilities of each partner well articulated and substantive?

5. Is the plan likely to lead to a broad consensus about the design of the School-to-Work Opportunities system?

6. Is the proposal clear on who will have the day-to-day responsibilities for the grant and how major decisions will be made?

*Evaluation Criterion 3: Feasibility and soundness of the development plan.*

*Points: 25.*

*Considerations:* In applying this criterion, reviewers will consider:

1. Are the planned activities likely to prepare the eligible partnership to implement a School-to-Work Opportunities initiative?

2. To what extent has progress already been made?

3. Are staff development and training needs fully considered?

4. To what extent has the partnership envisioned pilot testing of key components toward the establishment of a comprehensive framework for implementation?

5. Does the development process fully take advantage of technology?

6. Whether the approach to identifying and overcoming anticipated barriers to the development of the partnership's School-to-Work plan is feasible.

7. Whether the management plan and related timeline of activities included in the application are appropriate to the goals and outcomes to be achieved.

8. Are key personnel to be used on the project qualified to undertake proposed activities?

*Evaluation Criterion 4: Commitment to the planning and development effort.*

*Points: 15.*

*Considerations:* In applying this criterion, reviewers will consider:

1. To what extent are Federal or other local resources being utilized to finance planning and development activities towards the development of a comprehensive School-to-Work system?

2. To what extent will the partnership provide in-kind support and resources towards the development of the system?

3. Whether resources available are adequate to support the activities proposed.



# Evaluation Criteria: Implementation Grants

The Government will use the following evaluation criteria and associated point values in evaluating applications for *implementation grants*.

## *Evaluation Criterion 1: Comprehensive Local School-to-Work Opportunities System.*

Points: 40.

*Considerations:* In applying this criterion, reviewers will consider:

A. 20 Points—The extent to which the partnership has designed a comprehensive local School-to-Work Opportunities plan that—

1. Includes effective strategies serving Indian youth and involving Bureau-funded schools that integrates school-based and work-based learning, integrates academic and vocational education, and establishes linkages between secondary and postsecondary education;

2. Is likely to produce systemic change that will have substantial impact on the preparation of all tribal area students for a first job in a high-skill, high-wage career and in increasing their opportunities for further learning;

3. Ensures that all tribal youth will have a full range of options, including options for higher education, additional training and employment in high-skill, high-wage jobs;

4. Ensures coordination and integration with existing school-to-work systems, and with related programs financed from State and private sources, with funds available from Federal education and training programs (such as the Job Training Partnership Act and the Carl D. Perkins Vocational and Applied Technology Education Act); and where applicable, communities designated as Empowerment Zones or Enterprise Communities (EZ/EC);

5. Serves a geographic area that reflects the needs of the local labor market and targets occupational clusters that represent growing industries in the partnership's geographic area and specified in the tribal economic development plan.

6. Includes an effective strategy for assessing and addressing the academic and human service needs of students and dropouts within the tribal community, making improvements or adjustments as necessary, with particular emphasis on the coordination of various human services provided within the tribal community.

B. 20 Points—The extent to which the partnership's plan demonstrates its capability to achieve the statutory requirements and to effectively put in place the system components in Title I

of the School-to-Work Opportunities Act, including—

1. A work-based learning component that includes the statutory "mandatory activities" and that contributes to the transformation of workplaces into active learning components of the education system through an array of sequentially enriching permissible learning activities such as job shadowing, school-sponsored enterprises, entrepreneurial initiatives, and paid work experiences.

2. A school-based learning component that provides students with high-level academic and technical skills consistent with academic standards that the State or Bureau establishes for all students, including, where applicable, standards established under the Goals 2000 Educate America Act;

3. A connecting activities component to provide a functional link between students' school and work activities, and between workplace partners, educators, community organizations, and other appropriate entities;

4. Effective processes for assessing skills and knowledge required in career majors, and issuing portable skill certificates that are benchmarked to high-quality standards such as those States will establish under the Goals 2000: Educate America Act, and for periodically assessing and collecting information on student outcomes, as well as a realistic strategy and timetable for implementing the process;

5. A flexible School-to-Work Opportunities system that allows students participating in the local system to develop new career goals over time, and to change career majors and;

6. Effective strategies for: providing staff development for teachers, worksite mentors and other key personnel; developing model curricula and innovative instructional methodologies, including processes for infusing culturally sensitive issues, values and beliefs, expanding career and academic counseling in elementary and secondary schools; and utilizing innovative technology-based instructional techniques.

## *Evaluation Criterion 2: Quality and Effectiveness of the Local Partnership.*

Points: 25.

*Considerations:* In applying this criterion, reviewers will consider—

1. Whether the partnership's plan demonstrates an effective and convincing strategy for continuing the commitment of required partners and other interested parties in the local School-to-Work Opportunities system. As defined in this solicitation, partners must include tribal organizations (such as tribal business councils or local

chapters of tribal business councils, tribal departments of education), employers (both within and surrounding the targeted area where applicable and including tribal businesses and school-based enterprises), representatives of Bureau of Indian Affairs' funded schools, local educational agencies and local postsecondary educational institutions (including representatives of area vocational education schools and tribal colleges, where applicable), local educators (such as teachers, counselors, or administrators), representatives of labor organizations or nonmanagerial employee representatives, parents, and students;

2. Whether the partnership's plan demonstrates an effective and convincing strategy for continuing the commitment of workplace partners and other interested parties such as community based organizations and others experienced and focused on dealing with the distinctive needs of Indian youth in the local School-to-Work Opportunities system;

3. The effectiveness of the partnership's plan to include private sector representatives and tribal business leaders as joint partners with tribal educators in both the design and implementation of the local School-to-Work Opportunities system;

4. The extent to which the local partnership has developed strategies to provide a range of opportunities for workplace partners to participate in the design and implementation of the local School-to-Work Opportunities system, including membership on councils and partnerships; assistance in setting standards, designing curricula, and determining outcomes; providing worksite experiences for teachers; helping to recruit other employers; and providing worksite learning activities for students such as mentoring, job shadowing, unpaid work experiences, and paid work experiences;

5. The extent to which the roles and responsibilities of the key parties and any other relevant stakeholders are clearly defined and are likely to produce the desired changes in the way students are prepared for the future;

6. The extent to which the partnership demonstrates the capacity to build a quality local School-to-Work Opportunities system; and

7. Whether the partnership has included methods for sustaining and expanding the partnership, as implementation expands in scope and size.

## *Evaluation Criterion 3: Participation of All Students.*



*Points:* 20.

*Considerations:* In applying this criterion, reviewers will refer to the definition of the term "all students" as applicable in Title I, section 4(2) of the Act, and consider—

1. The extent to which the partnership will implement effective strategies and systems to provide all students with equal access to the full range of components specified in sections 102 through 104 of the Act and related activities such as recruitment, enrollment, and placement activities, and to ensure that all tribal youth have opportunities to participate in School-to-Work Opportunities components;

2. Whether the partnership has identified potential barriers to the participation of any students, and the degree to which it proposes effective ways of overcoming these barriers;

3. The degree to which the partnership has developed realistic goals and methods for assisting young women to participate in School-to-Work Opportunities components leading to employment in high-performance, high-paying jobs, including non-traditional jobs;

4. The partnership's methods for ensuring safe and healthy work environments for students, including strategies for encouraging tribal schools to provide students with general awareness training in occupational safety and health as part of the school-based learning component, and for encouraging workplace partners to provide risk-specific training as part of the work-based learning component, as

well as the extent to which the partnership has developed realistic goals to ensure environments free from racial and sexual harassment; and

5. The extent to which the partnership's plan provides for the participation of a significant number or percentage of Indian youth within the system, including Indian youth located in particularly remote areas in School-to-Work Opportunities activities listed under Title I of the Act.

*Evaluation Criterion 4: Management plan.*

*Points:* 15.

*Considerations:* In applying this criterion, reviewers will consider—

1. The feasibility and effectiveness of the partnership's strategy for using other resources, including private sector or Tribal resources, to maintain the system when Federal resources under the School-to-Work Opportunities Act are no longer available;

2. The extent to which the partnership's management plan anticipates barriers to implementation and proposes effective methods for addressing barriers as they arise;

3. Whether the plan includes feasible, measurable goals for the School-to-Work Opportunities system, based on performance outcomes established under section 402 of the Act, and an effective method for collecting information relevant to the local partnership's progress in meeting its goals;

4. Whether the plan includes a regularly scheduled process for improving or redesigning the School-to-

Work Opportunities system based on performance outcomes established under section 402 of the Act;

5. The extent to which the resources requested will be used to develop information, products, and ideas that will assist other local partnerships as they design and implement local systems; and

6. The extent to which the partnership will limit equipment and other purchases in order to maximize the amounts spent on delivery of services to students.

7. Are key personnel under the plan qualified to perform the required activities, including maintaining the essential partnership?

The panel results are advisory in nature and not binding on the Grants Officer. Final funding decisions will consider such factors as: geographic balance, diversity of programmatic approaches, replicability, sustainability, and innovation.

Signed at Washington D.C., this 16th day of May 1997.

**Patricia W. McNeil,**

*Assistant Secretary for Vocational and Adult Education, Department of Education.*

**Raymond J. Uhalde,**

*Acting Assistant Secretary for Employment and Training, Department of Labor.*

#### **Appendices**

Appendix A: Application for Federal Assistance, SF Form 424 Appendix B: Budget Form, SF 424 (a)

BILLING CODE 4510-30-P

## Appendix A

OMB Approval No. 0348-0043

APPLICATION FOR  
FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
3. DATE RECEIVED BY STATE		State Application Identifier	
4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	

5. APPLICANT INFORMATION

Legal Name:	Organizational Unit:
Address (give city, county, State and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code):

6. EMPLOYER IDENTIFICATION NUMBER (EIN):

7. TYPE OF APPLICANT: (enter appropriate letter in box) 

A. State  
 B. County  
 C. Municipal  
 D. Township  
 E. Interstate  
 F. Intermunicipal  
 G. Special District

H. Independent School Dist.  
 I. State Controlled Institution of Higher Learning  
 J. Private University  
 K. Indian Tribe  
 L. Individual  
 M. Profit Organization  
 N. Other (Specify): \_\_\_\_\_

8. TYPE OF APPLICATION:  

☐ New
 ☐ Continuation
 ☐ Revision

If Revision, enter appropriate letter(s) in box(es):  

A. Increase Award  
D. Decrease Duration

B. Decrease Award  
Other (specify): \_\_\_\_\_

C. Increase Duration

9. NAME OF FEDERAL AGENCY:

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:  

TITLE:

11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. AREAS AFFECTED BY PROJECT (cities, counties, States, etc.):

13. PROPOSED PROJECT:
 

Start Date	Ending Date
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14. CONGRESSIONAL DISTRICTS OF:
 

a. Applicant	b. Project
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15. ESTIMATED FUNDING: <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; border-bottom: 1px solid black;">a. Federal</td> <td style="width: 10%; border-bottom: 1px solid black;">\$</td> <td style="width: 10%; border-bottom: 1px solid black;"></td> <td style="width: 10%; border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">b. Applicant</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">c. State</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">d. Local</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">e. Other</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">f. Program Income</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> <tr> <td style="border-bottom: 1px solid black;">g. TOTAL</td> <td style="border-bottom: 1px solid black;">\$</td> <td style="border-bottom: 1px solid black;"></td> <td style="border-bottom: 1px solid black;">.00</td> </tr> </table>	a. Federal	\$		.00	b. Applicant	\$		.00	c. State	\$		.00	d. Local	\$		.00	e. Other	\$		.00	f. Program Income	\$		.00	g. TOTAL	\$		.00	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?  a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$		.00																										
b. Applicant	\$		.00																										
c. State	\$		.00																										
d. Local	\$		.00																										
e. Other	\$		.00																										
f. Program Income	\$		.00																										
g. TOTAL	\$		.00																										

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?  
☐ Yes    If "Yes," attach an explanation.    ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Typed Name of Authorized Representative	b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed

Previous Editions Not Usable

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

Authorized for Local Reproduction

## INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry:   | Item: | Entry:   |
|-------|--|-------|--|
| 1.    | Self-explanatory.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).   |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 13.   | Self-explanatory.  |
| 3.    | State use only (if applicable)   | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <u>only</u> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake this assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.  |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.  |
| 7.    | Enter the appropriate letter in the space provided.  | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)  |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided.<br><ul style="list-style-type: none"> <li>- "New" means a new assistance award.</li> <li>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.</li> <li>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.</li> </ul> |       |  |
| 9.    | Name of Federal agency from which assistance is being requested with this application.   |       |  |
| 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is required.   |       |  |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of the project.   |       |  |

## Appendix B

**PART II - BUDGET INFORMATION****SECTION A - Budget Summary by Categories**

	(A)	(B)	(C)
1. Personnel	\$		
2. Fringe Benefits(Rate %)			
3. Travel			
4. Equipment			
5. Supplies			
6. Contractual			
7. Other			
8. Total, Direct Cost (Lines 1 through 7)	\$		
9. Indirect Cost(Rate %)			
10. Training Cost/Stipends			
11. TOTAL Funds Requested (Lines 8 through 10)	\$		

**SECTION B - Cost Sharing/ Match Summary (if appropriate)**

	(A)	(B)	(C)
1. Cash Contribution			
2. In-Kind Contribution	\$		
3. TOTAL Cost Sharing / Match (Rate %)	\$		

**NOTE:** Use Column A to record funds requested for the initial period of performance (i.e. 12 months, 18 months, etc.); Column B to record changes to Column A (i.e. requests for additional funds or line item changes; and Column C to record the totals (A plus B).

**(INSTRUCTIONS ON BACK OF FORM)**

**INSTRUCTIONS FOR PART II - BUDGET INFORMATION****SECTION A - Budget Summary by Categories**

1. **Personnel:** Show salaries to be paid for project personnel.
2. **Fringe Benefits:** Indicate the rate and amount of fringe benefits.
3. **Travel:** Indicate the amount requested for staff travel. Include funds to cover at least one trip to Washington, DC for project director or designee.
4. **Equipment:** Indicate the cost of non-expendable personal property that has a useful life of more than one year with a per unit cost of \$5,000 or more.
5. **Supplies:** Include the cost of consumable supplies and materials to be used during the project period.
6. **Contractual:** Show the amount to be used for (1) procurement contracts (except those which belong on other lines such as supplies and equipment); and (2) sub-contracts/grants.
7. **Other:** Indicate all direct costs not clearly covered by lines 1 through 6 above, including consultants.
8. **Total, Direct Costs:** Add lines 1 through 7.
9. **Indirect Costs:** Indicate the rate and amount of indirect costs. Please include a copy of your negotiated Indirect Cost Agreement.
10. **Training /Stipend Cost:** (If allowable)
11. **Total Federal funds Requested:** Show total of lines 8 through 10.

**SECTION B - Cost Sharing/Matching Summary**

Indicate the actual rate and amount of cost sharing/matching when there is a cost sharing/matching requirement. Also include percentage of total project cost and indicate source of cost sharing/matching funds, i.e. other Federal source or other Non-Federal source.

**NOTE:**

**PLEASE INCLUDE A DETAILED COST ANALYSIS OF EACH LINE ITEM.**